



DEPARTMENT OF THE ARMY
US ARMY MEDICAL RESEARCH ACQUISITION ACTIVITY
820 CHANDLER STREET
FORT DETRICK MD 21702-5014

MCMR-AAP-A
MEMORANDUM FOR SEE DISTRIBUTION

4 May 2010

SUBJECT: Procurement Advisory Notice (PAN) 10-03
Contracting Officer Representative/Grants Officer Representative (COR/GOR)
File Content

1. Introduction. This PAN establishes Command policy and guidance for the contents of COR/GOR files.

2. Background.

a. A COR is an individual designated by the Contracting Officer in accordance with DFARS Subpart 201.602 and authorized in writing by that Contracting Officer to perform specific technical and/or administrative functions. CORs are appointed for all service contracts above the micropurchase threshold. They may also be appointed for supply contracts at the discretion of the Contracting Officer.

b. The COR is essential to effective contractor monitoring. They ensure that contractors comply with all contract requirements and that overall performance is satisfactory. To that end, DFARS PGI Subpart 201.6 mandates the COR keep a file for each award assigned. Nothing in this notice is intended to replace or conflict with the above regulations but rather to expand upon them.

c. The GOR is an individual designed by the Grants Officer. He/she is responsible for monitoring an assistance agreement, monitoring recipient performance, acting as a liaison with the recipient and Grants Officer, recommending assistance agreement modifications, and providing support to the Grants Officer as required.

d. The GOR is essential to effective recipient monitoring. They are required to maintain a working file for each award they are assigned.

3. Policy. For each of their awards, CORs and GORs appointed by the U.S. Army Medical Research Acquisition Activity (USAMRAA) Contracting Officers and Grant Officers must maintain files containing at minimum:

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COR Files

- a. A duplicate copy of the COR letter of appointment signed by the Contracting Officer.
- b. A copy of the contract, to include all attachments such as special reports required to be submitted by the contractor; technical specifications (too voluminous to incorporate in the body of the contract); drawings, designs, and maps; etc.
- c. A copy of all modifications to the contract. Modifications are executed on a Standard Form 30, "Amendment of Solicitation/Modification of Contract."
- d. Correspondence to and from the COR, the Contracting Officer, and contractor. This correspondence could include special instructions from the Contracting Officer; interpretations of the terms and conditions of the contract from the Contracting Officer; clarifications of specifications addressed to the contractor; or questions on interpretations of terms, conditions, and specifications from the contractor.
- e. Copies of all invoices processed.
- f. Copies of all receipt and acceptance documents processed (DD 250 Material Inspections and Receiving Report) and (SF 1034, Public Voucher for Purchases and Services Other Than Personal). The CORs must exercise extreme caution in executing receipt and acceptance documents; when performing this function, the COR is insuring that the Government has received the services for supplies for which it is paying.
- g. A copy of Memoranda for the Record to document:
 - (1) Telephone conversations with the contractor and Contracting Officer.
 - (2) Pre-performance conferences.
 - (3) Any conversations or meeting with the contractor or Contracting Officer
 - (4) Site visits
- h. Records of inspections (performed in accordance with the contract provisions for inspection) describing how, when, and where the inspections were accomplished and the results of those inspections.

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- i. Samples, photographs, witness statements, and other factual data to support documentation.
- j. Records of all weather conditions. This is particularly important for administering construction contracts and any other contracts that call for performance out-of-doors, where severe weather or bad weather conditions could delay contract performance or completion.
- k. Copies of progress schedules approved by the Contracting Officer, if applicable.
- l. Applicable laboratory test reports, if any.
- m. Copies of deficiency reports as per the contract provisions.
- n. Upon completion, forward complete file to USAMRAA's OSC – Silver – Contract/Grants Closeout Team.

