



1. PURPOSE

The purpose of this document is to provide the SPAWAR claimancy policy and guidance regarding the nomination and designation of Contracting Officer's Representatives (COR).

The COR is the "eyes and ears" of the Procuring Contracting Officer (PCO) and acts as the technical liaison between the Government and the contractor regarding the SOW/PWS and/or specification(s) under a contract. As a practical matter, the PCO rarely has the expertise in all the areas necessary to ensure successful contract completion, therefore, the PCO must rely on the COR to assist in requirements development and contract administration of the technical and administrative terms and conditions of the contract.

Related guidance is available under Contract Management Process Guide (CPMG) sections [1.2.9.1.6 Contracting Officer's Representative \(COR\) Assignment](#) and [5.2.3.3 COR Responsibilities](#).

2. POLICY

It is the policy of the SPAWAR Contracting Office that the Procuring Contracting Officer (PCO) may designate qualified personnel as their authorized representatives **prior to contract award** in order to assist in the technical monitoring and administration of service and other than service contracts. If the PCO determines that the need to designate a COR exists, the PCO shall request that the requiring activity nominate a qualified COR. The PCO's request must include the type of standard (i.e., Type A, B, or C; see paragraph 2.2 below) and responsibilities identified for COR performance; the anticipated period of performance of COR responsibilities; whether the COR nominee will participate in pre-award activities; and, COR nominee security clearance requirements. The requiring activity will propose a COR, and, if concurred to by the PCO, the *COR will initiate the COR nomination process in the [DoD COR Tracking \(CORT\) Tool](#). In an effort to engage the COR in pre-award activities, the nomination should occur around the time the purchase request is submitted. The COR nomination is reviewed and approved in the [CORT Tool](#) by the COR's supervisor and the PCO; the PCO designates the COR in the [CORT Tool](#). Refer to the [COR Training Wiki](#) for [CORT Tool](#) Information, including PowerPoint Briefs for the COR, COR Supervisor/Commander, and PCO/Contract Specialist roles.*



2.1 A COR shall be designated for the following:

- All Services contracts regardless of contract type (but see Note below);
- Cost-reimbursement, time & materials, or labor hour type contracts;
- Prime Mission Product Contracts (Supply or Services);
- All other contracts when the PCO determines that designating a COR is appropriate;
- Note: PCOs may exempt service contracts from this requirement when the following three conditions are met:
 - The contract will be awarded using Simplified Acquisition Procedures;
 - The requirement is not complex; and
 - The PCO documents why the designation of a COR is unnecessary.

2.2 Qualifications

Any designation and certification type shall be in writing and should specify all duties for which the COR is responsible ([DFARS 201.602-2](#)). Only persons technically qualified, certified, and properly trained will be designated CORs and only designated



persons will perform COR duties. The following standards have been identified to certify CORs:

- A. Type A: Fixed-price contracts without incentives and low performance risk. COR duties/responsibilities are generally limited to minimal technical/administrative monitoring of the contract.
- B. Type B: Fixed-price contracts with incentives; fixed-price contracts with other than low performance risk; and other than fixed-price contracts. This includes everything other than Types A and C. COR duties/responsibilities are of increased complexity.
- C. Type C: Unique contract requirements that necessitate the COR have a higher education or specialized training beyond the Type B requirements. COR duties/responsibilities involve highly complex or specialized requirements.

2.3 Duties and Responsibilities

The duties and responsibilities of the COR are set forth in [DFARS 201.602-2](#) and [DFARS PGI 201-602-2](#). Further detail is provided in the designation letter and contract.

2.3.1 ADMINISTRATION

The duties of the COR include maintaining a contract file that is reflective of meaningful surveillance to include correspondence, reviews, notes, observations, and actions. This file must include documentation commensurate with the contract activity and key information such that a person reviewing the file would have a good perspective of the purpose of the contract, what has been received to-date, the quality of deliverables received, what has been paid to-date, and any special circumstances. By following the [COR File Review Checklist](#), CORs will find a logical outline to organize and maintain key file documentation.

2.3.2 TASK AND DELIVERY ORDERS

Where work under a contract is assigned by task order or delivery order, the COR shall track performance, labor hours and mix ordered, and labor hours and mix expended by individual order.

