

# Lunch and Learn Topic

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## COR Surveillance

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# Learning Objectives

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TLO: Discuss surveillance, surveillance activities and COR's role.

- ELO 1: Describe contract surveillance.
- ELO 2: Discuss the duties and responsibilities of the COR.
- ELO 3: List major surveillance activities.
- ELO 4: Explain the importance of documenting contractor's performance.

# DoD COR Handbook

## Table of Contents

### Chapter 1: The Importance of Contract Surveillance

Related Duties

Chapter 1. Key Points

### Chapter 2: Roles and Responsibilities for Contract Surveillance

Nomination, Designation, and Appointment of the COR

Performance of COR Functions

Termination of COR Appointment

DoD COR Tracking (CORT) Tool

Chapter 2. Key Points

### Chapter 3: Ethics and Integrity

### Chapter 4: The Acquisition Team and Process

### Chapter 5: COR Responsibilities

### Chapter 6: Contract Structure

### Chapter 7: Contract Administration

### Chapter 8: Monitoring the Contractor

### Chapter 9: Monitoring Service Contracts

### Chapter 10: Monitoring Construction Contracts

### Chapter 11: Foreign Acquisition and International Relationships

Department of Defense

COR HANDBOOK

March 22, 2012



Director, Defense Procurement  
and Acquisition Policy

OUSD(AT&L)

## Appendices

Appendix A. Forms

Appendix B. Contract Planning & Source Selection

Appendix C. COR Qualifications and Training

Appendix D. Acronyms and Terms

Appendix E. COR Resources and References

Appendix F. COR Checklists

Appendix G. Metric Conversion Table

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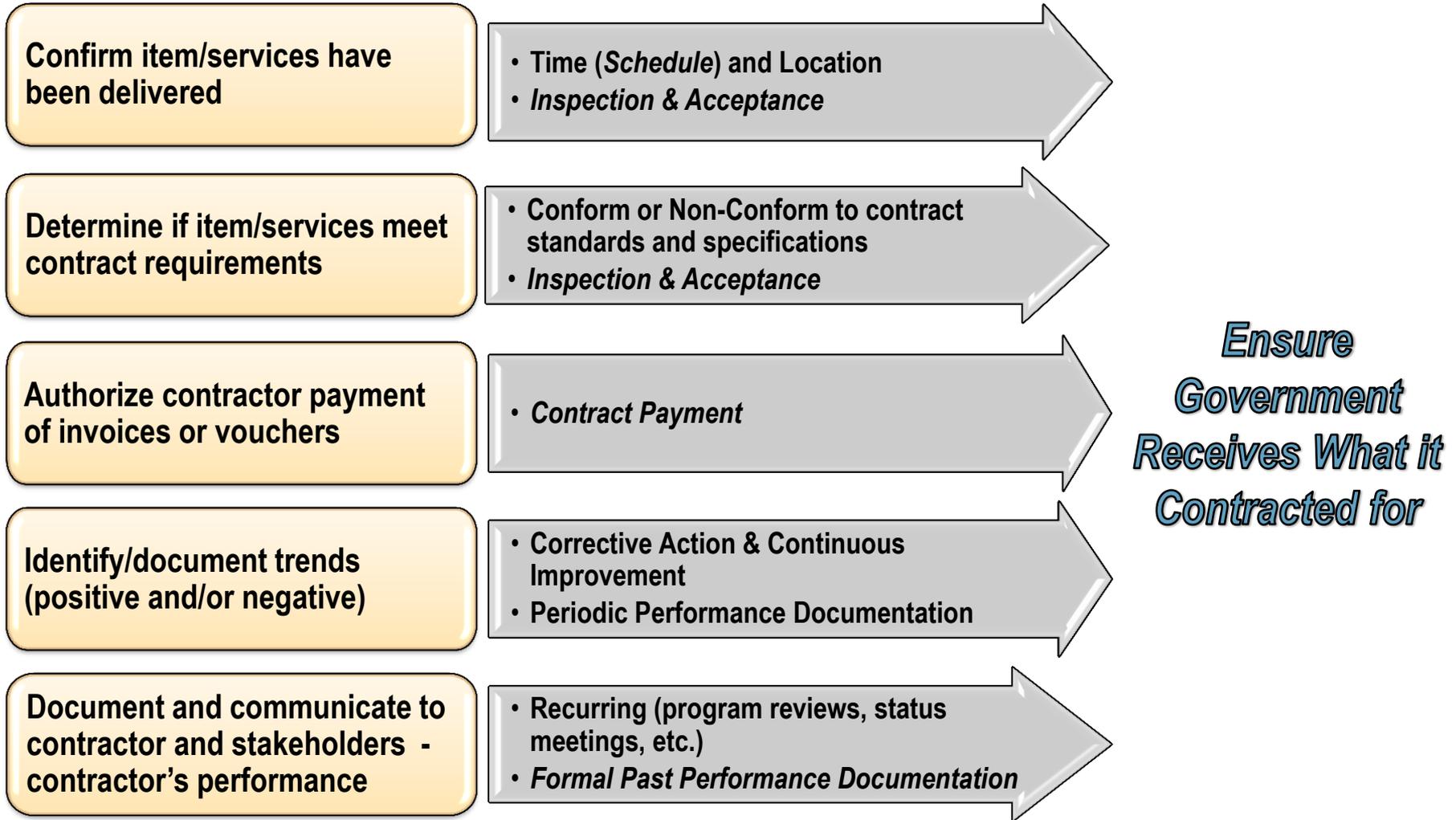


