

PART 53

FORMS

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SUBPART 53.2 - PRESCRIPTION OF FORMS

- 53.201 Federal acquisition system.
- 53.201-91 Request for Review and Approval of Contract/Solicitation Action (DLA Form 677).

(a) General. DLA Form 677 shall be used as prescribed in 1.690 -6. Requests for presolicitation/prenegotiation/postaward contract action review/approval shall be addressed to HQ DLA, ATTN: MMPPB.

(b) General instructions for preparation of DLA Form 677. Instructions for block entries are as follows:

Block No.	Title and/or Instructions
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ALL.....Fill in or "X" only those blocks pertinent to the action requested.

1/1a.....Insert the subparagraph (letter/number) of 1.690 -6 that is applicable. Place an "X" in the appropriate block. If any action presolicitation/prenegotiation or postaward contract) requiring review is being resubmitted, prepare a new DLA Form 677 and indicate in the remarks block that the contract is being resubmitted.

2/2a.....Insert the date of expiration of the bid or proposal, or the date by which existing contract terms required exercise of the option. If the date entered allows less than 10 working days from date of dispatch of the request (as entered in block 18a), the request is to be considered a request for expedited review, and block 2a is to be completed. The reason for requiring expedited review is to be given in block 16, e.g., explain why an extension of the bid/proposal cannot be obtained or should not be requested. If the date entered allows 10 days or more, but an expedited review is desired, the same procedures should be followed.

3.....Describe the type of contract briefly to identify the terms governing quantity, price, and delivery, e.g., Firm Fixed-Price (FFP), Requirements -Fixed-Price with EPA (Rqmts-FP w/EPA).

4/4a/4b/4c.....If more than one CLIN is applicable because of different

F.O.B. points, cite total quantity and give the unit price range. If both F.O.B. origin and F.O.B. destination prices are applicable, give the total quantity applicable to each with the applicable prices/price ranges. When services are described, include the location of performance and the period during which services will be performed.

- 5/5a/5b.....Check the applicable block. IOMs requesting establishment of requirements contracts are to be considered as PRs. Requests for contracting action by a Military Service on other than the prescribed MIPR form are to be considered as MIPRs. The receipt dates desired in 5a and 5b are: (a) for PRs the date of receipt by the Contracting function; (b) for MIPRs the date of receipt in the Center.
- 6a/6b/6c.....Self-explanatory.
- 7/7a/8.....Self-explanatory.
- 9/9a/9b.....If the action proposed is on a definite quantity, firm fixed-price basis, check "actual." For all other types, check "estimated." The total dollar value to be entered is that shown on the face of the proposed contract as the total amount, or total estimated amount of the action. If the action is a modification, only the amount, actual or estimated, of the modification is to be entered. Estimates should represent the amount the Government expects to pay, i.e., the maximum objective or Government Estimate. Under 9b, give the fixed-dollar amount for which funds have been committed.
- 10/10a.....If Government facilities are to be provided under the contract, check the facilities block. If facilities are being furnished rent free, insert "Rent Free" and the dollar value of the facilities. If facilities are being furnished on a rental basis, give the anticipated dollar amount of rental based on the proposed contract delivery schedule and insert "Rental." If material is to be furnished, check the material block. If the material is being furnished by the bailment method, give the total estimated value of the material included in the total contract price and insert bailment.
- 11.....Self-explanatory.
- 12.....Cite FAR paragraph number covering the exception.
- 13.....If an option extends the period of a service or indefinite delivery type contract without change in the amount of work covered, insert the maximum option period.
- 14a.....Insert the number of firms initially solicited and those firms to which solicitations were sent as the result of individual requests.
- 14b.....Self-explanatory.
- 14c.....Reflect the number of firms still in the competitive range.
- 15/15a/15b/15c....Self-explanatory.
- 15d.....The percentage relationship of the proposed price to the immediately preceding contract award price will be shown in block 15d.
-If there was a price adjustment based upon an EPA provision to the previous contract award price used for the price comparison in block 15d, both the contract award price and the latest EPA price should be indicated in the Remarks section.

16/17/17a/
18/18a.....Self-explanatory.