GOR Files

- a. A duplicate copy of the GOR letter of appointment signed by the Grants Officer.
- b. A copy of the GOR Training Certificate (DAU Course CLC 106)
- c. A copy of the assistance agreement and any associated modifications including documentation sufficient to constitute a complete history of the award.
- d. Copies of quarterly and annual reports including documentation of correspondence between parties.
- e. Documentation of any technical assistance provided to the recipient.
- f. Documentation of monitoring and inspection of recipient's progress and performance to assure compliance with the assistance agreement's terms and conditions.

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- g. Documentation of receipt of deliverables on behalf of the government.
- h. A listing of Government Furnished Property (GFP). The list should include serial numbers, if any, and approximate value of each item.
- i. Upon completion, a statement of satisfactory performance, if warranted.
- j. Upon completion, forward complete file to USAMRAA's OSC – Silver – Contract/Grants Closeout Team.

It is extremely important for a COR/GOR to maintain accurate and complete files in accordance with agency/contracting office procedures. COR files are subject to review by the Contracting/Grants Officer on a periodic basis (annually, or as determined by the Contracting/Grants Officer). COR/GORs will provide their files to the Contracting/Grants Officer upon request. The list of items included here is not all-inclusive; good judgment and experience on the part of the COR/GOR will determine what is necessary for CORs/GORs to maintain in their files.

4. Method. The COR is directed to use the "USAMRAA COR File Contents Checklist" (Appendix A) for each award/agreement they are assigned. The GOR is directed to use the "USAMRAA GOR Files Contents Checklist" (Appendix B) for each award/agreement they are assigned.

5. PROPONENT. The proponent for this policy is the USAMRAA Chief of the Staff.

Encls



PAUL G. MICHAELS, eJD
Director

USAMRAA COR File Contents Checklist

Award Number: _____ Contract Specialist: _____

Customer: _____

Business Office POC: _____ Phone: _____

Email: _____ Fax: _____

COR: _____ Phone: _____

Email: _____ Fax: _____

	Item/Document	
1.	Signed COR Letter of Appointment (Duplicate Okay)	<input type="checkbox"/>
2.	Copy of Award/Contract including Attachments	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
3.	SF30 – Amendment of Solicitation/Modification of Contract	<input type="checkbox"/>
	Mod 1	<input type="checkbox"/>
	Mod 2	<input type="checkbox"/>
	Mod 3	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
4.	Correspondence	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
5.	Copies of Invoices	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
6.	Copies of Acceptance Documents (DD250s/SF1034s)	<input type="checkbox"/>
		<input type="checkbox"/>

		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
7.	Various MFRs	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
8.	Records of Inspections	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
9.	Documentation Support (Samples, Photographs, Witness Statements, etc.)	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
10.	Records of All Weather Conditions	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
11.	Copies of Progress Schedules	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
12.	Laboratory Test Reports	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
13.	Copies of Deficiency Reports	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
14.	Upon completion, forward complete file to USAMRAA's OSC – Silver – Contract/Grants Closeout Team.	<input type="checkbox"/>

USAMRAA GOR File Contents Checklist

Award Number: _____ Grant Specialist: _____

Recipient: _____

Business Office POC: _____ Phone: _____

Email: _____ Fax: _____

GOR: _____ Phone: _____

Email: _____ Fax: _____

	Item/Document	
1.	Copy of the GOR letter of appointment signed by the Grants Officer	<input type="checkbox"/>
2.	GOR Training Certificate	<input type="checkbox"/>
3.	Copy of Assistance Agreement including modifications	<input type="checkbox"/>
	Mod 1	<input type="checkbox"/>
	Mod 2	<input type="checkbox"/>
	Mod 3	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
4.	Quarterly Reports	<input type="checkbox"/>
	Year 1 Quarter 1	<input type="checkbox"/>
	Year 1 Quarter 2	<input type="checkbox"/>
	Year 1 Quarter 3	<input type="checkbox"/>
	Year 1 Quarter 4	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
5.	Annual Reports	<input type="checkbox"/>
	Year 1	<input type="checkbox"/>
	Year 2	<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

