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**COMMERCE ACQUISITION MANUAL  
1301.6**

**DEPARTMENT OF COMMERCE  
CONTRACTING CERTIFICATION AND WARRANT PROGRAM**

# COMMERCE ACQUISITION MANUAL 1301.6

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# Contracting Certification and Warrant Program

## Section 1 – Overview

### 1.1 Background

The quality and effectiveness of the federal acquisition process depend on the development of a capable and competent workforce. Congress recognized the need for a professional workforce through the passage of the Defense Acquisition Workforce Improvement Act (DAWIA) (10 U.S.C. §§ 1741-46) and the Office of Federal Procurement Policy (OFPP) Act (41 U.S.C. § 433) which established education, training, and experience requirements for entry and advancement in the acquisition career fields for the Department of Defense (DOD) and civilian agencies respectively.

On April 15, 2005, OFPP issued Policy Letter 05-01<sup>1</sup>, Developing and Managing the Acquisition Workforce, which established career management, education, and training requirements for contracting personnel in civilian executive agencies. Policy Letter 05-01 established the government-wide framework for creating a federal acquisition workforce with the skills necessary to deliver best value supplies and services, find the best business solutions, and provide strategic business advice to accomplish agency missions.

Building on the previous efforts to improve the development of the acquisition workforce, OFPP issued, in a memorandum dated January 20, 2006<sup>2</sup>, government-wide requirements that govern the Federal Acquisition Certification in Contracting (FAC-C). These requirements were later revised in December 2008<sup>3</sup> to better align with the Department of Defense Acquisition Workforce Improvement Act (DAWIA) contracting certification curriculum in an effort to strengthen the civilian contracting function. To further improve the FAC-C program and align more closely with the DAWIA certification, OFPP revised the FAC-C program requirements in its memorandum dated May 7, 2014<sup>4</sup>.

### 1.2 Purpose

The purpose of the Department of Commerce (DOC) Contracting Certification and Warrant Program is to provide the framework and establish procedures for implementing the requirements of OFPP Policy Letter 05-01.

### 1.3 Applicability

The Contracting Certification and Warrant Programs are applicable to the following acquisition workforce employees within the Department of Commerce:

- All employees in the contracting series (GS-1102); and
- All warranted Contracting Officers, regardless of series, with authority to obligate funds above the micro-purchase threshold.

### 1.4 Program Objectives

The primary objectives of the DOC Contracting Certification and Warrant Programs are to improve the capabilities and management of the Department's contracting workforce by attracting, selecting, developing and retaining a highly qualified, diverse workforce capable of performing current and future acquisition functions; prepare future key leaders; provide career guidance and opportunities for

<sup>1</sup> Available at: [http://www.whitehouse.gov/omb/procurement\\_policy\\_letter\\_05-01/](http://www.whitehouse.gov/omb/procurement_policy_letter_05-01/)

<sup>2</sup> Available at: [http://www.whitehouse.gov/sites/default/files/omb/procurement/acq\\_wk/fac\\_contracting\\_program.pdf](http://www.whitehouse.gov/sites/default/files/omb/procurement/acq_wk/fac_contracting_program.pdf)

<sup>3</sup> Available at: [http://www.whitehouse.gov/sites/default/files/omb/assets/procurement/fac\\_contracting\\_program.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/procurement/fac_contracting_program.pdf)

<sup>4</sup> Available at: <http://www.whitehouse.gov/sites/default/files/omb/procurement/memo/revisions-to-federal-acquisition-certification-in-contracting.pdf>

broadening experiences and progression in the career field; and ensure effective use of training and education resources. Successful implementation of the program will result in a professional, agile and motivated workforce that consistently makes smart business decisions, and delivers timely and affordable capabilities to meet the mission of the Department.

### 1.5 Core Competencies

Historically, contracting professionals have approached contracting from a process-based perspective. Acquisition reforms, technology-driven changes in work processes, and the focus on leveraging outcomes and results have driven new ways of doing business in the Federal government. Today, contracting professionals serve as business advisors, responsible for the entire business cycle, from using relevant marketplace knowledge to develop strategies, to managing contractor performance and maintaining useful business relationships into the future. Successful acquisitions now require a results-oriented view of the process with contracting professionals serving as advisors to their stakeholders. The transformation from a process-based view of contracting to a results-oriented view requires new standards of performance within the acquisition community, which requires new skills and knowledge.

The Federal Acquisition Institute (FAI) has identified and validated a set of professional business and technical competencies essential for effectively performing contracting duties. Competencies combine knowledge, skills and abilities with behavior and other characteristics needed to successfully accomplish assignments in an acquisition environment. The competencies reinforce the need for business acumen, customer service, flexibility, leadership, and integrity and are the focus of training and development. The essential contracting competencies are summarized in Figure 1-1, *Contracting Competencies* to include both professional business and technical competencies. A description of the competencies and its aligned skill is available on FAI’s website at: <http://www.fai.gov/drupal/node/92>.

**Figure 1-1 Contracting Competencies**

<b>Professional Business Competencies (10)</b>	
<ul style="list-style-type: none"> <li>▪ Problem Solving</li> <li>▪ Customer Service</li> <li>▪ Oral Communication</li> <li>▪ Written Communication</li> <li>▪ Interpersonal Skills</li> </ul>	<ul style="list-style-type: none"> <li>▪ Decisiveness</li> <li>▪ Technical Credibility</li> <li>▪ Flexibility</li> <li>▪ Resilience</li> <li>▪ Accountability</li> </ul>
<b>Technical Competencies (28)</b>	
<ul style="list-style-type: none"> <li>▪ Determine How Best to Satisfy Requirements</li> <li>▪ Consider Socio-Economic Requirements</li> <li>▪ Promote Competition</li> <li>▪ Source Selection Planning</li> <li>▪ Solicitation of Offers</li> <li>▪ Responsibility Determination</li> <li>▪ Bid Evaluation (Sealed Bidding)</li> <li>▪ Proposal Evaluation (Contracting by Negotiation)</li> <li>▪ Source Selection</li> <li>▪ Contract Award</li> <li>▪ Process Protests</li> <li>▪ Justification for Other than Full and Open</li> <li>▪ Terms and Conditions</li> <li>▪ Preparation and Negotiation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Advanced Cost and/or Price Analysis</li> <li>▪ Initiation of Work</li> <li>▪ Contract Performance Management</li> <li>▪ Issue Changes and Modifications</li> <li>▪ Approve Payment Requests</li> <li>▪ Close-out Contracts</li> <li>▪ Address Small Business Concerns</li> <li>▪ Negotiate FPRAs &amp; Administer Costs</li> <li>▪ Contract Termination</li> <li>▪ Procurement Analysis</li> <li>▪ E-Business and Automated Tools</li> <li>▪ Program Coordinator for Purchase Card</li> <li>▪ Construction/Architect &amp; Engineering (A&amp;E)</li> <li>▪ Contracting in a Contingent Environment</li> </ul>

## 1.6 Career Paths for the Contracting Series (GS-1102)

The Department of Commerce has identified three career paths (Level I, II, and III) for the contracting career field, which are designed to facilitate the development of the necessary competencies needed by the contracting workforce to progress to senior acquisition levels. Within each career path there are experience, education, formal training and development programs, and informal growth and development opportunities. Requirements identified in each level are cumulative. All requirements for each lower level must be met in order to move to the next level.

The career paths will assist employees in planning career development activities and setting goals for accomplishing the necessary training. Pathways for career progression include both vertical and lateral movement. Lateral movement within and between career paths is highly encouraged, primarily at the intermediate level. Lateral movements broaden the contracting professional's experience base and can be accomplished through details, developmental opportunities and rotational assignments. Multi-specialty experience, for upper-level positions, is important for individuals who strive to secure work assignments and training in more than one of the functional areas of acquisition.

A guide to determining career path development is provided in subsections 1.6.1 through 1.6.3. Figure 1-2, Model Contracting Career Paths, outlines the career paths for the contracting series and incorporates the Office of Personnel Management (OPM) Qualification Standard for Contract Specialists<sup>5</sup> and the Federal Acquisition Certification in Contracting (FAC-C) requirements. Grades are typical and should not imply a direct correlation with timing for promotion or completing the experience, education, and training standards.

### 1.6.1 Level I (Junior)

Entry level standards target grades 5 and 7, or the equivalent, and are designed to establish fundamental competencies and expertise in an individual's job series or career field. Development at the entry level lays the foundation for career progression and is designed to prepare qualified and motivated personnel for positions of increasing responsibility. At the entry level, individuals are exposed to fundamental acquisition procedures and the roles of various support functions such as pricing, property administration and quality assurance.

### 1.6.2 Level II (Intermediate)

Intermediate level standards target grades 9 through 12, or the equivalent, and emphasize specialization. Development continues and includes on-the-job rotational assignments. As the employee progresses to the higher grades within this level they are introduced to basic management principles through training and development assignments. Although specialization is emphasized at the beginning of this level, the individual should later broaden their background toward a more general expertise in the overall processes of their career field. Development of the generalist normally involves establishing a good foundation of experience in the employee's primary specialty followed by lateral movement to a related specialty. Standards for development at Level I must be met before progressing to Level II.

### 1.6.3 Level III (Advanced)

The advanced level standards target grades 13 and above, or equivalent, and emphasize in-depth knowledge in a functional area and breadth of knowledge across the entire acquisition process. Management training is commensurate with the individual's job performance and their potential for advancement into managerial positions. Advanced acquisition education and training are imperative for a more global perspective. Standards for development at Level II must be met before progressing to Level III.

<sup>5</sup> Available at: <http://www.opm.gov/policy-data-oversight/classification-qualifications/general-schedule-qualification-standards/1100/contracting-series-1102/>

**Figure 1-2 Model Contracting Career Paths**

Typical Grade	Education	Experience	Training
<p><b>Level I – Junior</b> GS-5/7 (or equivalent)</p>	<p>Baccalaureate degree from an accredited institution. <b>OR</b> At least 24 semester hours from among the following disciplines: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.</p>	<p>At least one year contracting experience</p>	<p><b>(10) Core Courses</b></p> <ul style="list-style-type: none"> <li>• Choose either CON 100 – Shaping Smart Business Arrangements <b>or</b> FCN 101 – Contracting Basics</li> <li>• CON 121 – Contract Planning</li> <li>• CON 124 – Contract Execution</li> <li>• CON 127 – Contract Management</li> <li>• FAC 023 – Basic Contracting for GSA Schedules</li> <li>• FAC 031 – Small Business Programs</li> <li>• CLC 057 – Performance-Based Payment &amp; Planning Cash Flow</li> <li>• CLC 058 – Introduction to Contract Pricing</li> <li>• CON 170 – Fundamentals of Cost &amp; Price Analysis</li> <li>• Either CON 090 – (DOD) FAR Fundamentals <b>or</b> FCN 190 – (Civilian) FAR Fundamentals</li> </ul> <p><b>80 CLPs every 2 years</b></p>
<p><b>Level II – Intermediate</b> GS-9/11/12 (or equivalent)</p>	<p>Baccalaureate degree from an accredited institution. <b>OR</b> At least 24 semester hours from among the following disciplines: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.</p>	<p>At least two years of contracting experience</p>	<p><b>(8) Core Courses</b> All Level I Training</p> <ul style="list-style-type: none"> <li>• CON 200 – Business Decisions for Contracting</li> <li>• CON 216 – Legal Considerations in Contracting</li> <li>• CLC 056 – Analyzing Contract Costs</li> <li>• CON 270 – Intermediate Cost and Price Analysis</li> <li>• CLC 051 – Industrial Property in the Possession of Ctrs.</li> <li>• HBS 428 – Negotiating</li> <li>• CON 280 – Source Selection and Administration of Service Contracts</li> <li>• CON 290 – Contract Administration &amp; Negotiation Techniques in a Supply Environment</li> </ul> <p><b>80 CLPs every 2 years</b></p>
<p><b>Level III – Advanced</b> GS-13 and above (or equivalent)</p>	<p>Baccalaureate degree from an accredited institution that includes or is supplemented with at least 24 semester hours from among the following disciplines: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.</p>	<p>At least four years contracting experience</p>	<p><b>(2) Core Courses</b> All Level I and II Training</p> <ul style="list-style-type: none"> <li>• CON 360 – Contracting for Decision Makers</li> <li>• Select one Harvard Business School module (other than HBS 428)</li> <li>• Choose one of the following:                             <ul style="list-style-type: none"> <li>ACQ 265 – Mission-Focused Services Acquisition</li> <li>ACQ 315 – Understanding Industry (Bus. Acumen)</li> <li>ACQ 370 – Acquisition Law</li> <li>CON 244 – Construction Contracting</li> <li>CON 252 - Fundamentals of Cost Accounting Standards</li> <li>CON 370 - Advanced Contract Pricing</li> </ul> </li> <li>• 32 hours of acquisition-related electives (may be 1 course or a series of courses but must be at least 8 hours in length).</li> </ul> <p><b>80 CLPs every 2 years</b></p>

**1.7 Management Information System**

Section 37(d) of the OFPP Act, as amended (41 U.S.C. 433(d)) requires each executive agency to collect, maintain and utilize information to ensure effective management of the acquisition workforce. Senior Bureau Procurement Officials are responsible for establishing policies for maintaining complete, training, education, certification and continuous learning records for members of their acquisition workforce. The Federal Acquisition Institute maintains the Federal Acquisition Institute Training Application System (FAITAS), a government-wide system used to track acquisition personnel training and certification information. Section 3.9 provides requirements for documenting and recording training, education and certification information in the management information system. Information on FAITAS is available at: <https://www.atrrs.army.mil/faitas/External/Login/?ReturnUrl=%2ffaitas>.

## **1.8 Roles and Responsibilities**

### **1.8.1 Chief Acquisition Officer (CAO)**

The Chief Financial Officer and Assistant Secretary for Administration has been designated the Chief Acquisition Officer for the Department of Commerce. The CAO is responsible for:

- a. Developing and maintaining an acquisition career management program to ensure the development of a competent, professional workforce to support the accomplishment of the Department's mission; and
- b. Implementing a budget strategy that reflects the workforce development needs and organizational structure of the Department.

### **1.8.2 Senior Procurement Executive (SPE)**

The Director for Acquisition Management has been designated Senior Procurement Executive for the Department of Commerce. The SPE is responsible for:

- a. Implementing the Contracting Certification and Warrant Program department-wide;
- b. Approving waivers to the OPM 1102 Qualification Standard; and
- c. Granting acquisition certifications.

### **1.8.3 Acquisition Career Manager (ACM)**

The Director, Acquisition Policy and Oversight Division has been designated Acquisition Career Manager for the Department of Commerce. The ACM is responsible for:

- a. Ensuring that the Department's acquisition workforce meets the requirements of the Contracting Certification and Warrant Program by identifying staffing needs, training requirements and other workforce development strategies;
- b. Recommending to the SPE waivers to the OPM 1102 Qualification Standard;
- c. Ensuring the Department's acquisition workforce is registered in FAITAS; and
- d. Reviewing FAC-C applications.

### **1.8.4 Senior Bureau Procurement Official (BPO)**

The Senior Bureau Procurement Official is responsible for:

- a. Workforce planning to ensure the operating unit's acquisition workforce receives training and development opportunities consistent with the Contracting Certification and Warrant Program, operating unit-specific needs, and Individual Development Plans (IDP);
- b. Coordinating annual training needs; coordinating and submitting requests for education and training waivers to the SPE for approval;
- c. Establishing policies for maintaining complete, accurate and current training, education, certification and continuous learning records for members of their acquisition workforce in FAITAS;
- d. Designating a Bureau Career Manager to manage the Contracting Certification and Warrant Program within their operating units; and

- e. Submitting an annual warrant report to the Office of Acquisition Management.