19.....Enclosure blocks to the DLA Form 677 have been prechecked. See the list of attachments in 1.690 -7. Provide a chronology of significant events which have occurred during the course of the acquisition to date. It should begin with the date the purchase request was received in contracting, and list dates of subsequent events impacting the procurement cycle. DLA Form 678 may be used as a guide to identify subjects for the chronology. Delays must be indicated and the causes documented. Documentation for each event should be limited to no more than two typed lines.

General.....1. Should the space allotted on the DLA Form 677 be insufficient, the additional information shall be included on a plain sheet of paper identified as Page No. 2, etc., to DLA Form 677, Contract No. (as shown under block 8). The total number of pages shall be shown in the space provided at the bottom of DLA Form 677.

.....2. The reverse of DLA Form 677 will be used both for replies to requests for solicitation, prenegotiation and preaward approvals (section I) and to return contract files submitted as requested for postaward review (section II).

53.201-92 Contract File Content List (DLA Form 678).

(a) General. DLA Form 678 shall be used as prescribed in 1.690 -7(g).

(b) General instructions for preparation and use of DLA Form 678. The blocks shall be "X'd" and/or filled in as appropriate.

(1) Filing instructions.

(i) Contract file sections shall be identified by inclusion of a divider annotated with the section identification and title, e.g., "Section A Planning and Solicitation." Sections A and B shall be filed on the left side of the file folder with section A on the bottom. Sections C and D shall be filed on the right side of the file folder with section C on the bottom.

(ii) The lowest numbered TAB within each section shall be placed at the bottom of that section. When multiple documents are present under a numbered TAB, e.g., correspondence, memoranda, they shall be filed chronologically with the most recent document on top.

(iii) It is impossible to enumerate all of the factors or conditions which may require specific documentation over and above that normally required. Therefore, as circumstances dictate, contracting officers shall describe, under the appropriate "blank" TAB Nos., e.g., Nos. 15-17; 30-32, such documentation as may be peculiar to the acquisition involved and file same in the analogous contract file section, e.g., TAB 31, Certificate of Competency.

(2) Contract documentation.

(i) The documents identified on DLA Form 678 are those which are normally required to support a sealed bid/negotiated acquisition, other than a small purchase. The file sections provided establish the logical acquisition cycle sequence of documentation. The completed file will constitute a complete chronological history of the transaction and permit ready reconstruction of the actions taken in processing the acquisition.

(ii) The following sections discuss those elements of contract documentation which merit special attention.

(3) Section A - planning and solicitation.

(i) TAB No. 1 PR/MIPR. The file must reflect the manner and extent to which the needs of the requiring activity have been met. It is essential, therefore, that in addition to the basic purchase authority, any changes and justifications be included under this TAB. In the case of amendments, the basis for change must be evidenced, e.g., in those instances where items on the purchase request have been completely lined out or quantities changed, indication must be made of the identity or authority of the individual or activity which requested/authorized the change. In other instances where contracts have been issued calling for something other than that specified on the PR/MIPR, explanation must be included as to the authority/approval for the change and from whom received. Memoranda must adequately identify individuals referred to in

memoranda (e.g., statements such as "this was discussed with and concurred in by Mr. Smith in the Supply function" are inadequate). An individual's full name, title, or position, and the individual's relationship to the subject matter of the memorandum must be clearly established; this is of particular importance should postaward questions arise. Requirements shall be revalidated in those instances where excessive time has elapsed between the issuance of the purchase request and consummation of the contract (see 1.693).

(ii) TAB No. 2 specification/drawing. These documents in many instances either dictate source selection or indicate to the contracting officer the extent of possible competition. Any change either prior or subsequent to solicitation may affect final source selection. When such changes are effected, documentation supporting the change must be included in the file indicating as a minimum: the basis and authority for initiating specification/drawing change; coordination received from appropriate technical personnel; and approval/concurrence of the requiring activity. When specification/drawing changes are initiated/confirmed by the requiring agency on a PR/MIPR amendment, the documentation should be included in TAB No. 1 with an annotation in TAB No. 2 identifying the amendment number.

(iii) TAB No. 3 acquisition plan/amendments. The acquisition plan will include, as a minimum, the information included in 90.1101. The use of preprinted forms for this purpose is acceptable.

