

## **SUPPLY CHAIN TRACEABILITY DOCUMENTATION REQUIREMENTS AND EXAMPLES**

1) By submitting a quotation or offer, the contractor agrees that, when the contractor is not the manufacturer of the item, it is confirming that it currently has or will obtain before delivery and shall retain documented evidence (supply chain traceability documentation) that the item is from the approved manufacturer and conforms to the technical requirements. The retention period is five years after final payment under this contract.

(2) At a minimum, the supply chain traceability documentation for the item shall include: basic item description, part number and/or national stock number, manufacturing source, manufacturing source's commercial and government entity code (e.g. CAGE code), and clear identification of the name and location of all supply chain intermediaries between the manufacturer to the contractor to item acceptance by the Government. The documentation should also include, where available, the manufacturer's batch identification for the item, such as date codes, lot codes, or serial numbers.

(3) The contractor shall immediately make available documentation upon request of the contracting officer. The contracting officer determines the acceptability and sufficiency of documentation. If the contractor fails to retain or provide the documentation or the contracting officer finds the documentation to be unacceptable, corrective action may be taken including, but not limited to, cancellation of undelivered orders or rejection of delivered supplies.

(4) Examples of supply chain traceability documentation include, but are not limited to the following:

(4.1) If the contractor is the authorized dealer/distributor for the approved source (e.g. original component manufacturer or original equipment manufacturer) of the item specified in the solicitation/contract item description, the contractor shall maintain one of the following:

(4.1.1) A copy of its current dealer/distributor agreement;

(4.1.2) A letter of authorization from the approved source.

(4.1.3) By submission of the documentation described in paragraphs (4.1.1), and (4.1.2) the contractor represents that the dealer/distributor relationship with the approved source applies to the item specified in the solicitation/contract item description being procured by the Government.

(4.1.4) If the contractor dealer/distributor status with the approved source changes after award, the contractor shall promptly notify the contracting officer. Failure to provide such notification is grounds for cancellation of award, or termination for default/cause, as applicable.

(4.2) If the contractor is not the authorized dealer/distributor of the approved source for the item specified in the solicitation/contract item description, the following shall apply:

(4.2.1) If the contractor identified the offered item as "not in stock/not currently owned by the offeror" or "not yet manufactured," the contractor shall:

(4.2.2) Maintain a verifiable quotation from the approved source, or from an authorized dealer/distributor for the approved source.

(4.2.3) The quotation shall include the following information:

(4.2.4) The item part number or designation, which shall be provided in sufficient detail to document that the item quoted is the same as the item being procured by the Government;

(4.2.5) The quantity, which shall be sufficient to satisfy the solicitation requirement;

(4.2.6) The unit price quoted by the approved source, or by the authorized dealer/distributor for the approved source;

(4.2.7) The date of the quotation; and

(4.2.8) The name and phone number of the representative of the approved source, or the name and phone number representative of the authorized dealer/distributor for the approved source.

(4.2.9) The quotation shall be on the letterhead of the approved source, or of an authorized dealer/distributor for the approved source; or an electronic quotation, which shall be clearly identifiable as coming to the contractor from the approved source, or from an authorized dealer/distributor for the approved source.

(4.2.10) If the offered items are obtained from an authorized dealer/distributor for the approved source, the contractor shall maintain the information described in paragraphs (4.1.1), and (4.1.2) to document the authorized dealer/distributor arrangement; and the terms in paragraphs (4.1.3) and (4.1.4) shall apply.

(4.2.11) If the contractor identified the offered item as “shipped” or “in stock/currently owned by the offeror,” the following shall apply:

(4.2.12) The contractor shall maintain one of the following documents:

(4.2.13) The invoice received by the contractor from the approved source, or from an authorized dealer/distributor for the approved source; or

(4.2.14) The packing slip that accompanied the shipment to the offeror/ contractor from the approved source, or from an authorized dealer/distributor for the approved source. The packing slip shall include a packing slip number. (If no packing slip number was provided, the contractor shall obtain and maintain written documentation from the approved source, or from the authorized dealer/distributor for the approved source, verifying the packing slip number. Such documentation shall include the name and address of the approved source, or of the authorized dealer/distributor for the approved source; the date of the correspondence; and the name and phone number of the representative of the approved source, or of the authorized dealer/distributor for the approved source, who provided the information.)

(4.2.15) The documentation furnished in accordance with paragraphs (4.2.13) and (4.2.14), shall include the following:

(4.2.16) Date;

(4.2.17) The name and address of the approved source, or of the authorized dealer/distributor for the approved source;

(4.2.18) The name and phone number of the representative of the approved source, or of the authorized dealer/distributor for the approved source;

(4.2.19) The item part number or designation, which shall be provided in sufficient detail to document that the item provided to the contractor is the same as the item being procured by the Government;

(4.2.20) The quantity, which shall be sufficient to satisfy the solicitation requirement;

(4.2.21) The unit price charged by the approved source, or by the authorized dealer/distributor for the approved source; and

(4.2.22) The contractor's name and address.

(4.2.23) If the offered item is obtained directly from an authorized dealer/distributor, the contractor shall maintain the information described in subparagraph (4.1.1) and (4.1.2) to document the authorized dealer/distributor arrangement; and the terms in and the terms in paragraphs (4.1.3) and (4.1.4) shall apply.

(4.2.24) If the offered items are not obtained directly from an approved source, or from an authorized dealer/distributor of an approved source, the contractor shall maintain documentation, as described in paragraph (4.2), sufficient to establish the complete line of ownership or distribution from the approved source, or from an authorized dealer/distributor for the approved source, to the offeror/contractor.

(5) If the solicitation states inspection and acceptance shall take place at destination, the Government reserves the right to change the place of inspection and acceptance to origin, and to invoke quality assurance requirements such as product verification testing IAW Defense Logistics Agency Directive (DLAD) Procurement Notes E03 "Product Verification Testing (SEP 2016)" at time of award, with no increase in the awarded item price.