#### **1.8.5 Head of Contracting Office (HCO)**

The Heads of Contracting Offices are responsible for:

- a. Tracking and reporting completed education and training requirements in FAITAS;
- b. Ensuring that an IDP is prepared for each acquisition workforce employee; and
- c. Submitting requests for education and training waivers to the BPO.

#### **1.8.6 Bureau Career Manager (BCM)**

The Bureau Career Manager is responsible for:

- a. Serving as the designated bureau-level point of contact for the Contracting Certification and Warrant Program;
- b. Reviewing and analyzing certification applications for their Bureau procurement office;
- c. Assisting candidates with identifying certification requirements;
- d. Providing concurrence on all FAC-C applications and continuous learning achievement requests in FAITAS; and
- e. Ensuring communication regarding the Contracting Certification and Warrant Program is disseminated to their Bureau's acquisition community.

#### **1.8.7 Supervisor of Acquisition Workforce Employee**

Supervisors of Acquisition Workforce Employees are responsible for:

- a. Filling vacancies with employees that meet specific organizational needs as well as minimum qualification standards as set forth in the OPM 1102 Qualification Standard;
- b. Determining if an employee has met the mandatory requirements to enable them to move to the next career path;
- c. Determining if an employee has the requisite qualifications to participate in a training course or developmental assignment;
- d. Providing assistance to the employee in identifying training and development opportunities;
- e. Providing guidance to the employee during the development of the IDP;
- f. Reviewing and approving employee IDPs;
- g. Providing career guidance to the employee as appropriate; and
- h. Reviewing and approving employee training, education and certification requirements in FAITAS.

### **1.8.8 Acquisition Workforce Employee**

Acquisition Workforce Employees are responsible for:

- a. Their personal career progression and development which includes: meeting qualification standards as set forth in the OPM 1102 Qualification Standard;
- a. Developing an IDP to identify training and development opportunities for a multi-year time frame;
- b. Identifying development opportunities that may contribute to the advancement of career goals;
- c. Meeting requisite qualifications to participate in training courses or developmental assignments;
- d. Submitting proof of completed education and training requirements;
- e. Entering and maintaining training and education requirements in FAITAS; and
- f. Applying for certification and/or recertification once training requirements have been met.

**END OF SECTION 1**

## Section 2 – Qualification Standards for Contracting Career Field

### 2.1 Background

The Clinger-Cohen Act, P.L. 104-106, required the Administrator of OFPP to establish General Schedule (GS) 1102 employment qualification standards for acquisition workforce positions in civilian agencies. As a result, the Contract Specialist Qualification Standard was established by the Office of Personnel Management which sets forth the education and experience requirements for civilian employees in the GS-1102 series (<http://www.opm.gov/qualifications/sec-iv/b/gs1100/1102.htm>). Appendix C provides answers to frequently asked questions concerning the GS-1102 Qualification Standard.

### 2.2 Basic Requirements for GS-1102 Grades 5 through 12

The Basic education requirements for employees in the GS-1102 series at grades 5 through 12 are:

- A. A 4-year course of study leading to a bachelor's degree with a major in any field;
- OR**
- B. At least 24 semester hours in any combination of the following fields: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.

Figure 2-1, *OPM GS-1102 Qualification Standard*, outlines the education and experience required to qualify for positions at the GS-7 through GS-12 level covered by this standard.

**Figure 2-1 OPM GS-1102 Qualification Standard**

<b>Grade</b>	<b>Education</b>	<b>Or Specialized Experience</b>
<b>GS-7</b>	1 full academic year of graduate education or law school or superior academic achievement	1 year equivalent to at least GS-5
<b>GS-9</b>	2 full academic years of progressively higher level graduate education or masters or equivalent graduate degree or LL.B. or J.D.	1 year equivalent to at least GS-7
<b>GS-11</b>	3 full academic years of progressively higher level graduate education or Ph.D. or equivalent doctoral degree	1 year equivalent to at least GS-9
<b>GS-12</b>	No educational equivalent	1 year equivalent to at least next lower grade level
<b>Equivalent combinations of education and experience are qualifying for all grade levels for which both education and experience are acceptable.</b>		

In addition to meeting the basic education requirements outlined above, applicants who are qualifying for positions at grades GS-7 through GS-12 based on experience must possess at least one year of specialized experience at or equivalent to work at the next lower level that provided the knowledge, skills, and abilities to perform successfully the work of the position. Graduate education in one or a combination of the following fields is required to qualify for GS-1102 positions on the basis of graduate education: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.

## 2.3 Basic Requirements for GS-1102 Grades 13 and Above

The Basic education requirements for employees in the GS-1102 series at grades 13 and above are:

- a. Completion of all mandatory training prescribed by the head of the agency for progression to GS-13 or higher level contracting positions, including at least 4-year experience in contracting or related positions. At least one year of that experience must have been specialized experience at or equivalent to work at the next lower level of the position, and must have provided the knowledge, skills, and abilities to perform successfully the work of the position.

**AND**

- b. A 4-year course of study leading to a bachelor's degree with a major in any field that included or was supplemented by at least 24 semester hours in any combination of the following disciplines: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.

## 2.4 Exceptions

### 2.4.1 Exceptions for GS-1102 Grades 5-12

Employees in GS-1102 positions are considered to have met the standard for positions they occupied on January 1, 2000. Employees who occupied GS-1102 positions at grades 5 through 12 are considered to meet the basic requirements for other GS-1102 positions up to and including those classified at GS-12. This includes positions at other agencies and promotions up through grade 12. However, employees must meet specialized experience requirements when seeking another position. This exception does not apply if there was a break in service after January 1, 2000.

### 2.4.2 Exceptions for GS-1102 Grades 13 and Above

Employees in the GS-1102 positions at grades 13 and above are considered to have met the standard for positions they occupied on January 1, 2000. This also applies to positions at the same grade in the same agency or other agencies if the specialized experience requirements are met. However, the employee must meet the basic requirements and specialized experience requirement in order to qualify for a promotion to a higher grade, unless granted a waiver as set forth in Section 2.5 below. This exception does not apply if there was a break in service after January 1, 2000.

## 2.5 Waiver Authority

The OPM 1102 Qualification Standard **cannot** be waived for new entrants into the GS-1102 career field or individuals applying for contracting series positions at grades 12 and below. The OPM 1102 Qualification standards for individuals applying to contracting series positions at grades 13 and above can be waived at the discretion of the Senior Procurement Executive. The SPE is required to certify that the applicant for such positions possesses significant potential for advancement to levels of greater responsibility and authority based on demonstrated analytical and decision making capabilities, job performance, and qualifying experience. Waiver authority cannot be delegated and will only be granted for **exceptional and compelling** circumstances of a specific hiring action such as when there are no qualified candidates readily available. There are no "blanket" waivers for an individual or an organization.

### 2.5.1 Waiver Process

If it is determined that a waiver will be necessary to fill a vacancy for a GS-1102 position at grade 13 and above, the vacancy announcement must state that the agency will consider applicants who require a waiver. The vacancy announcement must state that candidates who do not meet the qualification requirements may be considered for a waiver in accordance with the GS-1102 qualification standard. HCOs are responsible for coordinating with their servicing Human Resource Management office to ensure proper notification is placed within the vacancy announcement.

When making a selection, if an applicant does not meet the qualification standards, the HCO must provide the request for waiver to the BPO for review. The BPO is responsible for ensuring that the request clearly documents the need for the waiver and indicates that there are no qualified candidates readily available to fill the position. Upon concurrence by the BPO the waiver request shall be forwarded to the SPE for approval. **The waiver request must be approved prior to making an offer.** In most instances the waiver provision will be utilized when hiring for hard-to-fill positions or duty locations where it may be difficult to attract qualified candidates.

### 2.5.2 Waiver Packages

Waiver packages forwarded to the SPE for approval should include the following information:

- a. Copy of the position description and vacancy announcement;
- b. Description of the recruiting efforts undertaken by the organization and the results of those efforts including the sources used for recruiting;
- c. Application or resume of tentatively selected individual;
- d. Narrative from the HCO describing the potential of the applicant for advancement to levels of greater responsibility and authority based on demonstrated analytical and decision-making capabilities, job performance, and qualifying experience;
- e. Draft plan, agreed to by the tentatively selected individual and the supervisor, which delineates a time line for achieving the educational and/or training requirements. The plan should be finalized and signed by both parties after the waiver is granted and selection has taken place. A copy of the final plan shall be provided to the ACM within 5 days of entry on duty;
- f. Documentation that demonstrates the tentatively selected individual is actively pursuing completion of the requirements;
- g. Justification that relates the applicant's background and experience to the performance requirements of the job to be filled. The justification must address why the individual was selected in lieu of candidates who fully met the education and training requirements (if any), and any impact a disapproval of the waiver would have on the organization;
- h. Identification of actions that will be taken if the conditions of the waiver are not met; and
- i. Memorandum of concurrence and a recommendation for approval of the waiver from the BPO.

Requests for waivers that do not include the documentation listed above will be returned to the recommending BPO without further action. A sample waiver memorandum is provided in Appendix D.

The waiver request package should be submitted electronically to: [FAC-CApplication@doc.gov](mailto:FAC-CApplication@doc.gov). In the event that electronic submission is not available, waiver packages may be sent to:

U. S. Department of Commerce  
Office of Acquisition Management  
Acquisition Career Manager  
1401 Constitution Avenue, NW  
HCHB Room 1854  
Washington, DC 20230

**END OF SECTION 2**

## Section 3 – Training and Certification Program

### 3.1 Background

The development of a highly-qualified, well-trained workforce is critical to ensuring the Department accomplishes its mission. Investment in training and development of the acquisition workforce will improve the ability to meet mission needs. The Office of Federal Procurement Policy developed the Federal Acquisition Certification in Contracting (FAC-C) program, a common training and certification program for the Federal contracting workforce that reflects a government-wide standard for education, training and experience leading to achievement of core competencies.

### 3.2 Purpose

The purpose of the Training and Certification Program is to implement OFPP Policy Letter 05-01, *Developing and Managing the Acquisition Workforce*, dated April 15, 2005 [http://www.whitehouse.gov/omb/procurement/policy\\_letters/05-01\\_041505.html](http://www.whitehouse.gov/omb/procurement/policy_letters/05-01_041505.html). The program will be used to demonstrate that an individual has achieved a practical, well-rounded understanding of acquisition and business process skills that will enhance their ability to perform as a business leader within the Department.

### 3.3 Federal Acquisition Certification in Contracting Program

The Federal Acquisition Certification in Contracting program was developed by FAI to promote the development of core acquisition competencies government-wide and to facilitate employee mobility. The FAC-C certification serves as one means to demonstrate that an individual meets the core education, training and experience requirements for the contracting career field.

#### 3.3.1 Applicability

All employees in the GS-1102 series must be FAC-C certified at the appropriate level for their career path. New entrants in the 1102 career field shall have 24 months to meet FAC-C certification requirements. Individuals in the 1102 series who are promoted into a new career path shall have 24 months to meet the FAC-C training requirements for the new career path. (NOTE: Employees must meet the OPM 1102 Qualification Standards for education and experience in order to be hired or promoted, therefore, the 24 month requirement only applies to FAC-C training requirements.)

All Contracting Officers, regardless of job series, must be FAC-C certified at the appropriate level pursuant to this policy. Any contracting professional issued an unlimited Contracting Officer's warrant after **October 1, 2014** must be Level III certified.

#### 3.3.2 Certification Requirements

The FAC-C program is based on DAWIA requirements for certification at the junior, intermediate, and senior levels to reflect the need for an individual to meet increasingly more rigorous standards for education, training, and experience throughout their career. Achievement of FAC-C is based on requirements for education, experience, and training as outlined below and summarized in Figure 3-1, *FAC-C Certification Requirements*. The requirements for certification are cumulative. All requirements for each lower certification level must be met to be certified at the next level. Maintenance of a FAC-C is a function of continuous learning.

Figure 3-1 FAC-C Certification Requirements

FAC-C Level I (Junior)	FAC-C Level II (Intermediate)	FAC-C Level III (Advanced)
<b>Education:</b> Baccalaureate degree <u>OR</u> 24 semester hours in a business discipline.	<b>Education:</b> Baccalaureate degree <u>OR</u> 24 semester hours in a business discipline.	<b>Education:</b> Baccalaureate degree <u>AND</u> 24 semester hours in a business discipline.
<b>Experience:</b> 1 year of contracting experience.	<b>Experience:</b> 2 years of contracting experience.	<b>Experience:</b> 4 years of contracting experience.
<p><b>Core Training (10 courses):</b></p> <ul style="list-style-type: none"> <li>• Choose either CON 100 or FCN 101</li> <li>• CON 121</li> <li>• CON 124</li> <li>• CON 127</li> <li>• FAC 023</li> <li>• FAC 031</li> <li>• CLC 057</li> <li>• CLC 058</li> <li>• CON 170</li> <li>• Either CON 090 or FCN 190</li> </ul> <p><b>80 CLPs every 2 years</b></p>	<p><b>Core Training (8 courses):</b></p> <p>All Level I Training</p> <ul style="list-style-type: none"> <li>• CON 200</li> <li>• CON 216</li> <li>• CLC 056</li> <li>• CON 270</li> <li>• CLC 051</li> <li>• HBS 428</li> <li>• CON 280</li> <li>• CON 290</li> </ul> <p><b>80 CLPs every 2 years</b></p>	<p><b>Core Training (2 courses):</b></p> <p>All Level I and II Training</p> <ul style="list-style-type: none"> <li>• CON 360</li> <li>• Select 1 Harvard Business School module (other than HBS 428)</li> <li>• Choose one of the following: <ul style="list-style-type: none"> <li>○ ACQ 265</li> <li>○ CON 244</li> <li>○ CON 252</li> <li>○ ACQ 315</li> <li>○ ACQ 370</li> <li>○ CON 370</li> </ul> </li> <li>• 32 hours of acquisition-related electives (may be 1 course or a series of courses but must be at least 8 hours in length).</li> </ul> <p><b>80 CLPs every 2 years</b></p>

**3.3.2.1 Education**

An individual must meet the education requirements established in the OPM 1102 Qualification Standard. There are no exceptions to these requirements and candidates must provide evidence to the Acquisition Career Manager. In accordance with the OPM 1102 Qualification Standard, individuals in positions at grades 5 through 12 are required to have, from an accredited institution, 24-semester hours of business related education or a baccalaureate degree. Individuals in positions at grades 13 and above must have, from an accredited institution, 24-semester hours of business related education and a baccalaureate degree. Employees in GS-1102 positions will be considered to have met the education requirement, for positions they occupied on January 1, 2000. Education waivers granted in accordance with the OPM 1102 Qualification Standard do not satisfy the education requirement for FAC-C.

**3.3.2.2 Experience**

Experience requirements are generally based on the OPM 1102 Qualification Standard. Experience may be time spent on the job in a contracting related job assignment, either in the private or public sector, which reflects the accumulation of knowledge, skills, and abilities during years of progressively more responsible work assignments. There is no exception to the experience requirements and candidates must provide evidence to the certifying official.

Contracting professionals must not only have the right number of years of experience, but also the breadth and depth of experience required to strengthen their skills and capabilities. The Department of Defense One-the-Job training tool<sup>6</sup> should be utilized to document demonstrated work experiences in the contracting career field. The tool is competency-based and outlines sample tasks that align to the competencies. Appendix H provides a list of developmental activities that should be considered when developing the contracting workforce. The list is not exhaustive.

### 3.3.2.3 Core Training

The FAC-C core training requirements closely follow the training curriculum established by the Department of Defense for their contracting career field. In order to become FAC-C certified, an individual must document satisfactory completion (training certificates and/or school transcript) of core training classes. Course information including course titles, descriptions, objectives, target audiences, prerequisites, course lengths, and predecessor and equivalent course information is available in the Defense Acquisition University (DAU) catalog at: <http://icatalog.dau.mil/> and Federal Acquisition Institute website at: <http://www.fai.gov/drupal/training/training>.