# COR Surveillance

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**The process of checking,  
either by direct evaluation,  
observation or  
other information,  
contractor's performance.**

# Why Monitor Performance



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# How Much Contract Surveillance?

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- **Varies with complexity considering**
  - **Type of contract**
  - **Complexity of work**
  - **Scope of work**
  - **Contractor's experience**
  - **Contractor performance**
  - **Contracting environment**
  - **Supplies vs. services**

# Monitoring/Surveillance Activities

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- **Monitoring may involve:**
  - **Review of progress reports**
  - **Inspection and acceptance**
    - **Random sampling/Trend Analysis/Deliverable review**
  - **Meetings with contractor personnel**
    - **Site visits**
  - **Coordinating Security and safety reviews**
  - **Property administration**
  - **Invoice/Voucher review**
    - **Payroll, time card checks**

# Where Should the COR Begin?

- **Take COR Course (training) prior to appointment:**
  - **CLC 106, CORs With A Mission Focus, 8 hours on-line**
  - **CLM 003 or agency equivalent 1 hour Ethics training**
  - **COR 222, Contractor Officer Representative Course, 32 hour resident course**
    - **CLC 222 an on-line alternative was fielded 24 Aug 2010**
  - **COR 206, CORs in the Contingency Environment, 3 hour resident course (broke Lesson 14 out from COR 222)**
    - **CLC 206 an on-line alternative was fielded Apr 2010**
- **COR must be appointed in writing by KO/CO.**
  - **This is done in the form of a COR Appointment/Delegation Letter**