2.3.3 PROHIBITIONS - THE COR IS PROHIBITED FROM:

- Changing the intent or substance of a contract or order (e.g., pricing/cost/fee, quantities, quality, scope, delivery schedule, labor mix, or other terms).
- Issuing delivery orders.
- Providing direction to contractors (provide clarification instead);
- Promising additional work.
- Issuing stop work orders.
- Delegating COR authority, duties, or responsibilities.
- Disclosing budget, source selection or proprietary information.
- Being assisted in the performance of COR duties by a non-government employee.
- Requiring the contractor to provide personal services for the requiring organization or for the COR.
- Interfering with contractor personnel practices and dealings with organized labor (this includes directing a contractor to hire specific personnel).



3. RESPONSIBILITIES

[DoD Instruction 5000.72, DoD Standard for Contracting Officer's Representative \(COR\) Certification](#) defines minimum COR competencies, experience, and training according to the nature and complexity of the requirement, the contract performance risks, and introduces new structure and rigor to the performance of COR functions by delineating roles and responsibilities for the COR, COR management and the PCO.

3.1 Program Manager (PM)/ Requiring Organization

- Identifying the relevant experience, expertise, and training required to accomplish the surveillance necessary to ensure quality, satisfactory performance, and successful contract completion.
- Selecting a government employee(s) with the relevant qualifications, experience, and training for nomination as the authorized COR(s).
- Ensuring that the individual nominee maintains adequate technical expertise by completion of appropriate training requirements.
- Documenting in the employee's annual performance assessment the extent to which the COR is successfully performing their COR duties.
- Reviewing and approving *COR self-nominations within the [CORT Tool](#) (CORT Tool Supervisor/Commander)*.

3.2 PCO

- Ensuring that Contracting Officer's Representative ([DFARS 252.201-7000](#)) clause is included in the contract when anticipating COR designation.
- Reviewing the proposed acquisition relevant to delegating authority for technical surveillance and associated administrative functions.
- Reviewing the qualifications, experience, and training of proposed nominee(s) to accomplish the technical surveillance and the associated administration functions for the instant acquisition. *Note: accomplished within the [CORT Tool](#).*
- Reviewing the functions to be delegated to ensure no conflict of interest exists with functions delegated to a contract administration office.
- Preparing the designation letter to include the authority being delegated, the definitive responsibilities for accomplishing technical surveillance and associated administrative duties applicable to the applicable contract or order, and specifically noting that the designee(s) may be personally liable for any unauthorized acts. *Uploads designation letter into the [CORT Tool](#).*
- Obtaining the COR designee's acceptance signature on the designation letter as far in advance of contract award as possible to facilitate the COR's involvement in the pre-award process as needed.
- Providing a copy of the COR designation letter to the contractor and the contract administration office.
- Providing a copy of the contract or order to the COR upon award.
- Performs annual COR File Reviews using the [COR File Review Checklist](#) template and *uploads COR File Review Checklists to the [CORT Tool](#).*
- Termination of COR designations as necessary. Note: *accomplished within the [CORT Tool](#).*

3.3 COR Nominee or COR

Specific responsibilities are detailed in the COR's designation letter and contract. They may include, but are not limited to:

- Completing all required COR training prior to COR designation. Link to COR Training Requirements Matrix is [here](#).