Courses are progressive and build upon previously learned skills in an integrated curriculum. Therefore, course prerequisites are strictly enforced and courses must be attended in the order listed. Supervisors are responsible for determining that prospective students have demonstrated the ability to effectively apply competencies and learning objectives of previously attended courses and possess sufficient knowledge and/or background to attend requested courses.

Individuals must meet the training requirements by taking DAU training, DAU-equivalent courses, or through the fulfillment process described in Section 3.5. DAU publishes a list of courses that are equivalent to DAU mandatory courses at: <http://www.fai.gov/drupal/certification/contracting-fac-c> and FAI maintains a list of verified vendors at: <http://www.fai.gov/drupal/certification/fai-verified-course-listing>. These tools will assist individuals in determining the DAU courses or DAU-equivalent courses that meet training requirements.

### 3.3.2.4 Electives

The 32 required hours of electives to meet FAC-C level III requirements, may be one course or a series of courses. Each course must be a minimum of 8 hours in length and may be classroom, online or a combination of the two. Topics must be related to acquisition and may include general business courses or in a technical area related to the employee's job, necessary for career development, or used for cross training.

### 3.3.2.5 Continuous Learning Requirement

To maintain a FAC-C certification contracting professionals are required to earn 80 continuous learning points (CLPs) of skills currency training every two years. Individuals are encouraged to use continuous learning opportunities to complete any new certification requirements. Supervisors are encouraged to use the continuous learning requirement to assist individuals in obtaining core competencies, maintaining critical acquisition skills, and acquiring operating unit-specific training. *Failure to comply with CLP requirements nullifies the certification and its transferability to other agencies.*

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<sup>6</sup> Available at: <https://acc.dau.mil/CommunityBrowser.aspx?id=398979&lang=en-US>

Continuous learning points must be submitted in FAITAS per instructions provided in Appendix G. Guidance on earning continuous learning points and assigning points to various developmental activities is provided in Appendix E. Continuous learning activities may include, but are not limited to the following:

- Training activities, such as teaching, self-directed study, and mentoring;
- Courses completed to achieve training requirements at the next higher level;
- Professional activities, such as attending/speaking/presenting at professional seminars/symposia/conferences, publishing, and attending workshops; or
- Educational activities, such as formal training, and formal academic programs.

### **3.4 Transition of Current Certification Holders**

Individuals with FAC-C certifications who were certified under the previous FAC-C requirements will be grandfathered in at their current level of certification, as long as their continuous learning requirements are met. Current FAC-C holders may be required to meet course pre-requisites for courses they take in the new curriculum, which may require that they take additional courses at a FAC-C level at which they are already certified.

### **3.5 FAC-C Transition Options**

Transition to the revised FAC-C training curriculum will be conducted over the next year in order to give contracting professionals flexibility in meeting the new FAC-C training requirements. During this transition period, contracting professionals who have started but not completed their certification training have several options. A summary of the transition options is provided in Appendix B. The transition period will end October 1, 2015, at which time all individuals seeking FAC-C certification must meet the new requirements.

### **3.6 DAWIA Certifications**

An individual who has obtained a Defense Acquisition Workforce Improvement Act certification in contracting at any time during their career is eligible for a FAC-C at the same certification level [provided the education criteria for the FAC-C are satisfied] if continuous learning requirements have been maintained and can be documented. The employee is responsible for providing the necessary documentation of the FAC-C or DAWIA certification and the appropriate continuous learning history to ensure validity and currency of the certification.

### **3.7 Training Providers**

#### **3.7.1 Federal Acquisition Institute Sponsored Training**

The Federal Acquisition Institute manages the Acquisition Workforce Training Fund to ensure that equitable training opportunities are available for all civilian agencies. FAI uses the training fund to offer DAU-equivalent core training courses to civilian agency employees at no charge. Employees can view the current FAI course schedule and register for courses at <http://www.fai.gov/drupal/training/training>. As the Department of Commerce has a limited quota for FAI sponsored classroom courses, the Acquisition Career Manager will review each registration to ensure that quotas are effectively managed.

#### **3.7.2 Defense Acquisition University Training**

DAU training courses are available to civilian agency employees at no charge. Employees can view the current course schedule and register for DAU training courses in the DAU catalog at: <http://icatalog.dau.mil/>.

#### **3.7.3 DAU-Equivalent Training**

Several training providers offer courses that have been certified equivalent to DAU curriculum courses. DAU-equivalent courses can be used to meet the core training requirements. A list of DAU-equivalent courses and training providers is located at: <http://icatalog.dau.mil/>.

### 3.8 Fulfillment

The fulfillment process for contracting certification is a program based on accepting prior related work experience, or courses taken from other federal agencies, other training providers, or through institutions of higher learning to satisfy the mandatory training requirements under the FAC-C program. The FAC-C fulfillment process will follow the fulfillment process for Department of Defense. In seeking FAC-C certification via the fulfillment process, individuals must follow the Defense Acquisition Fulfillment Program at: <http://icatalog.dau.mil/daufulfillmentpgm.aspx>. Individuals must satisfactorily meet all requirements for certification at a particular level, and the competencies shall have successfully been completed and documented to qualify for fulfillment credit. Request for FAC-C via the fulfillment process must be submitted in FAITAS per instructions provided in the *Fulfillment/Equivalency Quick Start Guide* provided on the FAITAS website at: [https://www.atrs.army.mil/faitas/Content/documents/FAITAS\\_FE.pdf](https://www.atrs.army.mil/faitas/Content/documents/FAITAS_FE.pdf).

#### 3.8.1 Fulfillment Methods

Methods of fulfilling competencies can include alternative training, experience, education or certification by another recognized organization.

##### 3.8.1.1 Alternative Training

If competencies were obtained through courses that were not DAU or DAU-equivalent courses, the individual must document for each competency the dates of training, course descriptions, provider names, grades (if applicable), and competencies achieved, to the maximum extent practicable.

##### 3.8.1.2 Experience

If competencies were obtained through related job experience, the individual must provide the agency name, dates, location, position title, and the duties performed that provided the relevant competencies.

##### 3.8.1.3 Education

If competencies were obtained through academic courses provided at an accredited institution, the individual must provide the date of each class, course descriptions, provider names, grades (if applicable), and competencies achieved.

### 3.9 Certification Application Process

Employees must initiate and prepare their applications for FAC-C certification and submit the application to their supervisor for approval in FAITAS. Employees are responsible for producing certificates, transcripts, and records that provide evidence that they satisfy the requirements of the program. All FAC-C applications must be completed in FAITAS per instructions provided in (Appendix F) accompanied with:

- a. Documentation of Education requirement (i.e. College transcripts);
- b. Resume, or equivalent document that specifically details the applicant's acquisition experience, training, and education;
- c. Copy of the applicant's most recent performance appraisal;
- d. Copy of applicant's performance plan;
- e. Documentation of completion of DAU or DAU-equivalent courses (such as training certificates and/or transcript);
- f. Documentation of continuous learning points; (if applicable)
- g. Documentation of fulfillment as outlined in Section 3.8 (if applicable); and
- h. Previous FAC-C or DAWIA Certification (if applicable).

The applicant's supervisor shall review the FAC-C certification request in FAITAS and upon approval; forward the application to the Bureau Career Manager to determine whether the individual satisfies the requirements for the requested certification. Once the BCM approves the application, the request is submitted to the Office of Acquisition Management for final review and recommendation for the SPE to certify an employee at a particular level.

In the event the OAM needs additional information to make a determination, the FAC-C certification request will be coded "return to employee" in FAITAS, with a request to furnish supporting data. In instances where it is determined that an employee does not meet the established criteria for the level of certification requested, the application will be "rejected" in FAITAS, with an explanation of the reasons the application was denied. The employee's immediate supervisor should develop a strategy that will assist the individual in obtaining certification by planning the employee's work assignments and training to gain competency in deficient areas. The strategy shall be documented in the employee's Individual Development Plan.

### **3.10 Certification Waivers**

The Senior Procurement Executive may waive the requirement for obtaining a certification, on a case-by-case basis, if granting a waiver is in the best interest of the Department. This authority may not be delegated. A certification waiver allows an individual who does not meet the certification requirements of the position to remain in that position. This is an assignment waiver and is only valid for the particular position to which assigned. This waiver is not transferable to another position or agency.

### **3.11 Documenting and Recording Training and Certification Requirements**

The Senior Bureau Procurement Official is responsible for establishing policies for maintaining official training, education and certification records on their acquisition workforce employees and ensuring information is entered in FAITAS. Training records must be available for inspection by OAM upon request.

Employees are responsible for maintaining all transcripts and training certificates for their records. Upon completion of training or relevant college coursework, the employee is responsible for submitting evidence of successful training completion to their supervisor and updating their information in FAITAS to reflect training, certification, experience, and continuous learning points. Use of FAITAS is a government-wide mandatory requirement of the FAC programs and all employees issued a FAC-C certification must be registered in FAITAS. To access FAITAS, go to:  
<https://www.atrs.army.mil/faitas/External/Login/?ReturnUrl=%2ffaitas>.

### **3.12 Additional Training Requirements**

In addition to training required for FAC-C certification, contracting professionals shall complete additional training requirements, as applicable, as outlined below. This additional training may count towards continuous learning requirements.

#### **3.12.1 Small Business Programs**

All contracting professionals are required to successfully complete the online course entitled "Small Business Programs" (FAC 031). This course provides an overview of the small business program in accordance with Federal Acquisition Regulation (FAR) Part 19 and the Small Business Act. The course is provided by DAU through the Continuous Learning Modules series at: <http://icatalog.dau.mil/onlinecatalog/tabnavcl.aspx>.

#### **3.12.2 Green Procurement**

All contracting professionals are required to successfully complete green procurement training. An online course entitled "Green Purchasing for Civilian Acquisition," (FAC 018) provides an

overview of the policies, requirements and best practices for purchasing sustainable products and services. This course is provided by DAU through the Continuous Learning Modules at: <http://icatalog.dau.mil/onlinecatalog/tabnavcl.aspx>.

### **3.12.3 Earned Value Management**

All contracting professionals who award or administer contracts for major acquisitions for development are required to successfully complete an Earned Value Management course. DOC defines a “major acquisition for development” as an acquisition that includes \$25 million or more in development, modernization, and enhancement (DME) costs over the life cycle of the acquisition. Other projects may be designated “major acquisition for development” if they merit special attention due to their sensitivity, mission criticality, or risk potential. An online course entitled “Fundamentals of Earned Value Management” is available, at no charge, through DAU at: <http://icatalog.dau.mil/onlinecatalog/tabnavcl.aspx>.

### **3.12.4 Information Technology Systems and Software Applications**

All contracting professionals shall have sufficient training in information technology systems (e.g., contract writing systems, FPDS, etc.) and software applications (e.g., Word, Excel, etc.) that are required to successfully accomplish assignments in an acquisition environment.

### **3.12.5 Ethics**

All contracting professionals shall successfully complete ethics training. Beginning in 1993, all federal employees have been required to receive a one-hour block of initial ethics training within 90 days of beginning federal employment. This initial ethics training satisfies the ethics training requirement. In addition, the DOC Office of General Counsel (OGC) provides annual ethics training which also satisfies the requirement for ethics training.

**END OF SECTION 3**

## Section 4 - Contracting Officer Warrant Program

### 4.1 Background

Federal Acquisition Regulation Subpart 1.603 sets forth requirements for the selection, appointment, and termination of Contracting Officers. The Commerce Acquisition Regulation (CAR) supplements the FAR with policies specific to the Department of Commerce. Office of Federal Procurement Policy Letter 05-01 requires agencies to establish requirements to tie warrant levels to certifications under the Federal Acquisition Certification in Contracting program.

### 4.2 Purpose

The purpose of the Contracting Officer Warrant Program is to mandate the specific standards which must be met prior to the delegation of Contracting Officer authority. The Warrant Program will ensure that only fully qualified employees are delegated the authority to obligate the Department in the expenditure of public funds through the acquisition system.

### 4.3 Applicability

The requirements of the Contracting Officer Warrant Program apply to all individuals nominated to be Contracting Officers and all individuals currently serving as Contracting Officers. All individuals with Contracting Officer warrants must meet the requirements of this policy.

### 4.4 Exemptions

Contracting Officer delegations are not required to make the following types of transactions. However these transactions may require a delegation from another source.

- Purchase Card transactions below the micro-purchase threshold (see CAM 1313.301) Commerce Purchase Card Procedures ([http://www.osec.doc.gov/oam/acquisition\\_management/policy/default.htm](http://www.osec.doc.gov/oam/acquisition_management/policy/default.htm));
- Standard Form 44 (Purchase Order-Invoice-Voucher);
- Government Bills of Lading;
- Real Property Acquisitions;
- Standard Form 182, Request, Authorization, Agreement and Certification of Training;
- Paid Advertisements for personnel recruitment actions; and
- Financial Assistance Agreements.

### 4.5 Warrant Qualification Standards

To qualify to serve as a Contracting Officer with authority to award or administer contracts valued above the micro-purchase threshold, an individual must have a Federal Acquisition Certification in Contracting at an appropriate level to support their warrant obligations. Section 3 outlines the FAC-C requirements.

### 4.6 Warrant Levels and Limitations

Within the Department of Commerce there are three (3) warrant levels. Bureaus may further restrict the warrant levels at their discretion. Specific education, training, and experience requirements for each level are identified in Figure 4-1, Warrant Level Requirements.

**Figure 4-1 Warrant Level Requirements**

<b>Warrant Level</b>	<b>Warrant Threshold Authority</b>	<b>Education</b>	<b>Experience</b>	<b>Training</b>	<b>FAC-C Level</b>
<b>Level I</b>	In accordance with contract terms and conditions or a maximum of \$150,000.	4 – year course of study leading to a bachelor's degree <b>OR</b> At least 24 semester hours from among the following disciplines: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.	At least 1 year of contracting experience.	<b>Core Courses</b> CON 100 or FCN 101 CON 121 CON 124 CON 127 FAC 023 FAC 031 CLC 057 CLC 058 CON 170 CON 090 or FCN 190  <b>80 CLPs every 2 years</b>	Level I
<b>Level II</b>	In accordance with contract terms and conditions or a maximum of \$1,000,000.  Up to the limits established in FAR 12.203 when using commercial item procedures	4 – year course of study leading to a bachelor's degree <b>OR</b> At least 24 semester hours from among the following disciplines: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.	At least 2 years of contracting experience.	<b>Core Courses</b> All Level I Training  CON 200 CON 216 CLC 056 CON 270 CLC 051 HBS 428 CON 280 CON 290  <b>80 CLPs every 2 years</b>	Level II
<b>Level III</b>	Unlimited	4 – year course of study leading to a bachelor's degree that includes or is supplemented with at least 24 semester hours from among the following disciplines: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management.	At least four 4 years of contracting experience.	<b>Core Courses</b> All Level I and II Training  CON 360 <ul style="list-style-type: none"> <li>• Select one HBS module (other than HBS 428)</li> <li>• Choose one course from the following:  ACQ 265 CON 244 CON 252 ACQ 315 ACQ 370 CON 370</li> <li>• 32 hours of acquisition-related electives (may be 1 course or a series of courses but each course must be at least 8 hours in length).</li> </ul> <b>80 CLPs every 2 years</b>	Level III

**4.7 Selection, Appointment and Termination of Appointment**

Prior to delegating warrant authority, the Appointing Official shall ensure that a valid organizational need for the requested authority has been demonstrated.

#### 4.7.1 Selection of Warrant Levels

Appointment of Contracting Officers should be commensurate with the volume and complexity of acquisition actions to be handled. Individuals selected for Contracting Officer delegations must meet the FAC-C education, experience and training requirements that are commensurate with the warrant levels established in Figure 4-1, Warrant Level Requirements. In addition, Appointing Officials shall consider the following criteria:

- Warrant levels are based on the aggregate contract value, not the individual contract action.
- If the basis of award involves evaluating options, the option periods are included in the contract value to determine the warrant level required for award.
- If an action includes both additions and deductions the aggregate, absolute value of the changes determines the warrant level required for the transaction (e.g., the value of an action is \$110,000 regardless of whether the action includes \$30k of additions and \$80k of subtractions).