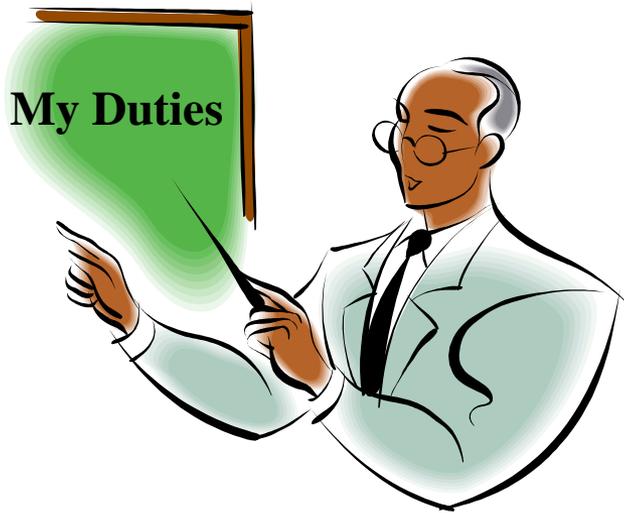
# COR Designation Acceptance

**Acknowledge acceptance of the duties by signing and returning the Designation Letter to the KO**



Microsoft Word  
'7 - 2003 Document

# What are the CORs Duties?



**What type of duties  
will a Contracting  
Officer's  
Representative be  
asked to  
accomplish?**

# FYI: Possible CORs Duties/Responsibilities

ACTION	COR/Functional Office	Contracting Office
Conduct market research	Responsible	Assist
Prepare SOW/PWS	Responsible	Assist
Prepare QASP	Responsible	Assist
Prepare IGCE	Responsible	Assist
Prepare GFP list	Responsible	Assist
Develop sources	Assist	Responsible
Prepare solicitation	Assist	Responsible
Conduct pre-bid conference	Assist	Responsible
Evaluate proposals	Assist	Responsible
Award contract	N/A	Responsible
Conduct contract surveillance	Responsible	Assist
Request modifications	Responsible	Assist
Make modifications	Assist	Responsible
Conduct progress meetings	Assist	Responsible
Conduct inspection/acceptance	Responsible	Assist
Evaluate contractor's performance	Responsible	Assist
CPARS input	Responsible/Assist	Responsible

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# Where Should the COR Begin?

## Next with Post Award Orientation Meeting

- ✓ Are “WE” on the same page..
  - “We” the government team
  - “We” the government and contractor
- ✓ Review contract requirements
- ✓ Decide how to resolve problems
- ✓ Identify and resolve oversights



# Progress Reports

## An excellent source for schedule, progress and cost status determination

- Provides the first early warning of potential changes, delays, or any other problems in contractor performance
- Does not relieve the contractor of a separate obligation to report **anticipated** or **actual** delays to the COR and KO



# How to Check a Progress Report

The progress report should be checked for the following:

- Will contractor meet delivery dates; do you foresee a problem?
  - Does the contractor foresee problems or risks?
- Are expenditures in line with the work performed; with the work planned?
- How does percentage of work completed compare to funds expended?



# Schedule/Delivery - Documentation

As a COR, it is critical to document:

- **Is the contractor on schedule to meet contractual requirements?**
- **Did contractor meet contractual delivery requirements?**
  - Is there a reward for early delivery?
  - Is there a penalty for late delivery?

Best Practice:

- **As soon as information or status is known, or**
- **On a recurring/routine interval**

*Do not wait to document schedule concerns*



# Performance Assessment

- **The contractor's performance should be assessed and documented on an ongoing basis throughout the life of the contract**
  - Formal correspondence
  - Less formal correspondence
- **It must also be done at contract completion i.e. documenting past performance.**



# Deliverable/Document Reviews

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**The contract may require delivery/submittal of numerous reports (DD Form 1423 – Contract Data Requirement List) from the contractor**

- Examples could include:
  - Special Studies
  - Technical reports
  - Test plans, etc.
- There is always a timeline for the government reviewers to provide comments and/or approval of any reports
- The COR must manage the review process

# CONTRACT DATA REQUIREMENTS LIST

(2 Data Items)

*Form Approved*  
OMB No. 0704-0188

The public reporting burden for this collection of information is estimated to average 220 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Department of Defense, Executive Services and Communications Directorate (0704-0188). Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number. **Please do not return your form to the above organization. Send completed form to the Government Issuing Contracting Officer for the Contract/PR No. listed in Block E.**

