**PROCUREMENT TECHNICAL ASSISTANCE PROGRAM**

**PERFORMANCE REVIEW TEMPLATE**

1. **PURPOSE OF REVIEW:**

Cooperative agreement recipients under the Procurement Technical Assistance Program (PTAP) establish Procurement Technical Assistance Centers (PTACs) that assist businesses in pursuing and performing under contracts with DoD, other federal agencies, and state and local governments. The purpose of this review is to assess the quality of the recipient’s performance pursuant to the terms and conditions of the cooperative agreement. http://www.dla.mil/SmallBusiness/PTAP/Resources/

1. **GENERAL INFORMATION:**
2. Cooperative Agreement Number:
3. Recipient Name:
4. Cognizant Administrative Office:

(*Identify the cognizant administrative office (i.e., DCMA or ONR), including address, and the assigned Administrative Grants Officer (AGO). Include name, title, email and phone number.*)

1. Date of Review:
2. Additional Recipient Information:

Program Manager Name:

E-mail Address:

1. **EXECUTIVE SUMMARY:**
2. Background:

(*Discuss pertinent background information such as AGO’s prior experience with this recipient and any historical challenges, improvements, any history the AGO wants to share with the GO*)

1. Results:

(*Summarize significant findings and recommendations, whether positive or negative, that impacted the recommendation and anything else the AGO wants to share with the GO.*)

1. Recommendation:

*(Provide a recommendation concerning the continuation of the cooperative agreement and/or follow-on award to include suggested special conditions that may be included in the award.)*

SIGNATURE BLOCK

Administrative Grants Officer

**SUGGESTED REVIEW ITEMS- NOT FOR SUBMISSION TO DLA**

|  |  |  |  |
| --- | --- | --- | --- |
| **Mark "X" in the appropriate column.** | YES | NO | N/A |
| 1. **PERFORMANCE REPORTING on the DLA 1806** (See Appendix A of terms and conditions version 1.2 for definitions and performance reporting requirements) |  | | |
| * 1. What has been reported is in accordance with the performance report’s instructions. |  |  |  |
| * 1. The recipient maintains backup documentation that substantiates the data reported. (e.g. counseling hours in client tracking database match those reported in the 1806 and the clients reside in the PTAC’s service area) |  |  |  |
| 1. **CLIENT SERVICES** |  | | |
| * 1. The recipient has appropriate outreach procedures in place to make the government and the public aware of the PTAC. (e.g. participating in government agency procurement meetings, small business regional councils, chambers of commerce, advertising) See page 21 of terms and conditions version 1.2. |  |  |  |
| * 1. The client tracking database shows that the area served by the PTAC is consistent with the cooperative agreement’s service area. |  |  |  |
| * 1. The recipient participates in events that are appropriate in terms of the event’s content as well as the scope of the PTAP and the mission of the PTAC. See page 22-23 of terms and conditions. |  |  |  |
| * 1. Client success stories are on file with the PTAC, pursuant to the cooperative agreement’s terms and conditions. |  |  |  |
| 1. **PROGRAM IMPLEMENTATION** |  | | |
| * 1. The recipient has adequate internal controls that provide reasonable assurance that it is managing the cooperative agreement in compliance with statutes, regulations and the cooperative agreement’s terms and conditions. |  |  |  |
| * 1. The recipient executes its program with integrity and avoids any conflict of interests. |  |  |  |
| 1. **ADMINISTRATIVE REQUIREMENTS** |  | | |
| * 1. Required reports are timely, accurate and complete (e.g., the DLA Form 1806 and the SF 425). |  |  |  |
| * 1. The recipient complies with national policy requirements such as policies prohibiting discrimination and restrictions on lobbying. |  |  |  |
| **Mark "X" in the appropriate column.** | YES | NO |  |
| * 1. Any third-party in-kind contributions used towards the required cost share were identified in the cooperative agreement or received prior approval and are adequately documented. See page 43 of terms and conditions. |  |  |  |
| 1. **PROGRAM INCOME –** See page 45 of terms and conditions version 1.2. Earning program income; PTACs may not charge for training but may charge enough to cover the cost of food and facilities at a specific event. PTACs may also charge a specified amount for bid matching services and customized reports. See page 22 of the terms and conditions. |  | | |
| * 1. Reporting program income (on the SF 425 and on the SF270); program is added to the **total program cost**. The effect of this is that federal and recipient each receive benefit of the program income in a share that exactly matches the cost sharing ratio negotiated in the award. |  |  |  |
| * 1. Spending program income. PTACs must spend program income on cost reasonable and necessary for operation of the PTAC, and must expend program income prior to requesting federal reimbursement. |  |  |  |
| 1. **FACILITIES -** The recipient’s facilities are adequate in terms of - |  | |
| * 1. Available office space; |  |  |
| * 1. The resources available within the facilities; |  |  |
| * 1. Accessibility; |  |  |
| * 1. Parking; |  |  |
| * 1. Signage; |  |  |
| * 1. General appearance of the office space. |  |  |
| 1. **THE PROGRAM MANAGER** |  | |
| The Program Manager is a full-time employee, who spends 100% of his/her time employed by the recipient working on the PTAC. |  |  |
| 1. **OTHER PERSONNEL** |  | |
| * 1. The recipient has a fully staffed program, pursuant to its budget. |  |  |
| * 1. The recipient provides for continued professional development and appropriate training for PTAC staff. |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Mark "X" in the appropriate column.** | YES | NO | N/A |
| 1. **FINANCIAL MANAGEMENT** |  | | |
| * 1. Invoices/vouchers for payment are timely, accurate and complete and MUST be submitted via WAWF. |  |  |  |
| * 1. If applicable, the recipient has complied with terms and conditions concerning revision of budget and program plans. |  |  |  |
| * 1. If applicable, the costs charged to either a distressed and/or non-distressed area budget are allocable in accordance with the principles and methods provided in the applicable cost principles. |  |  |  |
| * 1. Procurement procedures utilized comply with the standards outlined in the DoDGARs and/or the cooperative agreement’s terms and conditions. |  |  |  |
| * 1. If applicable, billing of indirect costs is in accordance with the recipient’s indirect cost rate agreement and the DLA cooperative agreement. |  |  |  |
| 1. **COST SHARING REQUIREMENTS** |  | | |
| The recipient has satisfied the cooperative agreement’s cost sharing requirements or there is a high expectation that it will. |  |  |  |