#### 4.7.2 Issuance of Appointments

All warrants shall be issued on Standard Form (SF) 1402, Certificate of Appointment and shall indicate the Contracting Officers warrant level and dollar threshold and any other limitations. Additional limits may be placed on the authority granted by the warrant; such limitations must be stated on the actual SF 1402. Prior to issuance of a warrant, the Appointing Official must ensure that the warrant applicant has a valid FAC-C certification and meets any specialized training required by the operating unit.

Senior Bureau Procurement Officials are authorized to issue all Level I, II, and III warrants. The HCO should prepare requests for warrants in the format provided in Appendix I and submit requests to the BPO for approval. Senior Bureau Procurement Officials may authorize HCOs to issue Level I warrants to program officials.

The Senior Procurement Executive will issue warrants for the BPO. Warrant requests for the BPO should be sent from the Head of Contracting Activity (HCA) using the format provided in Appendix I.

#### 4.7.3 Performance Plan Requirement

All warranted Contracting Officers in the 1102 contracting series shall have the following items as separate critical elements or incorporated into an existing performance element a requirement for:

- a. FPDS Data Accuracy – complete, accurate, and timely reporting to FPDS.
- b. Small Business Achievement, including small disadvantaged, women-owned, historically underutilized business zone and service-disabled veteran-owned business goals.

#### 4.7.4 Maintaining an Appointment

In order to maintain an appointment, Contracting Officers must complete 80 continuous learning points every two years. If this condition is not met, the FAC-C certification will expire and the Senior Procurement Executive may choose to revoke or modify a warrant.

The Appointing Official must perform a review of all delegations of authority issued to validate the continued need for the warrant and determine if Contracting Officers have maintained professional proficiency to qualify for appointment. Contracting Level I and II warrants should be reviewed at least annually; and Level III warrants should be reviewed at least every two years. Based on the review, warrant authority should be terminated or reduced in scope, when appropriate.

#### **4.7.5 Termination of Appointment**

Appointments of Contracting Officers remain in effect as long as the appointee is assigned to the position stated on the warrant unless terminated sooner by the Appointing Official, their successor, or the Senior Procurement Executive. Contracting Officer warrants may be terminated at any time for justifiable reasons such as, but not limited to, the following:

- Appointee fails to comply with applicable statutes, Executive Orders, OMB Circulars, Federal Acquisition Regulation, Commerce Acquisition Regulation, Commerce Acquisition Manual, and other internal policies;
- Appointee fails to satisfy continuous learning requirements;
- Appointee violates the Code of Ethics;
- A valid organizational need for the delegation of authority no longer exists;
- Appointee is reassigned to a new position where the need for a warrant no longer exists;
- Appointee transfers to another agency, retires, resigns or is terminated from Government employment; or
- Appointee does not complete required continuous learning points.

Warrant holders shall be notified in writing of the effective date of the termination. The notification shall provide enough time and sufficient instruction to ensure that unauthorized obligations are not made. Upon termination the original SF 1402 should be returned to the issuing office for placement in the official Contracting Officer appointment file. The SF 1402 should be annotated as "CANCELLED" and accompanied by a brief cover memorandum indicating the reason for termination.

#### **4.8 Additional Requirements for Program Officials**

Contracting authority is generally reserved for employees working in a DOC contracting office. However, in limited circumstances where there is a demonstrated organizational need, contracting authority may be granted by the Senior Bureau Procurement Official to a DOC employee in a Program Office. Such authority shall be limited to a Level I Warrant.

In addition to the FAC-C education, experience, and training requirements outlined in Figure 4.1 Warrant Level Requirements, employees who are not employed by a contracting office shall meet the additional requirements outlined in subsections 4.8.1 through 4.8.5.

The Head of Contracting Office shall conduct annual acquisition management reviews of acquisitions processed by program officials with delegated contracting authority.

##### **4.8.1 Performance Plan Requirements**

The nominated employee shall have Acquisition Management as a critical element in their performance plan weighted no less than 15%. In addition, the performance plan shall provide for input into the employee's interim and final performance appraisal by the Head of Contracting Office. Appendix J provides sample language for a performance plan element.

##### **4.8.2 Funding for Training, Travel and Oversight**

The requesting organization shall fund all expenses related to travel, training and oversight audits for the nominee.

##### **4.8.3 On-the-Job Training**

Upon acceptance of the nomination, nominees shall be assigned to work in the servicing contracting office to perform contracting duties for a minimum of one (1) week. For a period of six (6) months after the initial assignment in the servicing contracting office, the nominee shall

perform contracting duties under the review, approval and signature of the Head of Contracting Office or a Level II or above Contracting Officer in the servicing acquisition office.

At the end of the on-the-job training period, the Head of Contracting Office shall assess the performance of the nominee and provide a recommendation to the Senior Bureau Procurement Official for approval or disapproval of the request for contracting authority.

#### **4.8.4 Approval of Contract Actions**

Program Officials who are granted contracting authority shall submit the complete acquisition file (current action plus basic award and any other previously awarded modifications) to the Head of Contracting Office for approval and signature when the total value of the contractual action will exceed the warrant level as a result of modifications to the basic award. For example, an award was made for \$125,000 by a Contracting Officer with a Level I warrant (up to \$150K) and it later becomes necessary to modify that award and increase its value by \$26,000.

#### **4.8.5 Annual Training and Evaluation**

Program Officials who are granted contracting authority shall serve one (1) week annually in the servicing contracting office for refresher acquisition and systems training and evaluation. In lieu of the annual training, the BPO may approve alternative training and development activities that shall include a minimum of 40 hours of organized instruction annually.

#### **4.9 Warrant Waivers**

In unique situations, on a case-by-case basis, the Senior Procurement Executive may approve, in writing, any deviation from the policies, procedures, and requirements of the Contracting Officer Warrant Program. The Senior Bureau Procurement Official shall submit all requests for waivers to the SPE with the following documentation:

- a. Optional Form 612, Application for Federal Employment, signed by the candidate, or a resume detailing the candidate's experience, education, and training relevant to the position;
- b. Justification that relates the candidate's background and experience to the contract action(s) for which the warrant is required;
- c. Plan agreed upon by the candidate and HCO, delineating a time frame for achieving the requirements; and
- d. Statement that identifies the impact a disapproval of the waiver would have on the organization.

#### **4.10 Administration of Warrant Program**

The Senior Bureau Procurement Official shall establish procedures for administering the Warrant Program within the bureau. Appointing Officials shall maintain official files documenting the qualifications of each Contracting Officer. Such files shall be available for oversight reviews. The BPO is responsible for ensuring that current, accurate and complete information regarding each individual with delegated procurement authority is maintained in FAITAS.

#### **4.11 Reporting Requirements**

The Senior Bureau Procurement Official shall submit an annual report to the Office of Acquisition Management by the 30<sup>th</sup> of January each year. The report shall be submitted electronically to: [FAC-CAApplication@doc.gov](mailto:FAC-CAApplication@doc.gov) and include the following information for all Warrants:

- a. Name of Appointee;
- b. Grade and series;
- c. Organization;
- d. Warrant Level;
- e. Date of Appointment; and
- f. Any limitation on the warrant.

## **4.12 Warrant Program Roles and Responsibilities**

### **4.12.1 Senior Procurement Executive**

The Senior Procurement Executive is responsible for:

- a. Establishing the policies, procedures, and requirements that govern the Warrant Program; and
- b. Approving/disapproving deviations from the warrant program requirements.

### **4.12.2 Head of Contracting Activity**

The Head of Contracting Activity is responsible for:

- a. Submitting requests for Contracting Officer appointments for Senior Bureau Procurement Official within the operating unit to the SPE for approval; and
- b. Submitting requests for waivers or deviations from the Warrant Program for Senior Bureau Procurement Official to the SPE.

### **4.12.3 Senior Bureau Procurement Official**

The Senior Bureau Procurement Official is responsible for:

- a. Establishing procedures for administering the Warrant Program within the operating unit;
- b. Appointing Level I, II, and III Contracting Officers within the operating unit, in accordance with FAR 1.603;
- c. Submitting requests for waivers or deviations from the Warrant Program to the SPE; and
- d. Ensuring official records on individuals with delegated authority are maintained and information is entered into FAITAS.

### **4.12.4 Head of Contracting Office**

The Head of Contracting Office is responsible for:

- a. Determining the number of Contracting Officer warrants and levels of authority necessary for the organization;
- b. Submitting requests for Level I, II, and III Contracting Officer appointments to the BPO for approval; submitting requests for waivers to the BPO;
- c. Monitoring the performance of Contracting Officers;
- d. Ensuring that FPDS data accuracy and small business goal achievement elements are included in the performance plan for all Contracting Officers; and
- e. Establishing controls to ensure compliance with laws, regulations, procedures, and good business judgment.

### **4.12.5 Contracting Officer**

The Contracting Officer is responsible for:

- a. Using sound business judgment and performing all necessary actions for effective contracting;

- b. Ensuring timely and accurate submission of individual contact action reports to FPDS;
- c. Achieving small business goals;
- d. Ensuring compliance with the terms of the contract, and safeguarding the interests of the United States in all contractual relationships;
- e. Ensuring that the requirements of FAR 1.602-1(b) have been met and that sufficient funds are available for obligation;
- f. Complying with the terms and conditions of the warrant and any specified limitations;
- g. Ensuring contractors receive impartial, fair, and equitable treatment; and
- h. Requesting and considering the advice of specialists in audit, law, engineering, transportation, and other fields, as appropriate.

**END OF SECTION 4**

## Section 5 – Career Planning

### 5.1 Background

Career planning is a process whereby an employee chooses and sets their career goals and identifies the means to achieve them. The process involves the employee and supervisor working together to set attainable career goals for the employee that are identified through projects, training, rotations, special assignments, and other career enhancing opportunities. The objective of the career planning process is to help employees choose realistic career paths and provide direction in developing and reaching their career goals.

### 5.2 Individual Development Plan

The Individual Development Plan is an essential tool in the career planning process. It is based on both formal and informal assessments and identifies areas in which the employee should increase their knowledge and skills to reach career goals. An IDP specifically addresses the education, training, development and job assignments required by an employee to progress in their career, improve business skills, and grow professionally and personally over the next several years. The use of the IDP allows the necessary planning, scheduling, and budgeting of training and development for each employee.

An IDP is required for each employee in the contracting series (GS-1102). A sample IDP is provided in Appendix K. Using the plan as a guide and with the support and approval of the supervisor, each employee must develop an IDP that shows specific training and development needs for both short term and long-term career goals and objectives. The IDP should specifically identify developmental activities over a two to three year period, consistent with the employee's career path, capabilities, aspirations and the agency mission. The IDP should identify mandatory core training courses and recommended courses. In addition, employees may request on-the-job training, more challenging work assignments, participation in a rotational assignment, mentor relationship, participation in a professional association, outside education, and other job-related activities.

Individual Development Plans should be integrated into the performance plan process and reviewed in conjunction with mid-year and end-of-year performance reviews. An IDP should be updated each year to reflect the progression of the employee, and adjusted as appropriate.

### 5.3 Developmental Opportunities

In addition to the mandatory education and training requirements identified in Section 3, there are non-mandatory developmental opportunities that will broaden experiences and expand acquisition and business skills. Examples of such opportunities include rotational and or developmental assignments, participation in mentoring programs, teams and workgroups, or membership in professional associations. Developmental opportunities are a vital component to developing the acquisition workforce as business leaders. The variety and depth of experiences gained through developmental opportunities are not necessarily available through traditional classroom training or from normal work experiences. Developmental opportunities provide individuals with the ability to obtain additional skills that enable them to become more well-rounded acquisition professionals, which benefits both the employee as well as the organization.

#### 5.3.1 Rotational and Developmental Assignments

Rotational and developmental assignments are a vital tool for career development. Valuable experience is gained by working on a variety of assignments in other organizations within a bureau, across bureaus, and in the Office of Acquisition Management. Rotational and developmental assignments provide cross training and establish skills in other disciplines which, in turn, foster a better understanding of other disciplines and builds team relationships within the acquisition community. Generally rotational assignments involve an assignment to another

organization for a specified period of time and may involve a variety of work assignment specific project. Developmental assignments are generally project specific and the individual may maintain their current workload as well as a special assignment from another organization. Through these types of assignments the acquisition office can create professional development opportunities without expending additional funds.

### **5.3.2 Mentoring**

Mentoring provides an opportunity for an individual to receive coaching and feedback on their career planning and career choices. Bureau acquisition offices are encouraged to sponsor voluntary mentoring programs. The HCO is responsible for ensuring that Mentors are employees that have progressed sufficiently in their own career and can provide career guidance to junior level employees in the same profession. Mentoring outside the normal employee/supervisory relationship allows the mentor a chance to share valuable information from their own professional experiences as well as gain experience in communication, team building, coaching and feedback. Acquisition offices are encouraged to work with their servicing Human Resource Office for guidance in establishing mentor programs.

### **5.3.3 Teams and Workgroups**

Participation on inter-office, agency or department teams and/or workgroups often provides opportunities to network with acquisition professionals of various backgrounds, gain knowledge in new acquisition related fields or subject matter, share best practices and improve team building and communication skills.

### **5.3.4 Professional Associations**

Membership in professional associations is voluntary but strongly encouraged. It provides opportunities for sharing information and ideas on a variety of issues. Information is available to allow the professional to keep abreast of current topics through professional journals, seminars, and networking opportunities.

## **5.4 Performance Standards**

Performance standards should reflect the core business and technical competencies identified by FAI at <http://www.fai.gov/drupal/node/92>. The Individual Development Plan is a tool that should be used as part of the process of establishing performance standards. The IDP should reflect the employee's most recent performance appraisal and identify any education, training, or special assignments needed to improve performance or maintain the current acceptable level of performance. Acquisition offices are encouraged to work with their servicing Human Resource Office in establishing performance plans.

## **5.5 Performance Incentives**

The Department of Commerce rewards employees who serve as business leaders by focusing on outcomes and performance, partnering with customers and industry, and effectively leveraging technology and commercial best practices to facilitate innovative, streamlined, and flexible business arrangements that result in mission success and support the goals and objectives of the DOC acquisition community. Acquisition offices are encouraged to work with their serving Human Resource Office to provide monetary and other recognition to employees who have made substantive contributions to the Department's acquisition system.

## **5.6 Tuition Assistance**

Senior Bureau Procurement Officials are strongly encouraged to budget for tuition assistance to help employees in acquisition positions meet the positive education requirement, including a full-time course of study leading to a degree in accordance with 5 U.S.C. 4107.

## **5.7 Obtaining College Credit for Training Courses and Examinations**

### **5.7.1 American Council on Education**

Employees may be eligible to receive college credit through a national program sponsored by the American Council of Education (ACE). ACE's purpose is to help individuals obtain academic credit for learning they have acquired outside of colleges and universities. ACE evaluates and makes credit recommendations for formal education programs and courses sponsored by non-collegiate organizations. These credits must be accepted and reflected on the transcript of an accredited college or university to be considered as credit toward the degree requirement or the 24-semester hour requirement. Some classes offered by the Defense Acquisition University (DAU) are ACE certified. Information on the ACE advisory service is available at: <http://www.acenet.edu>.

### **5.7.2 CLEP and DANTES Examinations**

College credit may be obtained through the College-Level Examination Program (CLEP) or through Defense Activity for Non-Traditional Education Support (DANTES) Program. These credits must be awarded by an accredited college or university to be considered as credit toward the degree requirement or the 24-semester hour requirement. The following website has information on CLEP exams: <http://www.collegeboard.com/>. The following website offers information bulletins on DANTES: <http://www.dantes.doded.mil/index.html>.