<b>A. CONTRACT LINE ITEM NO.</b> 0003	<b>B. EXHIBIT</b> A	<b>C. CATEGORY:</b> TDP _____ TM _____ OTHER _____
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<b>D. SYSTEM/ITEM</b>	<b>E. CONTRACT/PR NO.</b> N00173-07-R-KS01	<b>F. CONTRACTOR</b> To Be Provided at Award
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<b>1. DATA ITEM NO.</b> A005	<b>2. TITLE OF DATA ITEM</b> Progress Reports	<b>3. SUBTITLE</b>
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<b>4. AUTHORITY (Data Acquisition Document No.)</b>	<b>5. CONTRACT REFERENCE</b> Section C and Contract References	<b>6. REQUIRING OFFICE</b> Naval Research Laboratory
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<b>7. DD 250 REQ</b> LT	<b>9. DIST STATEMENT REQUIRED</b>	<b>10. FREQUENCY</b> MTHLY	<b>12. DATE OF FIRST SUBMISSION</b> 30 DAC	<b>14. DISTRIBUTION</b>		
<b>8. APP CODE</b>		<b>11. AS OF DATE</b>	<b>13. DATE OF SUBSEQUENT SUBMISSION</b> 20 DARP	<b>a. ADDRESSEE</b>	<b>b. COPIES</b>	
					<b>Draft</b>	<b>Final</b>
					<b>Reg</b>	<b>Repro</b>

<b>16. REMARKS</b> Blocks 12 & 13: As required under each Task Order in accordance with the Task Order Statement of Work.  The Contractor shall provide Program Progress Reports in the form of Monthly Status Reports. The format for all deliverables under this CDRL shall be the Contractor's format as reviewed and approved by the COR. Monthly Status Reports shall be provided on a monthly basis beginning 30 DAC and by the 20th day of each month thereafter.	<b>15. TOTAL</b> →
	0      2      0

<b>17. PRICE GROUP</b>
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<b>18. ESTIMATED TOTAL PRICE</b>
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# Review Process

- Receive and log deliverables
- Conduct a preliminary review
- Confirm the list of reviewers and distribute
- Set deadline for comments/edits
  - Based on specific area of expertise, reviewers provide comments
- Collect and consolidate comments/edits
  - COR may arrange a review meeting with reviewers to consolidate comments
- KO and COR discuss comments and determine if deliverable should be accepted or rejected
- COR prepares Letter Acceptance or Rejection indicating required corrections and next steps
  - Copies of letter placed in the COR file
  - Acceptance may be authority for contractor to submit invoice



# Product/Service Quality

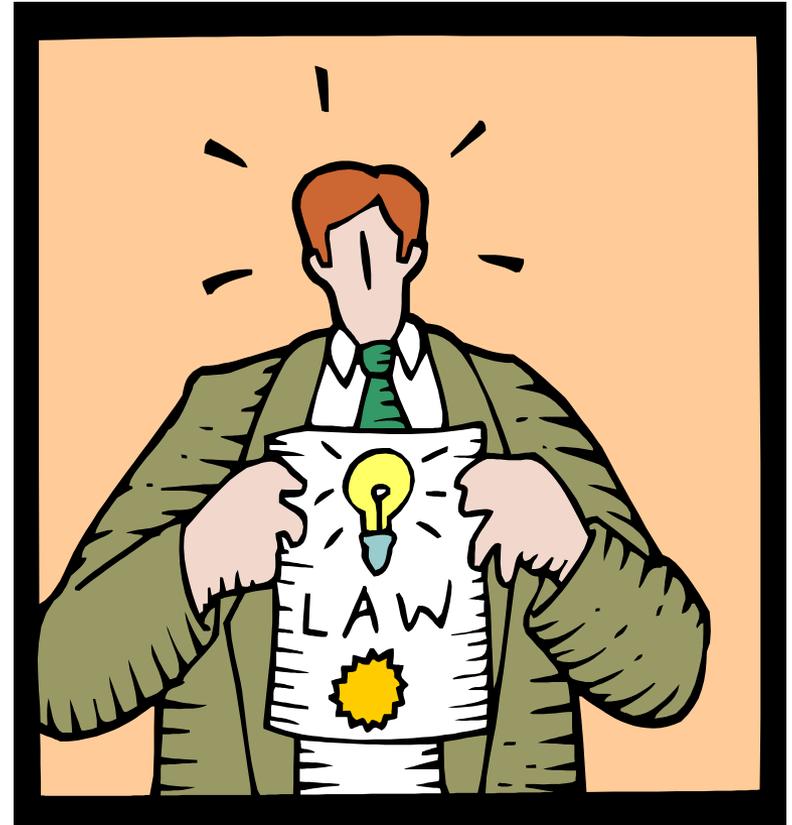
- Does product/service meet requirements?
- Conforms/Adheres to:
  - **Specifications and Standards**
  - **PWS/SOW/SOO**
  - **Quality Assurance Plan – Contractor**
  - **Quality Assurance Surveillance Plan - Government**