**Guidance for Reviewers**

This guidance is written to assist you in understanding cooperative agreement terms and conditions that may be helpful in conducting your reviews. The guidance applies to PTAP cooperative agreements with an award date after October 1, 2018. Terms and conditions for these cooperative agreements are in version 1.2 which is available online at <http://www.dla.mil/SmallBusiness/PTAP/Resources/>. The review template and this guidance use the terms “PTAC” and “recipient” interchangeably.

**Performance**

1. Goals

Performance goals coincide with the cooperative agreement’s period of performance and are specified in the cooperative agreement. In the PTAC submitted performance report (i.e., DLA Form 1806), goals are established for 1) number of new clients, 2) hours of counseling time, and 3) number of participated events. is available in Appendix A of the terms and conditions.

1. Client services

The recipient is required to have ongoing outreach procedures in place to make the public aware of its PTAC. It is also required to collaborate with DoD and other federal agencies to accomplish the work. The PTAC’s service area is identified in the cooperative agreement and the assistance the PTAC provides should generally be limited to this area. The “Program Requirements” part of the cooperative agreement terms and conditions discusses the scope of “procurement technical assistance” and the types of services the PTAC is expected to provide and is located on pages 21-28, and Appendix A in the terms and conditions.

**Management**

1. Program implementation

The “Program Requirements” part of the cooperative agreement terms and conditions describe the website and email address the PTAC is required to maintain. The recipient must have a system of internal controls that conform to 2 CFR 200.303 and provide reasonable assurance that it is managing the cooperative agreement in compliance with statutes, regulations and the cooperative agreement’s terms and conditions. 2 CFR 200.318(c) requires the recipient to maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts. More generally speaking, PTAC personnel are required to perform their duties with integrity and avoid any real or perceived conflict of interest.

