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U. S. DEPARTMENT OF THE INTERIOR
OFFICE OF SURFACE MINING
RECLAMATION AND ENFORCEMENT
DIRECTIVES SYSTEM

Subject Number: PRC-8
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Subject: PROCUREMENT CHECKLIST AND STATEMENT OF WORK FORMAT

Approval:

Title:

1. PURPOSE. This directive provides guidance in the form of a procurement checklist and a statement of work format to Office of Surface Mining Reclamation and Enforcement (OSMRE) employees concerned with the preparation of statements of work for the acquisition of goods or services for OSMRE.

2. DEFINITIONS. None.

3. POLICIES AND PROCEDURES.

a. Concept. The OSMRE checklist and statement of work format were developed to provide OSMRE's Contracting Officers Technical Representatives with guidance for use in preparing a statement of work for the acquisition of goods or services for OSMRE.

b. Responsibilities. The checklist and statement of work format are for internal use only and are the responsibility of OSMRE employees involved in the preparation of a statement of work.

4. REPORTING REQUIREMENTS. None.

5. REFERENCES. None.

6. EFFECT ON OTHER DOCUMENTS. None.

7. EFFECTIVE DATE. Upon issuance.

8. CONTACT. Division of Management Services, Branch of Procurement (202) 343-4685.

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
I. Format Requirements - Statement of Work			
A. Background and Purpose			
Has the purpose of the procurement been stated?	___	___	___
Does it explain the rationale for the project?	___	___	___
Will it help an offeror prepare a sound technical proposal?	___	___	___
Does it summarize information which is essential for understanding the work?	___	___	___
Have previous studies and projects related to this effort been identified?	___	___	___
Are the facts accurate?	___	___	___
Is all technical information understandable to potential readers from different disciplines?	___	___	___
Is background or other introductory information readily distinguishable from the contract objectives and requirements?	___	___	___
Is the background information sufficiently detailed for the contractor to thoroughly understand what the government is trying to do?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
B. Objectives to be Achieved			
Are the objectives clearly stated?	___	___	___
Are stated objectives consistent with the tasks or activities specified, and with the end result to be obtained?	___	___	___
Will a reader understand what the Agency needs?	___	___	___
Does the statement emphasize the most important aspects of what the Agency needs - rather than minor details?	___	___	___
C. Statement of Work Content			
C.1 Scope of Work			
Is the entire document written for the purpose for which it was intended? Is there too much information? Not enough information?	___ ___ ___	___ ___ ___	___ ___ ___
Does the work statement contain only essentials (actual minimum requirements? Have "nice to have" items been eliminated? Ask the following questions to judge whether material should be included:	___ ___	___ ___	___ ___
Does it specify contractor responsibilities?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Is it necessary in order for the government to obtain required results?	___	___	___
Is there a clear and unambiguous description of products or services to be provided?	___	___	___
C.2 References			
Have all necessary technical standards (e.g., FIPS PUBS and other software requirements) been clearly stated?	___	___	___
Have life cycle management requirements been cited?	___	___	___
Are reference documents properly described and properly cited?	___	___	___
Has the document been carefully screened?	___	___	___
Is all of it pertinent or should only portions be referenced?	___	___	___
Is the material cross-referenced to the applicable part of the work statement?	___	___	___
C.3 Technical Requirements			
Is the work statement sufficiently detailed to permit an offeror to determine all technical requirements?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Can the contractor estimate costs, determine manpower (labor) and other resources needed to accomplish each task or phase of the work?	___	___	___
Are directions readily distinguishable from general information?	___	___	___
Does the SOW describe the requirements and contain little theoretical discussion?	___	___	___
Are technical and performance specifications consistent?	___	___	___
Does the SOW explain the interrelationship between tasks and how tasks are related to desired results and deliverables?	___	___	___
Has any government required methodology been described?	___	___	___
Are the phases or stages of the requirement advanced in clear progression?	___	___	___
If elapsed time is used, is it clear whether the time will be counted as calendar days or as work days?	___	___	___
Are time requirements consistent throughout?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Have all requirements for data been specified?	___	___	___
Do any standard specifications or paragraphs apply in whole or in part?	___	___	___
If so, are they properly cited and referenced?	___	___	___
Does the statement identify technical constraints and limitations?	___	___	___
D. Performance Requirements/Progress			
Have all government obligations been specified?	___	___	___
Can the contractor still perform if the government does not meet its obligations?	___	___	___
Are the requirements for a progress report stated?	___	___	___
Are reporting requirements (technical and progress/compliance) clear?	___	___	___
Have timing, content, and level of detail been specified?	___	___	___
Does the statement contain standards which will make it possible for all parties to measure performance?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Are inspection and acceptance criteria clear and concise?	___	___	___
Are specific duties and end results set forth in such a way that the contractor will know exactly what is required and the government can determine compliance?	___	___	___