# Safety & Compliance Monitoring

## Standards, regulations and activity examples

- OSHA
- EPA
- Labor qualifications
- Licensing
- HAZMAT



# Government Property Administration

**Property administration is usually delegated to DCMA,  
but the COR may be delegated to assist**

- ✓ Ensure contractor receives Government property authorized under the contract
- ✓ Oversee the contractor's management of Government property
- ✓ Provide disposition instructions to the contractor
- ✓ Help perform Governmental screening prior to directing disposition of GP
- ✓ Verify the preparation, shipment, transfer and/or disposal of excess and surplus GP

\* **Government property related continuous learning modules: CLM 039 – Foundation of Government Property, CLM 037 – Physical inventories, and CLM 103 – QA Auditing**

# Where Does the COR Start?

- Read your delegation letter for specific property related duties
- Become familiar with provisions of the contract concerning property
  - **FAR/DFARS Part 45/245 explain contractor and government responsibilities**
  - **The Government Property Clause(s) will detail contractor's Responsibilities (FAR 52.245-1, -2 & -9)**
- Document the files with anything related to property
- Notify the KO immediately if there are any problems

# Documenting Acceptance

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**CORs are often the designated official authorized to accept supplies/services for the Govt.**

**This means signing a DD 250 or completing acceptance in wide area workflow (WAWF)**



# Material Inspection Receiving Report

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## “The DD250”

- **The DD Form 250 is a Government multipurpose report used as:**
  - Acceptance of equipment/data by the Government
  - The Contractor's invoice for payment
  - A packing list for shipping and receiving
  - Evidence of Government Quality inspection
- **DD 250 acceptance authority (signature) is designated in Section E - Inspection and Acceptance**

# Invoice Review & Approval

- Compare progress reports with invoices
  - Review timecards, when applicable
  - Use inspection reports to verify actual usage (e.g. equipment on the site)
  - Maintaining an Invoice Log
  - Notifying KO of discrepancies **ASAP**
- CORs can approve invoices on Fixed Price contracts
  - CORs can review, but cannot approve vouchers (invoices) on CR, T&M and Labor Hour contracts
    - DCAA has sole authority for verifying claimed costs and approving interim payment requests
    - Only KO can approve final payment requests

# What About Overtime?

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- **Overtime (OT) must be specifically allowed on the contract**
- **Only the KO can authorize the use of OT**
- **COR review of Contractor overtime may include:**
  - Is the OT necessary?
  - If the OT is necessary, can additional funds be obtained to fund the OT?
  - Was the OT accomplished?

# Documenting Past Performance

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- Capturing how well a contractor performs on each contract is a very important part of performance the assessment process
- This information goes into an automated system called the **Contractor Performance Assessment Reporting System (CPARS)**
- The Government uses this information as one of the factors when selecting future contractors during the source selection process

# Questions



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