**END OF SECTION 5**

**END OF CAM 1301.6**

## APPENDIX A - DEFINITIONS

**Acquisition** - The acquiring of supplies or services (including construction) with appropriated funds by contract for the use of the Federal Government through purchase or lease, whether the supplies or services are already in existence or must be created, developed, demonstrated, and evaluated.

**Acquisition Career Manager** – The Individual appointed pursuant to OFPP Policy Letter 05-01 to lead the Department's Contracting Certification and Warrant program. The Director of Acquisition Policy and Oversight Division has been designed as the Acquisition Career Manager.

**Acquisition Experience** - Experience gained while assigned to an acquisition position which includes: related cooperative education and other acquisition developmental assignments; experience in DOC acquisition positions and in comparable positions outside of DOC.

**Acquisition Positions** - Employees who are in the acquisition system with duties that fall into an acquisition category. These positions comprise the contracting series (GS-1102) and positions in other job series in which significant acquisition-related functions are performed.

**Acquisition Workforce** - Employees performing acquisition-related work. The acquisition workforce includes permanent civilian employees who occupy acquisition positions.

**Appointing Official** – Person authorized to grant individual Contracting Officer warrant authority consistent with the applicable regulations of the Federal Acquisition Regulations and Commerce Acquisition Regulations.

**Business Leader** - Individual that possesses the ability to: develop, negotiate and manage business deals; communicate effectively; manage and lead change; solve problems in an ambiguous environment; analyze and understand the marketplace; build and manage relationships across functions and organizations; understand and effectively operate in the customer environment; develop and implement outcome oriented solutions; and execute.

**Career Development** -The professional development of employees by integrating the capabilities, needs, interests, and aptitudes of employees in acquisition positions with designated training and development designed to meet organizational objectives. Career development is accomplished through a combination of work assignments, education, job rotation, training, and self-development programs.

**Career Path** - The range of opportunities at each career level and the optimum route for progression in a career field.

**Career Planning** - A process by which the supervisor and the employee constructively and realistically assess the employee's career goals and development needs and the supervisor gives guidance on planning alternatives to achieve the goals.

**Chief Acquisition Officer** – The Department's Executive-level non-career employee designed pursuant to the Services Acquisition Reform Act (SARA) to advise and assist the head of the agency and other agency officials to ensure the mission of the agency is achieved through the management of the agency's acquisition activities.

**Competencies** – Observable, measurable patterns of skills, knowledge, abilities, behaviors, and other characteristics than an individual needs to perform in occupational functions.

**Continuous Learning Points** - Continuing education or training opportunities such as agency-sponsored training and management/executive seminars, special job and/or professional association related projects and/or participation in seminars/workshops, or other appropriate developmental activities to remain current in the acquisition field.

**Contracting Officer** – Individuals designated authority to enter into, administer, and/or terminate contracts and to make related determinations and findings.

**Core Training Course** - An approved course of study that meets FAC-C training requirements for a career path.

**Critical Skills** – Business and technical skills that are needed by a member of the acquisition workforce to sufficiently perform their duties.

**Defense Acquisition University** - A consortium of Department of Defense education and training institutions and organizations providing mandatory acquisition courses for certification.

**Defense Acquisition University-Equivalent Course** – Courses offered by various training providers that have been certified as equivalent to mandatory acquisition courses provided by the Defense Acquisition University.

**Delegation of Procurement Authority** – Written authority to obligate Government funds that is delegated to an individual.

**Electives** – Any training opportunity related to the employee's job, those necessary for career development, or those used to for cross training. Electives may include no-cost distance learning, assignment-specific courses, or other training opportunities.

**Federal Acquisition Certification in Contracting** – A certification program establishing core requirements for education, training, and experience for contracting professionals in civilian agencies.

**Fulfillment Process** - The DOD process through a determination is made based alternative training, experience, education, certification by another recognized organization, or other developmental activities that the required competencies for a particular certification level have been attained.

**Head of Contracting Activity** – Officials who are designated as Heads of Operating Units in orders establishing the respective operating units.

**Head of Contracting Office** - Individual's designated to head the contracting offices within each operating unit that has designated contracting authority to award and administer contracts to the full limit of the Department's contracting authority.

**Individual Development Plan** - Document used to plan an employee's education, training, experience and other developmental activities for progression in the procurement career field. Developing the plan is a joint effort of the employee, supervisor, and possibly other knowledgeable persons in the training and/or acquisition fields.

**Contract Specialist Qualification Standard** - The standard issued by the Office of Personnel Management that specifies the minimum requirements an individual must meet for the GS-1102 job series.

**Senior Bureau Procurement Official** – The senior career procurement official, within each operating unit that has been delegated contracting authority.

**Senior Procurement Executive** - The official appointed pursuant to Executive Order 12931 and the Services Acquisition Reform Act (SARA) to carry out the responsibilities identified in both the Executive Order and SARA.

**Skills Currency** – Federal Acquisition Certification in Contracting requires at least 80 hours of continuous education or training every two years to maintain certification.

**Specialized Experience** – Work experience in or related to the work to be performed.

**Waiver (1102 Qualification Standard)** -- A provision that permits the Department of Commerce SPE to waive the education or training requirements for an applicant for a GS-1102 grade 13 or above position based on a certification that the applicant possesses significant potential for advancement to levels of greater responsibility and authority.

**Warrant** – The delegation of Contracting Officer authority that allows an individual to obligate funds subject to any stated limitations.

## APPENDIX B FAC-C Transition Options

Implementation of the revised FAC-C program will be conducted over the following year in order to give contracting professionals flexibility in meeting the new FAC-C requirements. Contracting professionals who have started but not completed their certification training have several options. Please carefully read the criteria and options below to better understand the available flexibility.

	Scenario	Level I*	Level II*	Level III*
1	Contracting Professionals who <b>have not started</b> the FAC-C program as of October 1, 2014.	Use new FAC-C certification curriculum		
2	Contracting Professionals who <b>have started but not completed FAC-C Level I</b> as of October 1, 2014.	<p>a. Complete FAC-C Level I using the old program, except that students must take CON 121/124/127 if they have not already taken CON 110/111/112. <i>All Level I certification training from the old program must be completed by September 30, 2015.</i></p> <p><b>OR (as established by each agency)</b></p> <p>b. Start over with the new FAC-C Level I Program. Must take all the courses identified in the new program.</p>	<div style="text-align: center; border: 1px solid black; padding: 5px; margin-bottom: 10px;">Use new FAC-C certification curriculum</div> <p>Individuals who completed FAC-C Level I using the old program, must take the following courses before starting their Level II training:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> FAC 023 – Basic Contracting for GSA Schedules</li> <li><input checked="" type="checkbox"/> FAC 031 – Small Business Programs</li> <li><input checked="" type="checkbox"/> CLC 057 – Performance Based Payments</li> <li><input checked="" type="checkbox"/> CLC 058 – Introduction to Contract Pricing</li> <li><input checked="" type="checkbox"/> CLC 170 – Fundamentals of Cost/Price Analysis</li> </ul>	

	Scenario	Level I*	Level II*	Level III*
3	Contracting Professionals who <i>have completed FAC-C Level I but not started FAC-C Level II</i> as of October 1, 2014	N/A	<div data-bbox="1115 305 1801 412" style="border: 1px solid black; background-color: #e0e0e0; padding: 5px; text-align: center;">                     Use new FAC-C certification curriculum                 </div> <p>Individuals who completed FAC-C Level I using the old program, must take the following courses before starting their Level II training:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> FAC 023 – Basic Contracting for GSA Schedules</li> <li><input checked="" type="checkbox"/> FAC 031 – Small Business Programs</li> <li><input checked="" type="checkbox"/> CLC 057 – Performance Based Payments</li> <li><input checked="" type="checkbox"/> CLC 058 – Introduction to Contract Pricing</li> <li><input checked="" type="checkbox"/> CLC 170 – Fundamentals of Cost/Price Analysis</li> </ul>	

	Scenario	Level I*	Level II*	Level III*
4	Contracting Professionals who <b>have completed FAC-C Level I and who have started but not completed</b> FAC-C Level II as of October 1, 2014.	N/A	<p>a. Complete FAC-C Level II using the courses in the old program. <i>All Level II certification training from the old program must be completed by September 30, 2015.</i></p> <p><b>OR (as established by each agency)</b></p> <p>b. Start over with the new FAC-C Level II taking all the courses identified in the new program.</p> <p>Individuals following this option must take the following courses in addition to completing their Level I and before starting their Level II training:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> FAC 023 –Basic Contracting for GSA Schedules</li> <li><input type="checkbox"/> FAC 031 – Small Business Programs</li> <li><input type="checkbox"/> CLC 057 – Performance Based Payments</li> <li><input type="checkbox"/> CLC 058 – Introduction to Contract Pricing</li> <li><input type="checkbox"/> CLC 170 – Fundamentals of Cost/Price Analysis</li> </ul>	Use new FAC-C certification
5	Contracting Professionals who <b>have completed FAC-C Level II but not started Level III</b> as of October 1, 2014.	N/A	N/A	Use new FAC-C certification
6	Contracting Professionals who <b>have completed FAC-C Level II and have started but not completed Level III</b> as of October 1, 2014	N/A	N/A	Use new FAC-C certification

## APPENDIX C OPM 1102 QUALIFICATION STANDARD Q&A

### General Information

1. Why does the GS-1102 series have a separate qualification standard?

The Clinger-Cohen Act, issued in February 1996, amended the Office of Federal Procurement Policy (OFPP) Act to require that the Administrator of OFPP establish qualification requirements, including educational requirements, for positions at civilian agencies in the GS-1102 series (see 41 U.S.C. 433). Five years earlier, Congress had established requirements for 1102 positions in defense agencies through the Defense Acquisition Workforce Improvement Act (see 10 U.S.C. 1724, 1732). The Clinger-Cohen language stipulates that qualification requirements established by OFPP shall be comparable to the DAWIA requirements. In June 1997 the U.S. Office of Personnel Management (OPM) published a qualification standard imposing requirements established by OFPP pursuant to Clinger-Cohen.

2. In a nutshell, how is this standard different than its predecessor?

The predecessor to this standard introduced educational requirements that were effective January 1, 1998 for new hires and January 1, 2000 for existing employees. The revised standard does not change the minimum educational levels defined by the former standard. However, it does make three changes. First, it expands the waiver authority related to filling GS-13 and above positions. The former standard only allowed the senior procurement executive to waive one of the two educational requirements, whereas the revised standard permits waiver of any or all requirements. Second, it removes language that permitted examinations to substitute for the 24-hour requirement since acceptable examinations have not been designated. With the exception of college course credit obtained through testing programs designed to grant credit by examination (such as the College Level Examination Program), you cannot take a test to qualify in lieu of the 24 hours. Third, it replaces the January 1, 1998 date found in the former standard with a January 1, 2000 date, meaning employees hired under the former standard have grandfathering rights as "current" employees.

3. When does this standard go into effect?

This revised qualification standard was effective January 1, 2000. It applies to all new hires and to existing employees selected to fill GS-1102 positions in civilian agencies.

### Educational Requirements

1. Summarize the basic educational requirements of the qualification standard.

In order to qualify for positions at grades GS-5 through GS-12, you must possess either a bachelor's degree OR have completed at least 24 semester hours of coursework in certain business-related fields. In order to qualify for positions at grades GS-13 and above, you must possess a bachelor's degree AND at least 24 semester hours of coursework in certain business-related fields. The 24 hours may be included in, or in addition to, coursework taken to complete the degree program.

2. Does the phrase "a 4-year course of study leading to a bachelor's degree" mean I must have a degree, or just that I must be enrolled in a degree program?

The phrase means you must possess a bachelor's degree conferred or approved by an accredited U.S. college or university based on a 4-year course of study. Simply being enrolled and working toward a degree does not meet the qualification standard. Furthermore, "honorary" degrees or other degrees with no basis in coursework do not satisfy the standard.

3. Does "4-year course of study" mean I had to finish my degree in four years?

No. You can earn the bachelor's degree in whatever length of time is necessary and accepted by the college or university conferring the degree. The descriptive phrase relates to how the educational institutions characterize the degree program, not to how long it takes you personally to complete the program.

4. Does the degree have to be a business degree?

No. A qualifying bachelor's degree may be in any field of study and may be of any type, such as Bachelor of Arts, Bachelor of Science, and Bachelor of Business Administration. The 24 semester hours, however, must be in some combination of the eleven fields listed in the standard.

5. How do I document that I have satisfied the degree and coursework requirements?

You need to check with your local human resource office to see what procedures they use. If you already had a degree when you were hired, you probably furnished a college transcript with your application and, if so, that information is included in your personnel records. If you have completed courses since being hired, you will probably need to furnish evidence to your human resource office, such as a new transcript and a copy of your diploma, as applicable. It may be necessary also to provide descriptive information on a course (e.g., course syllabus) to convince a human resource specialist that a particular course qualifies toward the 24-hour requirement. You should periodically review your personnel records to ensure information has been recorded accurately, and work with your human resource office to update the records as needed. In the near future, your educational status will be maintained with other personnel and training data in a Government-wide acquisition career management information system.

6. When the degree AND 24-hour coursework requirements must be met for GS-13 and above positions, can I count courses taken as part of my degree program to satisfy the 24-hour requirement?

Yes, coursework could simultaneously count for the degree requirement and the 24-hour requirement. For example, if you earned a business degree, you should have completed sufficient credits in the required fields to satisfy the 24-hour requirement. However, if your degree is in another field, such as sociology, you might need to take some additional courses in the fields identified in the qualification standard to complete the 24-hour requirement.

7. The qualification standard identifies eleven fields for the 24-hour coursework requirement. Does this mean an acceptable course must have a course number identifying one of the fields (for example, an "economics" course might be "ECN 401")?

The answer to this question first requires an understanding of the purpose of the 24-hour coursework requirement, which is to provide a person with a minimum amount of business knowledge. This is particularly important because the primary function of contract specialists is to negotiate and execute business relationships on behalf of the Government. The eleven fields listed in the standard are identical to those set forth by Congress in DAWIA, and presumably they were selected because they capture the types of knowledge and skills desired for members of the acquisition workforce to execute this function.

Colleges and universities do not use a standard convention for course numbering aligned to the eleven fields. For example, one institution identifies its accounting curriculum as "AMIS" courses, standing for "accounting and management information systems." Therefore, it is neither practical nor reasonable to restrict interpretation of the word "fields" to institutional programs using precisely the same language. Instead, it is appropriate to consider the identified fields as general subject areas. If the content of a course arguably fits within the general subject area represented by one of the fields, it should qualify toward the 24-hour requirement. A human resource specialist, or whoever in your organization credits completion of the 24 hours, may need to review course syllabus whenever it is not obvious from the course title that content fits the field. Consider these examples: a sociology course in statistics; a public administration course in quantitative techniques; a psychology course in organizational behavior. If the content of these courses is comparable to, or perhaps is recognized by the academic institution as a substitute for, courses clearly resting in the listed fields, you should receive credit toward the 24-hour requirement. It is your responsibility to furnish supporting descriptive information if credit for a course is being questioned.

8. Can I credit procurement training courses toward the 24-hour requirement?

Not unless a college actually gives you credit under its curriculum. Education and training are separate components of agency career development programs. Training courses are designed to build job-specific knowledge and skills, complementing and supplementing the general level of knowledge and skills acquired through formal college education. The 24-hour requirement is intended to be satisfied through coursework taken at colleges and universities. A college may give credit for certain on-the-job training courses, or teach a course that has been determined "equivalent" to a prescribed training course. In such cases, you may be satisfying educational and training requirements simultaneously. However, unless a college specifically awards you course credit, your training courses do not count toward the 24-hour requirement. This is at the discretion of the college, and you do not have an automatic entitlement to the credit.