E. Deliverables			
Have all necessary deliverables been listed?	___	___	___
Does the work statement define all deliverables i.e., all reports, test results, supporting data, computer tapes, audiovisuals, models, and prototypes, drawings, and other items to be delivered?	___	___	___
Does the statement indicate for each deliverable:			
(1) the quantity (number of copies, etc.) desired?	___	___	___
(2) the form in which each deliverable is to be supplied?	___	___	___
(3) the delivery date?	___	___	___
(4) the specific place for delivery?	___	___	___
Is the intended use or context of each deliverable clear?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
F. Proposal Requirements			
Will it help prospective offerors write technical proposals responsive to the government needs?	___	___	___
Has required technical data that the contractor must include in a proposal been enumerated?	___	___	___
Does that data correlate with the evaluation criteria to be used?	___	___	___
Is the work statement sufficiently detailed to permit equal understanding by all offerors?	___	___	___
Has the SOW been written so as to maximize competition?	___	___	___
Are there any factors in the SOW that will limit competition? If so, can they be changed to maximize competition?	___ ___	___ ___	___ ___
G. Administrative Requirements			
Have personnel requirements been detailed to include experience and education level, security requirements, etc.?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Have hours of operation been stated (as applicable)?	___	___	___
Does the SOW involve a system of records? If so, are Privacy Act requirements specified for the government and the contractor?	___	___	___
Are there any security requirements?	___	___	___
(1) Physical or management?	___	___	___
(2) Have they been properly specified?	___	___	___
Have all government furnished materials and equipment been specified?	___	___	___
Have the control and return requirements and any other related requirements been specified?	___	___	___
Have facility requirements been fully identified and described?	___	___	___
Is it clear where the contractor is expected to work?	___	___	___
Are the technical, administrative, and contractual points of contact identified?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
When appropriate, is there evidence of a proper commitment of funds signed by the appropriate official or an appropriate statement on future availability of funds?	___	___	___
Is there a government cost estimate for the procurement?	___	___	___
H. Writing Style			
Have the major topic areas and paragraphs been numbered in a concise and consistent manner?	___	___	___
Are illustrations appropriate?	___	___	___
Do they provide information that is relevant?	___	___	___
Is there any extraneous information that will serve to confuse the reader?	___	___	___
Are tables clear and concise?	___	___	___
Do they summarize appropriate information?	___	___	___
Is the format laid out in an understandable manner?	___	___	___
Are active verbs rather than passive verbs used?	___	___	___
Is the term "the contractor shall" used for work to be performed by the contractor?	___	___	___
Is the use of adjectives kept to a minimum?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Is "and/or" used sparingly?	___	___	___
Is the writing style clear and concise?	___	___	___
Has simple, direct, and mandatory wording been used?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
II. ADP Requirements			
A. Have the required and applicable studies, analyses, and justifications been completed? Check for the following:	___	___	___
o Determinations of need and requirements analysis,	___	___	___
o OMB Circular A-76 studies,	___	___	___
o Documentation to support the dollar evaluation placed on evaluated optional features and on other technical and contractual evaluation factors to be used in the solicitation,	___	___	___
o Justifications for compatibility limited requirements,	___	___	___
o Justifications for a specific make and model, and	___	___	___
o Software conversion studies.	___	___	___
Have the requirements of the ADP sharing program and the reutilization program been met?	___	___	___
Can established commercial sources be used?	___	___	___
Has an industry review of the ADP specifications been made?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Can the required ADP resources be realistically obtained by procurement within the time frame specified?	___	___	___
Has ADP procurement authority been obtained from the Department and GSA, as appropriate and necessary?	___	___	___
Is the systems life stated?	___	___	___
Does the SOW allow the receipt of alternatives from various contractors?	___	___	___
B. Technical Specifications			
Is the type of specification described appropriate for the effort?	___	___	___
If make and model or brand name or equal specification were chosen, have they been justified?	___	___	___
Have you compared procurement alternatives and chosen one that is appropriate? Are they stated?	___	___	___
Have inspection and acceptance criteria been enumerated? Have you chosen to benchmark or have an operational capability demonstration?	___	___	___
Does the government require any minimum warranty requirements? Have they been specified?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Are there any plans for future augmentation? Are there any requirements relating to such? Have they been described?	___	___	___
Are the mandatory requirements identified? Are they clearly mandatory requirements?	___	___	___
Are the evaluation optional features identified? Are they clearly optional?	___	___	___
Will the government use monitors to test and inspect the hardware and software? If so, are they described?	___	___	___
Are any technical specifications in direct conflict with each other or any other part of the document?	___	___	___