- *Initiating the COR self-nomination process in the [CORT Tool](#).*
- Completing the acknowledgement and acceptance portion of the designation letter and returning a copy with the original acceptance signature to the contracting officer for retention in the contract file.
- Meeting with the PCO to review delegated responsibilities and obtain clarification of any questioned duties or responsibilities and concerns as necessary/desired.
- Avoiding a conflict of interest, or any appearance of a conflict of interest. If a conflict, or the perception of a conflict of interest develops, notifying the designating PCO, supervisor and ethics official immediately.
- Performing designated COR duties and responsibilities and complying with this SCPPM document. Documenting actions taken in accordance with the designation letter.
- Carefully reading and understanding the contract.
- *Establish and maintain a COR file for each contract, task order, and delivery order assigned in the [CORT Tool](#). Link to [CORT Tool COR Role brief](#) is [here](#).*
- Providing reports and documentation to support significant actions taken.
- Acting as technical liaison between the Government and the contractor with respect to the contract specification and SOW/PWS, and ensuring the PCO is kept apprised of the contractor's performance.
- If contract includes Services, entering required information into the Department of the Navy's Enterprise Contractor Manpower Reporting Application (eCMRA), and ensuring contractor compliance with reporting information into CMRA in accordance with OSD Memorandum, Enterprise-wide Contractor Manpower Reporting Application (ECMRA) of November 28, 2012. Link to eCMRA PowerPoint brief is [here](#).
- Developing a Contract Quality Assurance Surveillance Plan (QASP), or non-PBSA Surveillance Plan detailing contract monitoring procedures, providing a copy of the plan to the contracting officer, *retaining a copy of the plan in the [COR file in the CORT Tool](#)*, accomplishing surveillance based upon the plan, and updating the plan as needed to maintain its currency. Sample Contract Administration and QASP document is [here](#).
- Managing Government Furnished Property (GFP); refer to the  [GFP SCPPM](#).
- Reviewing contractor's invoices and supporting documentation, ensuring labor hours, labor mix, travel, and materials, as applicable, are consistent and reasonable for the work authorized and performed, and documenting the invoice review using an  [Invoice/MSR Review Form](#).
- Reviewing invoices for Service Contracting Performance Metrics in accordance with [SPAWARNOTE 4200](#), and uploading performance metric documentation (i.e., the signed Invoice Review Form) into the [Online Reporting Tool](#).
- Promptly reporting any substantive deficiencies in contract performance, or other instances of noncompliance with the contract terms and conditions to the PCO.
- Assessing the contractor's performance, and ensuring the completion of CPARS documentation; refer to the  [CPARS SCPPM](#) for further guidance.
- Certifying when all deliverables have been accepted.
- Reporting any instance of suspected conflict of interest or fraud, waste, and abuse to the contracting officer or the local Office of General Counsel.
- Assessing the contractor's compliance with the contract or order security requirements.



- Reviewing and completing documentation relevant to the closeout of the contract or order (e.g., reviewing DD Form 882 and completing the Patent Clearance Memorandum for the Office of Patent Counsel).
- Forwarding all COR files, upon physical completion of the contract or order, to the PCO for retention with the official contract file. Prior to forwarding files, discuss with PCO which files may be discarded and which must be retained and how files should be organized before forwarding. *Note: This only applies to COR File documents located outside of the [CORT Tool](#). COR File documents uploaded into the [CORT Tool](#) do not need to be forwarded to the PCO, since the PCO has access to the documents in the [CORT Tool](#).*

3.4 Alternate COR (ACOR)

- Performs COR functions/duties when the COR is unavailable;
- Possess the necessary COR qualifications as evidenced in the COR's nomination and COR supervisor's COR nomination approval and certification.

4. PROCEDURE

4.1 Training and Qualifications

1. CORs are required to complete required initial and refresher training, and any other training and/or certifications necessary to perform technical oversight of the contract. See the [COR Training Wiki](#) for COR training requirements, links and resources. CORs on SSC Atlantic and SSC Pacific contracts/orders should refer to Toolbox sections 6.2.1 and 6.2.2 for guidance concerning required training, since it differs somewhat from HQ.
2. *The [CORT Tool](#) tracks COR assignment, training, and qualifications.*

