



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

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Date:

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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

NOT
APPLICABLE

NO

YES

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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
<u>B. Objectives to be Achieved</u>			
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?	—	—	—
<u>C. Statement of Work Content</u>			
<u>C.1 Scope of Work</u>			
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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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?	—	—	—
<u>C.2 References</u>			
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?	—	—	—
<u>C.3 Technical Requirements</u>			
Is the work statement sufficiently detailed to permit an offeror to determine all technical requirements?	—	—	—

PROCUREMENT CHECKLIST

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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?	—	—	—
<u>D. Performance Requirements/Progress</u>			
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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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?	—	—	—
<u>E. Deliverables</u>			
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

NOT
APPLICABLE

NO

YES

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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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?	—	—	—
<u>H. Writing Style</u>			
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

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

PROCUREMENT CHECKLIST

NOT
APPLICABLE

NO

YES

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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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?	—	—	—
 <u>B. Technical Specifications</u>			
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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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. <u>Hardware</u>			
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

	<u>YES</u>	<u>NO</u>	<u>NOT APPLICABLE</u>
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

NOT
APPLICABLE

NO

YES

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.