C. Hardware

Are any of the following equipment specifications necessary? If so, are they detailed?	___	___	___
o Weight	___	___	___
o Dimensions	___	___	___
o Interconnecting cables	___	___	___
o Mounting	___	___	___
o Cooling	___	___	___
o Electrical	___	___	___
o Enclosures	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
o Corrosion/fungus protection	___	___	___
o Finish/color	___	___	___
o Operational control placement	___	___	___
o Circuit board coating	___	___	___
o Test point locations	___	___	___
o Subassembly labeling	___	___	___
o Modular design	___	___	___
D. Software			
Does the government desire any special licensing requirements? Have they been described?	___	___	___
Have all the user requirements been specified?	___	___	___
Have any maintenance requirements been specified?	___	___	___
Have the hardware and operating system compatibility requirements been specified?	___	___	___
Will the software require future expansion? If so, have these requirements been described?	___	___	___
E. Training			
Has the number of people to be trained been specified?	___	___	___
Have the training requirements been specified?	___	___	___

PROCUREMENT CHECKLIST

	YES	NO	NOT APPLICABLE
Who will provide instructors? Government? Contractor?	___	___	___
Has the training location been stated? Contractor or government provided facility?	___	___	___
Who will develop/provide course materials? Has this been stated?	___	___	___

STATEMENT OF WORK FORMAT

I. BACKGROUND

A. General History
B. Legislative History
C. Related Efforts

II. PURPOSE

A. Overall Program Objectives
B. Specific Program Objectives
C. Relationship of Work to Overall Program Objectives

III. CONTRACT TASKS TO BE PERFORMED

A. Tasks
B. Methodologies
C. Specifications and Standards
D. Period of Performance
E. Government Provided Property (or Data)

This is the actual description of the work to be performed. This portion of the SOW will tell prospective contractors what needs to be done and, to the extent necessary, how. Schedule constraints (i.e., the period of performance) and details on government technical assistance (e.g., government provided property) are included here since they may impact the substance of the work or methodological constraints. Details may be referenced and the referenced documents may be attached or further described in Section VIII of this SOW format. If existing specifications or standards are to be used to detail portions of the work, they should be listed separately even though they may have been referenced in the task descriptions.

VI. DELIVERABLES

A. Products or Services to be Performed
B. Milestones
C. Schedule (Chart or Narrative)

This portion states what the contractor delivers, when it is due and to whom the deliverable is submitted. It should also include the format and number of copies. The deliverable schedule may be expressed as specified calendar dates or elapsed calendar/work days from a milestone.

V. PROGRAM MANAGEMENT AND CONTROL REQUIREMENTS

A. Quality Control
B. Cost Control
C. Management System Requirements

Although these management requirements are separated from the basic work requirements, they must be developed in coordination with task requirements and will become co-equal requirements to be followed in contract performance.

VI. REPORTING REQUIREMENTS

A. Interim Technical Progress Reports
B. Final Technical Progress Report
C. Briefings

This section includes the frequency and content requirements for contractor reporting. This section should include requirements for contractor briefings and preparation and submission of briefing materials.

VII. INSPECTION, TEST, AND ACCEPTANCE CRITERIA

A. Interim Approvals Required
B. Method of Evaluation
C. Test and Testing Procedures

This portion sets forth the standards by which deliverables (including services) will be accepted or rejected. As applicable, time frames for acceptable contractor response to service requests should be stated. The standards set forth are the only ones which may be properly used to accept or reject the projects of the contract.

VIII. EXHIBITS AND REFERENCE DOCUMENTS

A. Bibliography and Reference
B. Sample Formats for Reports
C. Detailed Description of Government Furnished Property
D. Specifications and Standards

Lengthy material, of whatever nature, should be included in a references section rather than in another portion of the SOW. For example, adherence to a 15 page technical ADP standard may be a crucial methodological requirement for the task description, but inclusion of 15 pages of detail would unnecessarily interrupt the flow of the task description. The same principles apply for instance, to background material and an annotated bibliography.