4.2 Nomination and Designation

1. **PCO** determines that a need to designate a COR exists (see paragraph 2.1).
2. **PCO** requests that the requiring activity nominate a qualified COR.
3. **PM/Requiring Organization** nominates COR.
4. **COR Nominee** *initiates COR self-nomination process in the [CORT Tool](#).*
5. **COR Nominee** files an initial OGE Form 450 Confidential Financial Disclosure Report via the [Financial Disclosure Management website](#).
6. The cognizant [CORT Tool Supervisor/Commander](#) *reviews and approves COR nomination in the [CORT Tool](#). Link to [CORT Tool Supervisor/Commander Role](#) brief is [here](#).*
7. **PCO** *reviews the nomination in the [CORT Tool](#)* to ensure:
 - a. Required COR training (and appropriate refresher training) has been successfully completed by the nominee and that the nominee is a government employee;
 - b. Other elements of the nomination are complete and accurate.
8. **PCO** prepares and issues a [COR Designation letter](#).
 - a. Including the extent and method of contract monitoring appropriate to the particular contractual effort and establishes a feedback procedure to ensure that the PCO is informed of significant contract events.
 - b. For security-related COR responsibilities, the designation letter must identify any specific areas in the contract where security monitoring is required and contain required language in the event a COR is given security monitoring responsibilities. Note: a COR's security-related responsibilities do not include those under the auspices of the SPAWAR Security COR or Security Manager (SPAWAR 8.3.3).



9. Upon receipt of designation letter, the **COR** completes the acknowledgment/ acceptance portion, signs the letter, and returns the original to the PCO.
10. **PCO** provides a copy of the fully executed COR designation letter to the parties identified in the letter as well as to the COR's supervisor. The PCO will also *upload the signed letter into the [CORT Tool](#)*.
11. **PCO** provides a copy of the contract/order to the COR. containing the applicable COR clause.

4.3 Managing the Contract or Order

1. **COR** executes their duties and responsibilities in accordance with the designation letter and this SCPPM document.

4.4 Managing Contract Performance

1. **COR** acts as central POC for contract administration:
 - a. Reviews and approves contractor [Travel Request](#) in advance of travel – also see [Travel of Personnel CONUS-OCONUS](#).
 - b. Maintains copies of all contractor requests and reports (e.g., Trip Reports, Travel requests, CAC and Badge Requests).
 - c. Review and approve all Badge Requests, Escort Privileges and After Hour's Access Requests.
 - d. Depending on how the Requiring Organization (e.g., Program Office, Staff Code, Tech Code) has assigned COR roles and responsibilities, the COR may be assigned as the Trusted Agent (TA) for all contractor CAC functions.
 - e. Tracks all mandatory events and training status by contractor employee. (e.g., Government Information Systems, NDAs, IA, Privacy Act, SAAR). Generally, the contractor provides this information in their Monthly Status Report (MSR).
 - f. Manages GFP IAW [GFP SCPPM](#).
 - g. Participates in related datacalls as required.
2. **COR** monitors and evaluates the contractor performance IAW the Quality Assurance Surveillance Plan (QASP). See [Sample QASP](#) and [1.2.9.2.2 Performance Based Service Acquisition](#) SCPPM.
3. **COR** monitors the contractor's progress, costs, and quality of performance and keeps stakeholders (e.g., PCO, PM, DPM, TPOCs) apprised of status.
4. **COR** promptly reports to the PCO any substantive deficiencies in contract performance or other instances of noncompliance with contract terms and conditions.
5. **COR** maintains a file of all contract/order-related correspondence and documentation. This includes meeting minutes, emails, ad hoc reviews, issues/concerns, phone calls, etc. Provide reports and documentation to support significant actions taken as requested by the PCO - see [COR File Documentation](#). **Note:** *The COR file should be maintained in the [CORT Tool](#) to the maximum practicable extent, however, it may be augmented by other files (e.g., email files established within Microsoft Outlook; files established on the COR's personal share drive; hard-copy files). If there are COR files maintained outside of the [CORT Tool](#) COR file, the COR will create and upload to the [CORT Tool](#) COR file a document which identifies their location and contents.*
6. **COR**, if assigned Assessing Official responsibilities, prepares and submits required Contractor Performance Assessment Reviews via CPARS. See [CPARS SCPPM](#).



4.4.1 INVOICING

1. **Contractor** notifies the **COR** via email when an invoice has been submitted; provides soft copy of the invoice and any requested back-up data to assist the COR with the Invoice review/validation process.
2. **COR** reviews contractor invoices submitted for payment via *iRAPT following the [iRAPT Invoice Review \(Formerly WAWF\) SCPPM](#)*. The Invoicing Clause G has been revised to include mandatory e-mail notification to the COR when contractors submit the invoices via iRAPT.
3. **COR** promptly notifies the **contractor** and/or the **PCO** of any inconsistencies between work actually performed by the contractor and performance claimed on invoices, as well as inefficiencies of the contractor.
4. If the contract specifies a labor mix/level of effort, the **COR** is responsible for monitoring the actual labor mix/level of effort expended and is responsible for periodically reporting to the **PCO** any significant differences between the contracted and actual incurred labor mix/level of effort expended.