**"Grandfathering" -- The Exception Provisions**

1. I am currently working as an 1102 in a civilian agency. Am I "grandfathered" for civilian agency positions based on having a certain number of years of experience (meaning the requirements do not apply to me)?

The 1102 qualification standard does have some grandfathering features for the existing workforce, although none of those features are tied to a prescribed number of years of experience. Every 1102, regardless of grade, is considered to meet the standard for the position and grade held as of January 1, 2000, and is qualified for positions in other civilian agencies at the same grade without having to meet the educational and training requirements. In addition, an 1102 can be promoted through grade GS-12 without meeting the qualification requirements. There is no grandfathering provision that allows experience to substitute for education in order to qualify for promotions to GS-13 and above.

2. Do existing Federal employees in other series, such as GS-1105, have to meet the educational requirements to move into the 1102 field?

Yes. The 1102 standard applies to every civilian agency 1102 position and must be met by individuals entering the series from outside the Government, or from other series within the Government. If you are a current 1105, you must meet the educational requirements to lateral or promote into the 1102 series.

3. What does this phrase mean: "Employees who occupy GS-1102 positions at grades 5 through 12 will be considered to meet the basic requirements for other GS-1102 positions up to and including those classified at GS-12"?

This statement is found in the "exceptions" paragraph for GS-5 through GS-12. Simply stated, it exempts employees hired by January 1, 2000 from the educational requirements for any position up to GS-12. If you meet neither the degree nor 24-hour requirement, you can still be promoted through GS-12. All individuals hired since January 1, 1998 should meet the educational requirements since they were hired under the former standard. However, many 1102s hired before January 1, 1998 do not have the education now required, and the exception accommodates those employees. Additionally, in the event someone was inadvertently hired into the 1102 series between January 1998 and January 2000 who did not actually meet the former standard, that employee would be covered by the exception.

### **The Waiver Provision**

1. Who is the "Senior Procurement Executive" as referred to in the standard?

For purposes of this qualification standard, the "senior procurement executive" is the highest career civil servant having responsibility for the procurement function within an agency (e.g., policy, procedures, workforce, etc.). Typically, this person is located in the agency headquarters office. This person may be different from the person designated as a "senior procurement executive" pursuant to the OFPP Act (41 U.S.C. 414(3)) and as defined in the Federal Acquisition Regulation, who is a political appointee in some agencies. OFPP established the requirements of this standard with the intention that senior career procurement officials would possess the waiver authority.

2. Can the senior procurement executive delegate the waiver authority to my contracting office so waivers can be issued locally?

No. The waiver authority is not delegable. The contracting office desiring to hire an applicant who needs a waiver would probably have to provide justification to the senior procurement executive to aid the waiver decision, but only the senior procurement executive can grant waivers.

3. Can the qualification requirements for positions in grades GS-5 through GS-12 be waived?

No. All new entrants into the GS-1102 career field at grades 5 through 12 must meet the qualification requirements. The requirements cannot be waived. However, if you are already an 1102 below grade GS-12 as of January 1, 2000, the "exception" language of the standard allows you to be promoted through GS-12 even if you do not have the education specified by the standard.

4. Do I need a waiver for any promotions up to GS-12?

No. A waiver is not necessary for promotions under grade GS-13 because all promotion candidates would either meet the standard or qualify for the "exception" at those lower grades. Waivers only exist for the requirements that apply to positions at GS-13 and above.

5. I do not meet the educational requirements for a position at GS-13 and above. Do I have to obtain a waiver to apply for a job?

No. The senior procurement executive of the hiring agency must grant a waiver only if the agency wants to select you to fill a position. If the vacancy announcement indicates that waivers may be granted, you can apply for the position. The human resource office will forward your application for review, along with the other applications, with a note that one or more applicants may need a waiver.

6. How will vacancy announcements inform potential applicants about the possibility of a waiver?

When drafting vacancy announcements, human resource offices extract information from relevant qualification standards. In the case of 1102 positions, if an agency has decided for a specific vacancy that it will consider applicants who need a waiver, the vacancy announcement will state that candidates who do not meet the qualification requirements may be considered for a waiver in accordance with the standard. At the agency's option, the waiver may be applied to any of the educational, training, or experience requirements, or combination thereof, as specified in the vacancy announcement.

7. Can I get a waiver and "carry it with me" every time I apply for a job?

No. A waiver is the prerogative of the hiring agency and would be granted based on the unique circumstances of a hiring action. "Blanket" waivers do not exist.

8. If I receive a waiver for a GS-13 position, do I need a new waiver for a GS-14 promotion, even if it is in the same agency?

Yes. Waivers are specific to a selection action, so any selection for a future promotion would require another waiver if you still did not meet the qualification requirements.

9. Do I need a waiver to lateral?

The answer depends on the circumstances. A "lateral" is a reassignment into a position at the same grade. If you meet the qualification requirements, obviously you can lateral into positions within your own agency or other agencies without a waiver. If you do not meet the qualification requirements, the rules vary by grade and circumstances as described here. There is no waiver provision applicable to grades GS-5 through GS-12, only for grades GS-13 and above. Below GS-13, the "exceptions" language of the standard permits you to lateral into a position at any agency and then to continue to be eligible for promotions through GS-12. For grades GS-13 and above, the "exceptions" language permits you to lateral into positions at your agency or other agencies at the grade you occupy as of January 1, 2000 without a waiver. These "exceptions" are "grandfathering" features afforded to the existing workforce.

Suppose you are promoted into grade GS-13 or above after December 31, 1999 on the basis of a waiver. The need for a waiver for a subsequent lateral in this circumstance depends on whether you are changing agencies. If another agency wants to lateral you into one of its GS-13 or above positions, that agency must grant a waiver in order to give you the lateral. If your own agency (the one that gave you the waiver for the position you now occupy) wants to lateral you into another position within the agency, it may do so without processing a new waiver, even if geographic relocation is involved. For example, if you were promoted to a GS-13 Contract Specialist position at NIH-Bethesda MD based on a waiver, you could be selected for a lateral into a GS-13 Procurement Analyst position at CDC-Atlanta GA without the HHS senior procurement executive granting another waiver (since both organizations are within HHS). However, you could not lateral from the NIH position into a GS-13 Contract Specialist position at EPA unless the EPA senior procurement executive granted you another waiver.

10. Have criteria been established for issuing waivers?

No. The waiver authority was created to provide flexibility to accommodate unique circumstances faced in each agency, but it is expected that waivers will be the exception rather than the rule. Waivers will be considered on a case-by-case basis within an agency and granted in those exceptional cases where the best candidate for a specific job does not meet some requirement of the standard. For example, an agency could benefit from this authority when hiring for hard-to-fill positions or duty locations where it is difficult to attract qualified candidates. Another case may be where a strong performer is on a career ladder but fails to meet the requirements for promotion. Hiring is an agency responsibility, and the decision to grant a waiver of the qualification requirements is at the discretion of the agency's senior procurement executive. Since you do not need a waiver to be considered for a position, and provided the announcement states waivers may be considered, hiring officials will review your qualifications and rate you against other applicants. If the hiring official considers you the best candidate for a position, presumably the official would seek a waiver to allow your selection.

11. Must the applicant specifically request a waiver when applying for a position where the vacancy announcement indicates waivers may be considered?

Submittal of the application implies a request for waiver when the applicant does not meet the requirements of the standard. Although the standard specifically identifies the senior procurement executive as having waiver authority and responsibility, the likely practice will be that a selecting official prepares and submits a justification document to the senior procurement executive relating the applicant's background and characteristics to the performance requirements of the job being filled. It is the agency's responsibility to document its decision to issue a waiver.

### **Relationship Between Civilian Agency and Defense Agency Positions**

1. I am a civilian agency 1102. Can I qualify for a DoD position?

The qualification standard does not apply to defense agency positions; instead, applicable requirements are set forth in DAWIA. However, comparability exists between both sets of requirements. DoD positions through grade GS-13 require either a bachelor's degree OR 24 semester hours in identified fields, which is the same requirement the 1102 standard sets for civilian agency positions through grade GS-12.

DoD has also created an "acquisition corps" to fill GS-14 and above positions, with GS-13s eligible for membership. The acquisition corps requires a bachelor's degree AND 24 semester hours, like the 1102 standard requires for GS-13 and above positions. If you meet the DAWIA educational requirements, you could qualify for DoD jobs. If you do not meet the educational requirements, but you have at least ten years of acquisition experience as of October 1991, you are grandfathered by DAWIA and could qualify for DoD jobs. If you do not meet the educational requirements or have enough experience to be grandfathered, you are not qualified for DoD jobs, even though you may be grandfathered for civilian agency positions under the qualification standard. However, DAWIA does allow DoD to waive the requirements to hire you.

2. I am a defense agency 1102. Can I qualify for a civilian agency position?

Like anyone else competing for a civilian agency position, generally you would have to meet the educational requirements of the standard for the position you seek in order to qualify. Suppose you do not meet the educational requirements. If you were an 1102 as of January 1, 2000, the standard allows you to obtain a lateral or a promotion into a civilian agency position at grades GS-5 through GS-12. At grades GS-13 and above, you could lateral only into a position at the same grade that you held as of January 1, 2000. For promotions into civilian agency positions at grades GS-13 and above, you are not qualified if you do not meet the educational requirements; hence, you could only receive such a promotion if the hiring agency issued you a waiver. Your "DoD grandfathering" does not extend to civilian agency positions and does not give you access to promotions outside DoD. After you are placed in a civilian agency position, you are subject to the qualification standard for future civilian agency promotions. If you lateral into a civilian agency position below GS-12, you would be eligible for promotions through GS-12 even though you do not meet the educational requirements. For promotions to grades GS-13 and above, you would have to obtain a waiver if you do not meet the educational requirements.

## APPENDIX D SAMPLE REQUEST WAIVER OF OPM 1102 QUALIFICATION STANDARDS

MEMORANDUM FOR: Senior Procurement Executive

THROUGH: Bureau Senior Procurement Official

FROM: Head of Contracting Office

SUBJECT: Request for Waiver of OPM 1102 Qualification Standards

It is requested that a waiver be granted for: ***[Insert Name, Position, Series, Grade, Organization, and Address]***.

This request is to waive the \_\_\_\_\_24 semester hours of business-related courses, \_\_\_\_\_ four years of college leading to a degree, \_\_\_\_\_experience requirements, and/or \_\_\_\_\_training requirements. ***[Specifically identify the portion of the standard that the individual does not meet (e.g., lacks 10 or the 24 credit hours in the required business related fields, has 24 semester credit hours, but lacks the degree, has completed all but one of the mandatory training requirements, etc)].***

The applicant has been determined to be the best-qualified individual for the position. In accordance with CAM 1301.6 the following narrative is provided. ***[Provide a narrative that describes the potential of the applicant for advancement to levels of greater responsibility and authority based on demonstrated analytical and decision making capabilities, job performance and qualifying experience].***

In accordance with CAM 1301.6 the following justification is also provided. ***[Provide justification for requesting the waiver that relates the applicant's background and experience to the performance requirements of the position to be filled. Address why the individual was selected in lieu of candidates who fully met the requirements of the GS-1102 OPM Qualification Standard (if any). Include a discussion of any impact a disapproval of the waiver would have on the organization].***

If there are questions or if assistance is needed please contact \_\_\_\_\_ ***[insert name of contact]*** on \_\_\_\_\_ ***[insert phone number for contact]***.

Attachments (***See CAM 1301.6 subsection 2.5.2 Waiver Packages***)

Position Description  
Vacancy Announcement  
Description of recruiting efforts  
Tentative selectee's application/resume  
Plan for meeting the Qualification Standard

## APPENDIX E GUIDANCE ON MEETING CONTINUOUS LEARNING POINTS

### ***Introduction***

Professional learning by acquisition workforce members serves to improve the outcome of Federal procurements and benefits the public interest. Regular participation in continuous learning activities and programs enhances the skills of acquisition professionals, affords them opportunities for professional growth, and improves the quality of services rendered. Bureau Career Managers (BCMs) and supervisors shall work with acquisition workforce members to identify opportunities and determine the appropriate number of Continuous Learning Points (CLPs) obtained from each learning activity. Accounting for and documenting continuous learning activities are mutual responsibilities between the acquisition workforce member, supervisor and BCM.

Acquisition workforce members should refer to Office of Federal Procurement Policy (OFPP) certification policies<sup>7</sup> to determine how many CLPs they must earn in order to maintain their certification. For discrete activities related to acquisition, such as attending learning events or training, each hour spent in a continuous learning activity is equal to one CLP. Experiential activities that do not have a definite number of learning hours, such as rotational assignments and mentoring are discussed below. Hours in excess of the minimum requirements may not be carried forward for credit beyond the current period. In general, no single activity should be used to accumulate all CLPs required for certification maintenance. Workforce members should make an effort to participate in a variety of acquisition-related activities designed to give the member a well-rounded perspective of his/her acquisition function.

Not all training providers issue certificates based on hours. Some training providers issue certificates based on Continuing Education Units (CEUs) or CLPs. When converting to hours, one CEU equals 10 hours of instruction, and one CLP equals 1 hour of instruction. Note: one training day is equal to six CLPs unless the training certificate identifies earned CLPs or Continuing Education Units (CEUs).

### **CLP Activities**

The following activities can generally be used to obtain CLPs:

#### **A. Training/Education**

CLPs may be earned through formal or informal training activities that are related to the acquisition workforce member's job, including participating in self-directed study<sup>8</sup>, presenting training, and taking higher education coursework.

#### **B. Participating in Professional Organizations and/or their Events**

CLPs may be earned for participating in professional organizations, attending events sponsored by them, and obtaining professional licenses or certifications. Membership in a professional organization alone will not be considered as fulfilling continuous learning requirements, but participation in the organization leadership will. Before participating in professional organizations, workforce members must ensure that their participation is authorized by their agency and is permitted by ethics laws and regulations. Examples of activities that may qualify for CLPs include holding elected/appointed positions, such as committee leadership roles, or attending and/or presenting at educational learning events or meetings.

<sup>7</sup> Available at [http://www.whitehouse.gov/omb/procurement\\_index\\_workforce/](http://www.whitehouse.gov/omb/procurement_index_workforce/)

<sup>8</sup> Self-directed study programs must be approved by the employee's supervisor.

**C. Publishing**

Publishing articles related to acquisition are generally acceptable for CLPs. Points will only be awarded in the year published. Authors must comply with agency publication policy.

**D. Participating in Experiential Activities**

Experiential activities are those at-work experiences that serve to enhance workforce professional skills and improve agency acquisition delivery, such as rotational and developmental assignments or mentoring. CLPs accumulate for learning; simply performing an already understood work function should not be used to accumulate CLPs. Longer experiences can be more beneficial than shorter experiences, but the granting of CLPs should be focused on what the workforce member has learned, rather than what they have done.

Supervisors and workforce members should pre-define, as much as possible, the learning activities to be accomplished in each experience, and should work together to determine the appropriate number of CLPs that each experience will accumulate for the member. Mentoring of workforce members during experiential learning is encouraged, as is sharing of knowledge gained in an experiential assignment through reports, briefings, project designs or formal or informal training.

**Sample Activities**

Below are sample activities and the number of CLPs recommended for completing them. This sample list is not intended to be all-inclusive and workforce members and supervisors should work together to identify qualifying events and experiences. Agencies can establish different CLP values for the listed activities; therefore, workforce members should seek agency guidance and consider the advice of their ACM in the assignment of CLP values for activities listed and those being contemplated.