(iv) TAB No. 6 non-personal services determination. A statement by the contracting officer that the services proposed for acquisition have been determined to be non-personal in nature is not by itself sufficient to meet the requirements of FAR 37.103(a). Such determination must include the reasons and all of the facts which were deemed to substantiate the nonpersonal aspect of the services. Examples of criteria for characterizing services as non-personal rather than personal are set forth in FAR 37.104(d).

(v) TAB No. 7 Department of Labor (DOL) Wage Determinations. DOL wage determinations are normally effective for a period of 120 days after issuance and must be in effect at the time of solicitation and at the time of award. When it is necessary to obtain extensions on determinations in order to carry them through the period until award is to be made, the documentation authorizing such extension by the DOL must be included under this TAB. A copy of the request and any enclosures sent to DOL shall be included.

(vi) TAB No. 8 small business set-aside determination. The determination required under FAR 19.5 must be accurate and complete insofar as the reason given for not having a small business set-aside. Statements such as "a set-aside was not considered because of insufficient quantity" must be supported. The information included in this determination must accurately reflect the consideration given to compliance with FAR 19.5; the information included therein imposes, in turn, a responsibility to make a realistic evaluation of requirements and a current review of possible sources to substantiate the information used in determining the proposed acquisition method.

(vii) TAB No. 11 source list. The list of sources initially solicited and those to whom solicitations were subsequently issued as a result of requests are to be included; in the latter case, the date requested solicitation was issued will be indicated.

(viii) TAB No. 14 solicitation and amendments. The contract file must include the solicitation document and any amendments thereto. Amendments must accurately reflect their issuance dates. In case of oral solicitations, the requirements of FAR 15.402(f) must be satisfied.

(4) Section B - Preaward support data.

(i) TAB No. 18 abstract of offers. Include on the abstract any conditions of the offers which are related to their evaluation; if lengthy, the "Remarks" column shall be annotated with information indicating the location in the offer of the condition, e.g., "See page ____ of the proposal for exception to specification."

(ii) TAB No. 19 packaging/transportation/freight rate data. Inclusion of transportation/freight rate data, are essential in determining the manner in which transportation costs were applied in arriving at the evaluated prices. Files must also include sufficient information to substantiate that packaging costs are equitable.

(iii) TAB No. 20 cost/pricing data. All cost or pricing data received from the offeror in support of its proposal shall be included under this TAB. If any data should be included in correspondence dealing with other matters which are pertinent to the final contract, e.g., delivery schedule, contract clauses, etc., the original correspondence will be filed under this TAB and a cross-reference (or copy of such correspondence) placed in TAB No. 44.

(iv) TAB No. 21 audit report/waiver/field pricing report. When field pricing support is requested from the cognizant contract management command activity pursuant to FAR 15.805-5, the report obtained, together with any attached assist reports shall be included under this TAB. If the authority contained in FAR 15.805-5(a) and (b) to waive field pricing support is exercised

by the contracting officer, the determination and the supporting available information on which the determination is based shall be included, e.g., should part of the available information include a recent, prior field pricing support report, a copy of the prior field pricing support report shall be included.

(v) TAB No. 25 certificate of current cost or pricing data. Often a contractor will provide a certificate of current cost or pricing data at the close of the negotiation session and will subsequently confirm, by letter, details of the agreements reached. In some instances, the confirming letter will include data which, although previously discussed and accepted, have not previously been presented in writing. In such cases, the certificate of current cost or pricing data presented at the close of negotiations becomes invalid; a new certificate must be obtained to reflect the contractor's last data submission upon which the final price agreement was concluded.

(vi) TAB No. 29 bid/offer evaluation worksheets, computer run. Include documentation pertinent to formal source selection. (See FAR 15.612.)

(vii) TAB No. 30. This tab will be used to incorporate, when applicable, information received from a cognizant ACO relative to the acceptability of the contractor's disclosure statement when the firm has indicated submission of same.

(5) Section C - Other support data.

(i) TAB No. 34 unsuccessful bid/proposal. Include the notification to the offerors (either that already issued or that proposed to be issued) that bids/offers were unacceptable and the reasons therefor.

(ii) TAB No. 36 determination of late/bid proposal. All actions taken in accordance with the procedures prescribed under FAR 14.304 and 15.412 shall be included under this TAB.