4.4.2 CONTRACT FILE REVIEW

1. **PCO** performs an annual review of the COR contract files when an option is exercised or on an annual basis using the [COR File Review Checklist](#), and *uploads completed checklist to the [CORT Tool](#)*.
2. **PCO** may perform an out of cycle review when there are issues or events that occur such as:
 - A. Designation of a new COR on the contract (follow [COR Turn-Over Checklist](#)).
 - B. Overall CPARS rating of unsatisfactory or marginal, or when a potentially adverse action (e.g., Termination for Default, "Show Cause" Letter, Stop Work Order) is being contemplated.
 - C. Problems with COR performance in any area of responsibility:
 - Untimely/poor quality modification SOWs, PWS's/Independent Government Estimates.
 - Inadequate/non-existent [Invoice/MSR Review Forms](#) .
 - Inadequate/non-existent [performance metric](#) reporting.
 - Delinquent/poor quality CPARS.
 - Issuing questionable Technical Direction Letters (TDL). Link to TDL SCPPM is [here](#).
 - Complaints regarding monitoring of contractor performance or requesting contractor performance outside the scope of the contract.
3. **PM/requiring organization** recommends a replacement if the PCO determines the assigned COR is not properly monitoring a contract/order.
4. **PM/requiring organization** submits the completed [Sample COR Termination Letter](#) to the **PCO** when replacing an existing COR or terminating a COR without cause due to final close-out. *Alternatively, the PCO may choose to use the [CORT Tool Termination Letter "Smart Form."](#)*

5. APPROVALS

Only the Contracting Officer may designate a COR as their authorized representative to assist in the technical monitoring or administration of a contract.

6. TOOLBOX



The list below reflects items discussed in this SCPPM. *See SPAWAR's [COR Repository](#) for a more extensive list of pertinent memos, templates, and SCPPMs.*



6.1 COR Qualifications

- 1. [COR Training Wiki](#)
- 2.  [COR Designation letter](#)
- 3.  [COR Turn-Over Checklist](#)
- 4.  [Sample COR Termination Letter](#)

6.2 Managing Contract Performance

- 1. [Monitoring Contracts for Services](#) – DON, Oct 2008
- 2. [COR File Documentation](#)
- 3. [Monitoring Contract Performance in Contracts for Services](#) – Aug 2008
- 4. [DoD COR Handbook](#) – Mar 2012
- 5. [SPAWARINST 4440.12A \(GFP\)](#)
- 6. [Online Reporting Tool](#) - SPAWAR
- 7.  [COR File Review Checklist](#)
- 8.  [Sample Travel Request](#)
- 9.  [Sample QASP](#)
- 10.  [Invoice/MSR Review Form](#)
- 11. [Trusted Associate Sponsorship System \(TASS\)](#)- website
- 12. [Financial Disclosure Management](#) – (OGE Form 450)

6.2.1 SSC ATLANTIC

- 1. [COR Duties, Responsibilities & Reference Material](#) - website

6.2.2 SSC PACIFIC

- 1. [COR Wiki](#)
- 2. [COR Roadmap](#)
- 3. [COR Manual](#)

6.3 SCPPMs

- 1.  [Contractor Performance Assessment Reporting System](#)
- 2.  [1.2.9.2.2 Performance Based Service Acquisition](#)
- 3.  [iRAPT Invoice Review \(Formerly WAWF\)](#)
- 4.  [Travel of Contractor Personnel CONUS-OCONUS](#)
- 5.  [Government Furnished Property](#)
- 6.  [Technical Direction Letters](#)

7. CHANGE HISTORY

Updated material is highlighted by *purple text* and an Alert/New  icon.

Date	Description of Changes
May 2016	SCPPM reorganized and reformatted; added CORT/iRAPT and SPAWAR COR Repository information.
January 2014	Added security-related COR responsibilities.