<b>SAMPLE ACTIVITY</b>	<b>POINTS</b>
Formal or Informal Training (such as FAI/DAU classroom or online courses)	1 CLP per hour of instruction (NOTE: excludes meal time and assigned breaks)
Accredited Higher Education Courses (i.e. college courses)	Generally, 10 CLPs per semester or quarter hour
Continuing Education Unit (CEU)	10 CLPs per CEU
Equivalency Exam	Same points as awarded for the course
Learning event, training or seminar presentation	1 CLP per hour, including preparation; maximum of 20 CLPs per year
Attendance at professional association meeting	1 CLP per meeting hour, maximum of 20 CLPs per year
Participation in intra- or interagency group on an acquisition topic	1 CLP per meeting hour, maximum of 20 CLPs per year
Association Leadership Role	1 CLP per hour; maximum of 20 CLPs per year
Professional License or Certification	20 to 40 CLPs
Publication	1 CLP per hour of material prep; max of 20 CLPs per year
On-the-job Experiential Learning	1 CLP per hour of activity; maximum 20 CLPs per year
Mentoring	1 CLP per hour of activity; maximum 20 CLPs per year
Rotational or Developmental Assignment	Based on learning achieved and length of assignment/detail. Generally:
12 month assignment/detail	80 CLPs
9 months	65 CLPs
6 months	45 CLPs
3 months	35 CLPs
2 months	30 CLPs
1 month	20 CLPs

Note: - All activities may earn points only in the year accomplished, awarded or published.

## APPENDIX F

# FAC-C FAITAS CERTIFICATION MODULE (EMPLOYEE) INSTRUCTIONS

### ➤ Employee Activity #1: Submit a Certification Request

The general workflow is Employee → Supervisor → Bureau Certification Manager (BCM) → Agency Certification Manager (ACM). The Bureau Career Manager for your operating unit serves as the Bureau Certification Manager and the Department's Acquisition Career Manager serves as the Agency Certification Manager.

Employees submit certification requests that should support documentation. Support documentation is anything that supports your certification request such as certificates, transcripts, letter of completion, etc.

### General Access Instructions

1. Enter the URL: <https://www.atrrs.army.mil.faitas> to display the **U.S. Government Information System** message screen.
2. Read the message and click the **I Agree** button.
3. In the FAITAS login screen, enter your email address and password to display the Dashboard.

### Activity Instructions

1. From the main navigation bar, go to **Manage Career | Certification** and click **My Certification Requests**. The **Certification Requests for [Employee Name]** screen opens.



Figure 1: My Certification Requests

2. Click the [Add Certification Requests >>](#) link located above the Certification Requests section. The **New Certification Request** screen opens.

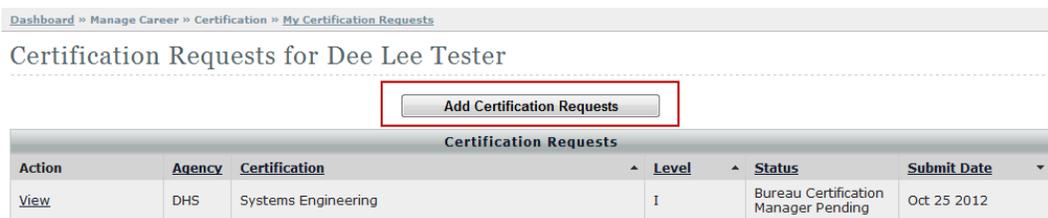


Figure 2: Add Certification Requests Link

3. In the Certification Selection area, select a **Certification** and a **Level** from the drop-down lists, then click the **Next** button. The **New Certification Request** screen refreshes with an expanded **Requirements** section.
4. On the **New Certification Request** screen, there are three Requirement sections: Education, Experience, and Training. Supporting documentation may be required in all or some of these areas.

**Requirements**

**Education**

- Education Desired, Not Required

**Supporting Documents: (optional)**      [Attach Supporting Documentation](#)

**Experience**

- 1 Years

**Supporting Documents: (required)**      [Attach Supporting Documentation](#)

**Training** [View Training History](#)

Completion Status	Courses
✘	AQN 101 DHS Fundamentals of Systems Acquisition
✘	APM 102 DHS Fundamentals of Program Management
✘	SYS 101 Fundamentals of Systems Planning, Research, Development, and Engineering
✘	CLB 007 Cost Analysis
✘	CLB 016 Introduction to Earned Value Management
✘	BCF 103* Fundamentals of Business Financial Management

**The FAITAS Training History does not indicate completion of all required FAI/DAU training requirements. Please attach course completion or other documentation of meeting the course objectives for all training requirements without a checkmark.**

**Supporting Documents: (required)**      [Attach Supporting Documentation](#)

Figure 3: New Certification Request

- To upload documentation, click the **Attach Supporting Documentation** link. The **Upload Document** pop-up window opens. Click the **Browse** button, select a file, click the **Open** button and enter a **File Description** so that the approval manager knows the file contents, then click the **Submit** button to upload the selected file. The file size limitation for each uploaded file is 4 Mb. The file name appears in the **Attach File** field and the file name of supporting documentation displays in the appropriate section.
- Repeat the upload steps to add additional supporting documentation.
- After you finish uploading any supporting documentation, click each of the checkboxes in front of **Education**, **Experience**, and **Training**. Checkmarks appear in each box. **IMPORTANT:** Check all boxes even if supporting documentation was not uploaded, otherwise, an error message will display when you try to submit the certification request.
- [Optional] Add a comment in the **Remark** textbox. Comments are an option if you want to provide the approval authorities with additional information.
- Read the **Employee Statement**. If the statement is true, enter a checkmark. If you do not enter a checkmark, the **Submit Request** button does not activate.

**Employee Statement**

I certify that, to the best of my knowledge and belief, all of the information on and attached to this request is true, correct, complete, and made in good faith.

Figure 5: Employee Statement

- Click the **Submit Request** button. The **Certification Request** screen opens along with a green text message that confirms the request was submitted successfully.

- Click the **Close** button. The **Certification Requests for [Employee]** window opens to show the updated **Certification Request** table. Notice that the **Status** refreshes to say “Supervisor Pending”.

Dashboard » Manage Career » Certification » My Certification Requests

### Certification Requests for Dee Lee Tester

[Add Certification Requests](#)

Certification Requests						
Action	Agency	Certification	Level	Status	Submit Date	
<a href="#">Edit</a>   <a href="#">Withdraw</a>	DHS	Acquisition Program Manager	I	Supervisor Pending	Oct 25 2012	

Figure 6: Status Updates

➤ **EMPLOYEE ACTIVITY #2: Verify the Final Decision Regarding Certification Request**

Employees should check the status of their Certification requests until a final processing decision (**Approved** or **Disapproved**) is evident.

**Activity Instructions**

- From the main navigation bar, go to **Manage Career | Certification** and click **My Certification Requests**.
- The **Certification Requests for [Employee Name]** screen opens.
- In the **Processed Certification Requests** section, notice that the Status updates as “Approved” or “Disapproved”.

Processed Certification Requests						
Action	Agency	Certification	Level	Status	Submit Date	
<a href="#">View</a>	DHS	<a href="#">Life Cycle Logistics Manager</a>	III	Approved	Oct 25 2012	
<a href="#">View</a>	DHS	<a href="#">Program Financial Management</a>	II	Approved	Oct 25 2012	
<a href="#">View</a>	KA	<a href="#">Contracting Officer's Representative</a>	I	Approved	Oct 26 2011	
<a href="#">View</a>	KA	<a href="#">Federal Acquisition Certification in Contracting</a>	II	Approved	Oct 26 2011	
<a href="#">View</a>	KA	<a href="#">Contracting Officer's Representative</a>	I	Disapproved	Oct 24 2011	
<a href="#">View</a>	KA	<a href="#">Federal Acquisition Certification in Contracting</a>	I	Approved	Oct 24 2011	
<a href="#">View</a>	KA	<a href="#">Program and Project Managers</a>	I	Disapproved	Oct 24 2011	

Figure 1: Processed Certification Requests

- In the case of a disapproved certification request, click the **View** link in the **Action** column to display the Certification Request.
- Scroll to the bottom to see the reason the request was disapproved.

➤ **EMPLOYEE ACTIVITY #3: View Certifications**

Employees can view or print Certifications.

**Activity Instructions**

- From the main navigation bar, go to **Manage Career | Certification** and click **My Certification Requests**.
- The **Certification Requests for [Employee Name]** screen opens.
- In the **Processed Certification Requests** section, click a title of any Certification listed with a status of “Approved.”

Processed Certification Requests						
Action	Agency	Certification	Level	Status	Submit Date	
<a href="#">View</a>	DHS	<a href="#">Life Cycle Logistics Manager</a>	III	Approved	Oct 25 2012	
<a href="#">View</a>	DHS	<a href="#">Program Financial Management</a>	II	Approved	Oct 25 2012	
<a href="#">View</a>	DHS	<a href="#">Cost Estimating</a>	II	Approved	Jun 5 2012	
<a href="#">View</a>	DHS	<a href="#">Life Cycle Logistics Manager</a>	II	Approved	Apr 9 2012	

Figure 1: Certifications

4. A small File Download pop-up window opens
5. Click the **Open** button. A PDF certificate window displays the Certificate.
6. Click the “X” to close PDF screen. The **Certification Requests for [Employee Name]** screen opens again.

➤ **EMPLOYEE ACTIVITY #4: Respond to a “Return to Employee” Decision**

Approval authorities, (i.e. Supervisors, Bureau Certification Managers, and Agency Certification Managers) can return a certification request for more information. When a request is returned, Employees can add supporting documentation or enter a comment in the **Remark** textbox. Other fields cannot be edited.

**Activity Instructions**

1. From the main navigation bar, go to **Manage Career | Certification** and click **My Certification Requests**. The **Certification Requests for [Employee Name]** screen opens.
2. Click the **Edit** link in the **Action** column for the Certification that has been returned. The **Certification Request** screen opens.
3. Scroll down to review the message the approval authority wrote and enter the additional supporting documentation as requested. You must enter a remark in the textbox before re-submitting the request.

**Supporting Documents: (required)** [Attach Supporting Documentation](#)

File Name	Description	Document Type	File Date	Action
10_19_2012_DJ.docx	Letter verifying requirement satisfaction	Letter	Oct 25 2012	<a href="#">View</a>   <a href="#">Delete</a>
8_13_2012_Define Measurement Strategy.docx	Certificate of Completion	Certificate	Sep 11 2012	<a href="#">View</a>   <a href="#">Delete</a>

\* Elective must be a minimum of 16 hours in length and relevant to career field.

**Remarks**

User Name/Remark Date	Remark
Dee L Tester Oct 25 2012 (Supervisor)	Please supply additional documentation

**Remark\*:**

**Employee Statement**

I certify that, to the best of my knowledge and belief, all of the information on and attached to this request is true, correct, complete, and made in good faith.

Figure 2: Respond to “Return to Employee” Decision

4. Verify the **Employee Statement** and click the **Resubmit Request** button. A green text message confirms that your request has been submitted successfully.

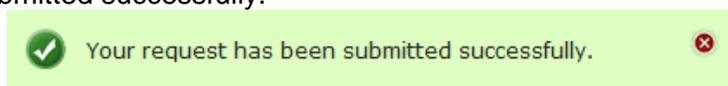


Figure 3: Successful Resubmission Text

## FAC-C FAITAS CERTIFICATION MODULE (SUPERVISOR) INSTRUCTIONS

### ➤ SUPERVISOR ACTIVITY #1: Supervisor “Recommends Approval” of Employee Certification Request

The general workflow is Employee → Supervisor → Bureau Certification Manager (BCM) → Agency Certification Manager (ACM). The Bureau Career Manager for your operating unit serves as the Bureau Certification Manager and the Department’s Acquisition Career Manager serves as the Agency Certification Manager.

Employees submit certification requests. Supervisors can Recommend Approval, Recommend Disapproval, or Return Requests to the Employee for more information.

#### General Access Instructions

1. Enter the URL: <https://www.atrrs.army.mil.faitas> to display the **U.S. Government Information System** message screen.
2. Read the message and click the **I Agree** button.
3. In the FAITAS login screen, enter your email address and password to display the Dashboard.

#### Activity Instructions

1. In your Dashboard, locate the **Certification Requests Pending Your Review** section and click the **Manage Certifications** link. NOTE: You can also click the name of individual Employees but up to five (5) pending certification requests are listed. To see the complete list, it’s recommended to click the **Manage Certifications** link. The **Certification Request** screen opens.

Certification Requests Pending Your Review		
Name	Date Submitted	Certification
<a href="#">Dee L Tester</a>	Sep 11 2012	Federal Acquisition Certification in Contracting
<a href="#">Dee L Tester</a>	Oct 25 2012	Acquisition Program Manager
<a href="#">Dee L Tester</a>	Oct 22 2012	Cost Estimating
<a href="#">Manage Certification Requests</a>		

Figure 1: Manage Certification Requests

2. Within the Certification Request, click the **View** link to see any supporting documentation that the Employee uploaded.

Requirements				
<input checked="" type="checkbox"/> Education				
<ul style="list-style-type: none"> <li>Baccalaureate degree (any field of study)</li> </ul> <p><b>OR</b></p> <ul style="list-style-type: none"> <li>at least 24 semester hours among these disciplines: Accounting, Law, Business, Finance, Contracts, Purchasing, Economics, Industrial Management, Marketing, Quantitative Methods, or Organization and Management</li> </ul>				
<b>Supporting Documents: (required)</b>				
File Name	Description	Document Type	File Date	Action
8_13_2012_Define and Update a Metric.docx	Supporting documentation for Education	Letter	Sep 11 2012	<a href="#">View</a>
<input checked="" type="checkbox"/> Experience				
<ul style="list-style-type: none"> <li>2 Years</li> </ul>				
<b>Supporting Documents: (required)</b>				
File Name	Description	Document Type	File Date	Action
8_13_2012_Define Measurement Strategy.docx	Evidence of completion for verification of experience	Letter	Sep 11 2012	<a href="#">View</a>

Figure 2: Action Column Contains View Link

3. After viewing the documentation, scroll to the bottom of the Certification Request and click the **Recommend Approval** button. A green message confirms that the request has been forwarded to the next approval authority.



Figure 3: Confirmation Text Message

➤ **SUPERVISOR ACTIVITY #2: Supervisor “Recommends Disapproval” for an Employee Certification Request**

Employees submit certification requests. Supervisors can also Recommend Disapproval.

**Activity Instructions**

1. In your Dashboard, locate the **Certification Requests Pending Your Review** section and click the **Manage Certifications** link. The **Certification Request** screen opens.
2. Review the certification request and supporting documentation (if available).
3. If you will recommend disapproval of the certification request, you **MUST** enter an explanatory remark in the **Remarks** textbox.

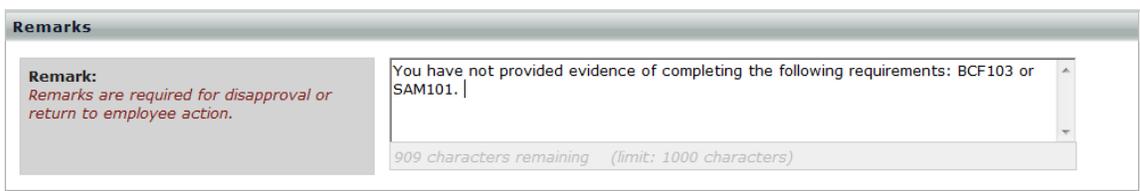


Figure 1: Remark Textbox

4. Scroll to the bottom of the Certification Request and click the **Recommend Disapproval** button. A green text message confirms that the request has been forwarded to the next approval authority.