53.201-93 Request for Waiver of Preaward Contract Review and Approval (DLA Form 1694).

DLA Form 1694 shall be used as prescribed in 1.690 -8.

53.204 Administrative matters.

53.204-70 DD Form 350, Individual Contracting Action Report.

(b) Part B of the DD Form 350.

Block B4, Completion Date. When preparing a template (see 4.670 -6(b)(4)(i)) use this item to enter the expiration date.

Block B5A, Contractor **Identification Number**. This **block is for reporting the Contractor's nine position DUNS number according to DFARS 253.204-70(b)(5)(ii)(A)**.

Block B5B, Commercial and Government Entity (CAGE) Code. The additional reporting requirement at Subpart 90.9, Updating Small Disadvantaged Business Status and Women-Owned Business Status in the DD Form 350 CAGE File, applies when the small disadvantaged business status or women-owned business status is incorrect in DCARS.

Block B7, Type of Obligation. For DLA contracting offices, the DCARS will generate Code 3 to indicate a template record whenever an IDC is being reported pursuant to 4.670 -6(b)(4)(i), or when a template record is being created for a blanket purchase agreement (BPA) or Federal Supply Schedule.

Block B12C, System or Equipment Code. **Enter** the three position DLA Weapons or System code from the Purchase Request trailer or other source. If not known or the item in B12A is not part of a listed weapon or system, enter "000." DCARS will convert these data into the DoD codes for DoD reporting purposes.

(c) Part C of DD Form 350.

Block C2, Reason Not Synopsized. Enter Code A, Urgency, only when Item C9, Authority for Other Than Full & Open Competition, is coded 2A and Item C8, Solicitation Procedures is coded N, Other Than Full and Open Competition.

Block C7, Number of Offers Received. Offers, for the purpose of completing C7, shall only be offers from responsible contractors capable of satisfying Government requirements. If an offer is an alternate offer and is rejected, or if award must be made before evaluation can be completed, the alternate offer is not to be counted.

(d) Part D of DD Form 350.

The DFARS requires blocks D2, D3, D5, D7, and D8 be blank under certain circumstances. If the contracting officer completes any of these items in one of those circumstances, the DCARS will convert the entry to a blank and pass the record to DoD in the required format. Block D4E, Premium Percent. DLA contracting offices may enter "000" for this item when D4B is coded A or B and D4C is Coded A. The DCARS will convert the record passed to DoD into the required format.

Block D5, Ethnic Group. For DLA, if the Small Disadvantaged Business Concern Representation, (see DFARS 252.219-7000), indicates the offeror is claiming eligibility in the Minority Small Business and Capital Ownership Development Program, Section 8(a) of the Small Business Act, then the ethnic group must also be completed and the appropriate code entered. This item must be completed for all awards made to a small disadvantaged business.

(e) Part E of DD Form 350.

Block E9 may be entered in Part E of the DD Form 350 in the margins or on the reverse side for manual reports. DCARS will provide for these items on the input screen.

(5) Block E9, National Stock Number. Enter the 13 position National Stock Number (NSN) or Local Stock Number (LSN) which defines the item of supply. Do not enter dashes, slants, or similar punctuation marks and do not show spaces between numbers or letters in the stock number. Leave blank when acquiring services (position 1 of B12A is alpha). If more than one NSN or LSN is the subject of this action, enter the stock number of the predominant item as determined by dollar value. If no stock number applies, enter the FSC shown in B12A followed by the word "NONE" without spaces between the two (e.g., "8905NONE").

(g) Special instructions for DD Forms 350 on actions of \$25,000 or less under the Small Business Competitiveness Demonstration Program.

(2)(i) **Block B5A, Contractor Identification Number. Enter the Contractor's nine position DUNS number.**

53.204-71 DD Form 1057, Monthly Contracting Summary of Actions \$25,000 or Less.

(d) When local procedures combine two or more actions into a single award or modification, it may be necessary to split the action into two or more lines in parts B through F. Any portion with a dollar value of more than \$25,000 shall be reported on DD Form 350. These procedures will permit accurate reporting of set-asides and other actions which would either not be reported or reported with an incorrect dollar value if reported as a single action. Examples include but are not limited to the following:

(i) One part of the action was unrestricted while the other part involved one or more socioeconomic programs such as set-asides; or

(ii) One part of the action involved Foreign Military Sales and the remainder did not.