1. Administrative requirements

Reporting requirements are in the “Financial, Programmatic, and Property Reporting” part of the cooperative agreement terms and conditions, for example, the DLA Form 1806 for performance reporting and the SF 425 for financial reporting. There is also a part specifying “National Policy Requirements,” including policies prohibiting discrimination and restrictions on lobbying, which prohibit a recipient from using the Federal funds it receives to lobby Congress. A recipient using other funds to lobby is required to disclose those activities as specified in 32 CFR Part 28. Cooperative agreement terms and conditions require the PTAC to obtain prior approval to use third-party in-kind contributions to meet cost sharing requirements if they are not identified in the cooperative agreement.

1. Program income

Program income means income that is earned as a result of a cooperative agreement. For example, any fee collected by the PTAC from clients is program income. The “Financial and Program Management” part of the cooperative agreement terms and conditions includes requirements for program income. The PTAC is allowed to earn program income under certain limited circumstances. The recipient must use any program income earned to increase the amount budgeted for the PTAC and program income must be used to further the purpose of the cooperative agreement. The recipient must exclude from any payment request amounts that are available from program income (i.e., program income is spent first). There are blocks on the SF 425 for the recipient to report program income, if applicable and AGO’s should ensure the recipient does not have unexpended program income reported on a SF425 during the same period of time that a SF270 is submitted requesting federal reimbursement. Program income must be expended prior to requesting federal funds.

**Technical**

1. Facilities

The PTAC must have facilities that are readily identifiable by signage, easily accessible to the public, and professional in appearance. At the same time, facilities should not be excessive or cost more than is necessary for the operation of a PTAC.

1. The program manger

The PTAC must have a program manager, employed on a full-time basis (i.e., must devote 100% of his/her time to the PTAC). The program manger must have knowledge and understanding of Federal, State and local government contracting policies and procedures. The program manager must have appropriate management qualifications and a thorough understanding of the cooperative agreement’s requirements.

1. Other personnel

The recipient must employ personnel consisting of individuals that are qualified to advise businesses on how to seek, obtain and perform on Federal, State and local government prime contracts and subcontracts. The PTAC is required to maintain resumes for personnel charged to the cooperative agreement and is expected to fill vacant positions promptly. The PTAC should have a professional development program in place for its employees.

**Financial**

1. Financial management

Financial management system standards are in the “Financial and Program Management” part of the cooperative agreement terms and conditions, for example, the recipient’s financial management system must include written procedures for determining the allowability of costs and provide effective control over all funds. The “Financial and Program Management” part also provides the requirement for the recipient to obtain prior approval for certain budget revisions, for example, to make subawards not included in the budget or to transfer funds among budgeted cost categories (e.g., personnel, travel, etc.) if the cumulative amount of the transfers exceeds 10 percent of the total budget. If applicable, the allocability of costs between distressed and non-distressed area budgets is discussed in the “Program Requirements” part of the cooperative agreement terms and conditions. The “Procurement Procedures” part addresses standards for recipient procurements, for example, requirements for competition and that the recipient performs a cost or price analysis.

1. Cost sharing requirement

The cooperative agreement requires the recipient to meet a specified percentage of cost sharing with non-Federal funds, which is usually between 25% and 40%. The “Financial and Program Management” part of the cooperative agreement terms and conditions addresses allowability of cost sharing contributions, which may include cash and third-party in-kind contributions. Cost sharing contributions are allowable if they are 1) properly documented, 2) not counted as cost sharing or matching for any other Federal award, 3) allowable under the applicable cost principles applicable and are reasonable, 4) not paid for by the Federal Government, 5) not reimbursed by the Federal share of the cooperative agreement, and 6) conform to other cooperative agreement terms and conditions. The valuation of third party in-kind contributions is also addressed in “Financial and Program Management”.

1. Recipients must use WAWF to submit cost vouchers. The prompt payment act does not apply so recipients are not entitled to interest payments. When paid, interest payments must be returned to the government via check to US Treasury.