53.205 Publicizing contract actions.

53.205-90 Contract Announcement (DLA Form 1693).

DLA Form 1693 shall be used as prescribed in 5.303.

53.213 Small purchase and other simplified purchase procedures.

53.213-90 Blanket Purchase Agreement Delivery Ticket (DLA Form 470).

This form may be used when supplies or services are acquired by means of a BPA (see FAR 13.202).

(a) General. The DLA Form 470 is a cut sheet form and is designed to be used by the vendor as an acknowledgment of a call, notice of shipment, packing list, and invoice. This form eliminates the need for preparation, by the contractor, of separate forms for these purposes. Also, Government personnel requiring information on these forms will receive it on a standard format.

(b) Procedure. A supply of the forms may be provided by the contracting office to each contractor who has entered into a BPA with the Center. Upon the placing of a call, the contractor may be required to complete the BPA delivery ticket based on information contained in the written or oral call in accordance with detailed instructions to be provided by the contracting office.

(c) General instructions for preparation of DLA Form 470. After the placing of each call, complete the call, complete the form in accordance with the general instructions below, and any specific instructions you may receive with the placing of the call. Entries should be typed.

(1) Block 11. This is the date the supplies are to reach destination, not the date of shipment. Convert the number of delivery days the Government offered to an actual date. For example, if the Government offered a 30-day delivery and received the oral or written call on 1 October, enter 10/31/YY as the required date.

(2) Block 12. This is the date the supplies are to be shipped, not delivered.

(3) Blocks 13 through 19. Information for these blocks will be furnished by the contracting office at the time of the call. Enter the name and address of the consignee in block 15.

(4) Blocks 21 through 23. Entries in these blocks will be made at the time of shipment. Enter actual date shipped or delivered. No partial shipments to a particular destination may be made. If more than one shipment is made against a call, prepare two copies of this form for shipment. Copies of the shipping documents may be attached as an alternative to completing blocks 21 and 22.

(5) When using the form as an ACKNOWLEDGMENT OF CALL. Place a check mark on "*" copies of the form in the box "ACKNOWLEDGMENT OF CALL" (block 9).

(6) When using this form as a NOTICE OF SHIPMENT. Place a check mark in the box "PACKING LIST" (block 9) on "*" copies of the form in the box "NOTICE OF SHIPMENT" (block 9).

(7) When using the form as a PACKING LIST. Place a check mark in the box "PACKING LIST" (block 9) on "*" copies of the reproduced form for each consignee. Be sure blocks 21 through 23 have been completed, as applicable, on the forms used. Send "*" copies to each consignee by placing copies inside the container or in an envelope attached to the exterior of the container.

(8) When using this form as an INVOICE. At the end of the billing period, fill in "*" copies of the reproduced form which includes the shipment data for all destinations of that call as follows:

(i) Place a mark in the box marked INVOICE (block 9) of each copy of the form.

(ii) Sign and date blocks 24 and 25 of the top copy only of the form. If the BPA under which this call was issued does not provide for the fast payment procedure, the top copy must contain the signature and date (blocks 27A and 27B) of the authorized Government representative receiving and/or accepting for the Government.

"*" The number required shall be in accordance with the needs of the contracting office.

53.213-91 Shipping Instruction (DLA Form 1224). This form is used against automated simplified acquisitions.

53.213-92 Request for Quotation (DLA Form 1231). This form is used against automated simplified acquisitions.

53.219 Small business and small disadvantaged business concerns.

53.219-90 Referral of Small Business for Certificate of Competency (CoC) Consideration (DLA Form 1756).

(a) DLA Form 1756 may be used to provide information for CoC referrals as required by FAR 19.602-1, DFARS 219.602-1 and DLAD 19.602-1.

(b) General instructions for preparation of DLA Form 1756:

(1) The name, size status, and total dollar value of the next low offeror should be identified, however, referrals shall not urge a conclusion based upon the size status of the second low offeror.

(2) The remaining blocks of the form are self-explanatory.