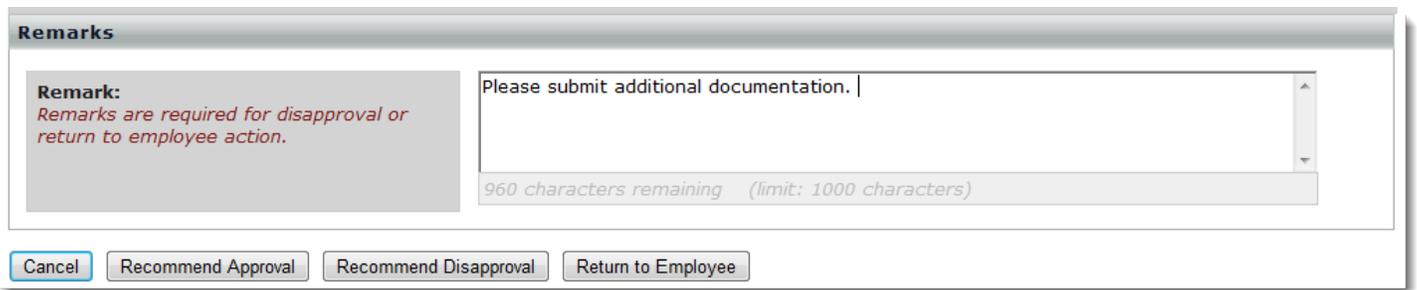
Figure 3: Confirmation Text Message

➤ **SUPERVISOR ACTIVITY #3: Supervisor Selects “Return to Employee” Option**

Employees submit certification requests. Supervisors can Return Requests to the Employee for more information.

**Activity Instructions**

1. In your Dashboard, locate the **Certification Requests Pending Your Review** section and click the **Manage Certifications** link.
2. The **Certification Request** screen opens.
3. Review the certification request and supporting documentation (if available).
4. You decide to ask the Employee for more documentation and enter a comment in the **Remark** textbox. Remember that you must include remarks for any **Recommend Disapproval** or **Return to Employee** decisions.



The screenshot shows a 'Remarks' section with a text input field. The text inside the field is 'Please submit additional documentation.' Below the field, it says '960 characters remaining (limit: 1000 characters)'. To the left of the field, there is a note: 'Remark: Remarks are required for disapproval or return to employee action.' Below the text area, there are four buttons: 'Cancel', 'Recommend Approval', 'Recommend Disapproval', and 'Return to Employee'.

Figure 1: Remark Textbox

5. Select the **Return to Employee** button. A green text message indicates that the request has been returned to the Employee.

## APPENDIX G

# FAITAS CONTINUOUS LEARNING MODULE (EMPLOYEE) INSTRUCTIONS

### ➤ EMPLOYEE ACTIVITY#1: Submit a Continuous Learning Point Request

In the Continuous Learning Point (CLP) module, Employees submit CLP requests. The general workflow is Employee → Supervisor → Bureau CL Manager. The Bureau Career Manager for your operating unit is the assigned Bureau CL Manager and the person with approval authority.

#### General Access Instructions:

4. Enter the URL: <https://www.atrrs.army.mil.faitas> to display the **U.S. Government Information System** message screen.
5. Read the message and click the **I Agree** button.
6. In the FAITAS v.2 login screen, enter your email address and password to display the Dashboard.

#### Activity Instructions:

1. From the main navigation bar, go to **Manage Career | Continuous Learning** and click **My Point Requests**.



Figure 1: My Point Requests

2. The **Continuous Learning Point Requests for [Employee Name]** screen opens.
3. Click the **Add CLP Requests** link located in the middle of the screen above the **Pending/Processed Learning Point Requests** section.

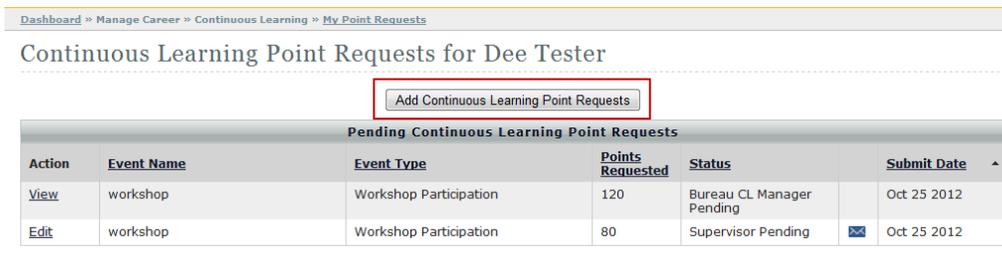


Figure 2: Add Continuous Learning Point Requests Link

4. The **Continuous Learning Point Request** screen opens.
5. In the **Event Information** area, enter information for the required fields. Required fields are identified by **red, bold** text with asterisks (\*). Your Supervisor and other approval authorities will be able to adjust the number of points you request. Click the **Attach Supporting Documentation** link to upload documentation. There is a maximum of 4 Mb for each file upload.

Figure 3: Event Information

- Click the **Submit Request** button. A green message confirms the CLP request was submitted successfully. Notice that the **Status** refreshes to say “Supervisor Pending” for the CL request just submitted.

Action	Event Name	Event Type	Points Requested	Status	Submit Date
<a href="#">Edit</a>	workshop	Workshop Participation	150	Supervisor Pending	Oct 25 2012
<a href="#">View</a>	workshop	Workshop Participation	120	Bureau CL Manager Pending	Oct 25 2012
<a href="#">Edit</a>	workshop	Workshop Participation	80	Supervisor Pending	Oct 25 2012

Figure 4: Status Updates

➤ **EMPLOYEE ACTIVITY #2: Check Status of a Continuous Learning Point Request**

Employees should regularly check the status of their CLP requests. Requests can be Approved or Disapproved by any approval authority in the workflow.

**Activity Instructions:**

- From the main navigation bar, go to **Manage Career | Continuous Learning** and click **My Point Requests**.
- The **CLP Requests for [Employee Name]** opens confirming that the CLP Requests were Approved or Disapprove under the Processed Continuous Learning Point Requests section.

Action	Event	Event Type	Points	Status	Action Date
<a href="#">View</a>	Workshop	Workshop Participation	90	Approved	Oct 25 2012
<a href="#">View</a>	Workshop	Workshop Participation	80	Approved	Oct 25 2012
<a href="#">View</a>	AHQ Auditor Exam	Equivalency Exam	80	Approved	Oct 22 2012
<a href="#">View</a>	silliness	Training (classroom or online)	100	Approved	Oct 22 2012
<a href="#">View</a>	house building	Equivalency Exam	120	Disapproved	Oct 22 2012
<a href="#">View</a>	Space Diving	Conference or Seminar Attendance	80	Approved	Oct 22 2012
<a href="#">View</a>	Mobile Technology Workshop	Conference or Seminar Presenter	12	Approved	Oct 17 2012
<a href="#">View</a>	Mobile Technology Workshop	Conference or Seminar Presenter	12	Disapproved	Jun 12 2012
<a href="#">View</a>	Mobile Technology Workshop	Conference or Seminar Presenter	12	Disapproved	Jun 12 2012
<a href="#">View</a>	Mobile Technology Workshop	Conference or Seminar Presenter	12	Approved	Jun 12 2012

Figure 1: Status Updates

➤ **EMPLOYEE ACTIVITY #3: Respond to a “Return to Employee” Decision**

Supervisors and/or Bureau Continuous Learning Managers can return a CL Point request for more information. When a request is returned, Employees can add supporting documentation or enter a comment into the **Remark** textbox. Other fields cannot be edited.

**Activity Instructions:**

1. From the main navigation bar, go to **Manage Career | Continuous Learning** and click **My Point Requests**.
2. The **Continuous Learning Point Requests for [Employee Name]** screen displays with the updated status of the CLP Request: “Returned by XXX”

Pending Continuous Learning Point Requests						
Action	Event Name	Event Type	Points Requested	Status		Submit Date
<a href="#">Edit</a>	workshop	Workshop Participation	150	Supervisor Pending	✉	Oct 25 2012
<a href="#">View</a>	workshop	Workshop Participation	120	Bureau CL Manager Pending		Oct 25 2012
<a href="#">Edit</a>	workshop	Workshop Participation	80	Returned by Supervisor		Oct 25 2012

Figure 1: CLP Request Returned by Supervisor

3. Click the **Edit** link under the **Action** column next to the CL Point Request that was returned. Your **Continuous Learning Point Request** screen opens. Scroll to the bottom to read your Supervisor’s comment.

**Remarks**

User Name/Remark Date	Remark
Dee Lee Tester Oct 25 2012 (Supervisor)	Additional documentation is needed.

**Remark:**  
*Remarks are required for resubmission.*

Figure 2: Supervisor’s Remark

4. After reading the comment, click the **Attach Supporting Documentation** link.

**Supporting Documentation** (allow file size under 4 MB)

**Attach Document:**      [Attach Supporting Documentation](#)

Figure 3: Attach Supporting Documentation Link

5. The **Upload Document** pop-up window opens. In the **Attach File** field, click the **Browse** button, select a file, click the **Open** button, select the **Document Type** from the drop-down list, and enter a **File Description** so that the approval authority knows the file contents, and then click the **Submit** button to upload the selected file.

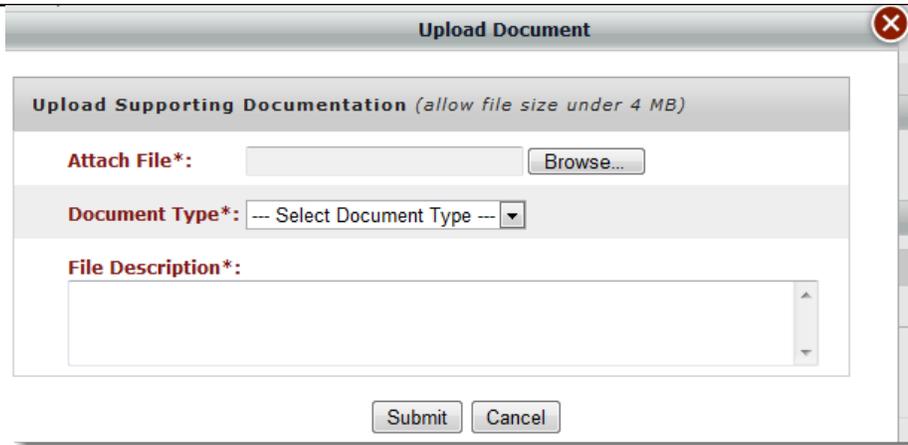


Figure 4: Upload Document Pop-Up Window

6. The file name appears in the **Attach Document** field and the file name of your supporting documentation displays in the appropriate section.
7. Enter a message such as: “Have uploaded supporting documentation” in the required **Remark** textbox.

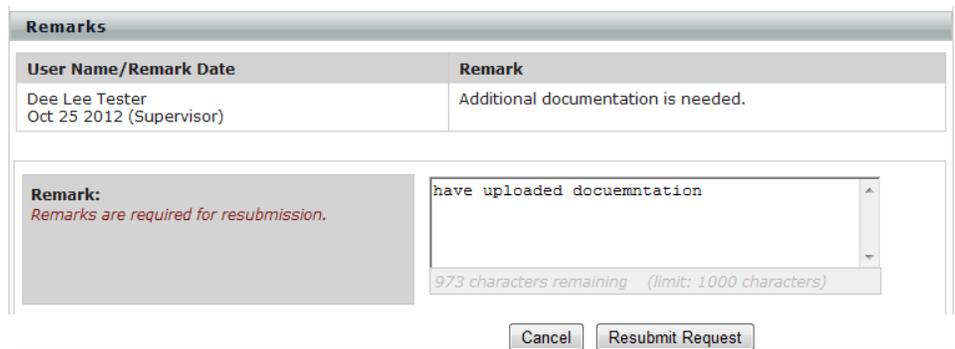


Figure 5: Remark Entered by Employee

8. Click the **Resubmit Request** button. The **Continuous Learning Point Requests for [Employee Name]** opens with a green text message that confirms the request has been resubmitted and an updated **Status**.

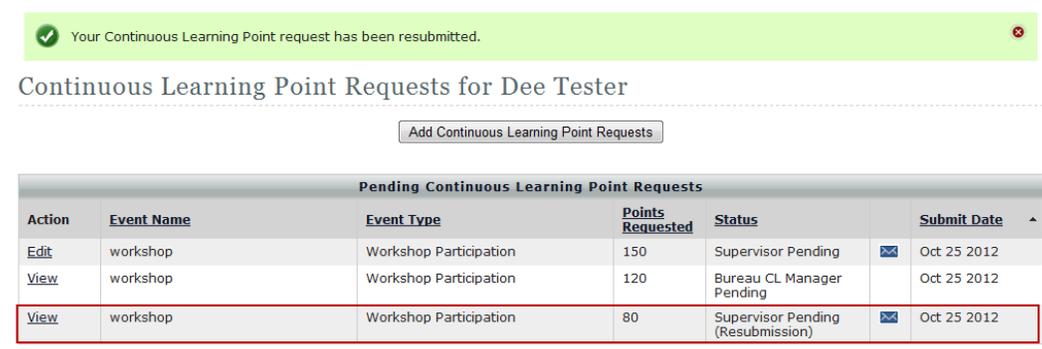


Figure 6: Updated Resubmission Status

➤ **EMPLOYEE ACTIVITY #4: Initiate Achievement Request**

After an Employee completes requirements, FAITAS v.2 automatically generates an email message. The Employee then submits the Achievement request.

**Activity Instructions:**

1. From the main navigation bar, go to **Manage Career | Continuous Learning** and click **My Achievement Requests**.



Figure 1: My Achievement Requests

2. The **Achievement Requests for [Employee Name]** window opens.

Continuous Learning Periods						
Certification	Level	Period Begin Date	Period End Date	Points Awarded	Points Needed	Action
Federal Acquisition Certification in Contracting	III	Jun 6 2012	Jun 5 2014	442	0	<b>Achievement Request</b>

Figure 2: Achievement Requests Link

3. Under the Continuous Learning Periods section, click the **Achievement Request** button that is located in the **Action** column to initiate the achievement request process.
4. Review the information contained in the **Continuous Learning Achievement Request**.
5. Click the **Submit Achievement Request** button if the information is correct.
6. A text message displays confirming that your request has been submitted.



Figure 3: CL Achievement Request Confirmation

➤ **EMPLOYEE ACTIVITY #5: View Achievement Level Request Decision**

Supervisors or Bureau Continuous Learning Managers can approve or disapprove Achievement Level Requests. Employees should check the status of their requests on a regular basis.

**Activity Instructions:**

1. From the main navigation bar, go to **Manage Career | Continuous Learning** and click **My Continuous Learning**.



Figure 1: My Continuous Learning

2. The **Continuous Learning Periods for [Employee Name]** window opens with the updated **Achievement Status** noted.

### Continuous Learning Periods for Dee Tester

Current Continuous Learning Periods							
Certification	Level	Period Begin Date	Period End Date	Points Awarded	Points Needed	Achievement Status	
+ Federal Acquisition Certification in Contracting	III	Oct 28 2011	Oct 27 2013	1314	0	<u>Approved</u>	
+ Contracting Officer's Representative	III	Jan 25 2012	Jan 24 2014	1314	0	<u>Approved</u>	
+ Program Financial Management	III	Jan 27 2012	Jan 26 2014	1314	0	Bureau CL Manager Pending	
+ Ordering Official Certification	I	Apr 10 2012	Apr 9 2014	594	0	<u>Approved</u>	
+ Life Cycle Logistics Manager	II	Apr 10 2012	Apr 9 2014	594	0	<u>Approved</u>	
+ Cost Estimating	II	Jun 6 2012	Jun 5 2014	442	0	<u>Approved</u>	
+ Federal Acquisition Certification in Contracting	III	Jun 6 2012	Jun 5 2014	442	0	Supervisor Pending	

Figure 2: Achievement Status Updates

3. Click the **Approved** link to view/print the Certification.

## CONTINUOUS LEARNING MODULE (SUPERVISOR) INSTRUCTIONS

### ➤ SUPERVISOR ACTIVITY #1: Supervisor Approves CL Point Request.

Supervisors can Approve or Disapprove CL Point requests. Supervisors can also return a CL Point request to an Employee. Employees can provide additional supporting documentation or enter a comment in the **Remark** textbox. Other fields cannot be edited.

#### General Access Instructions:

1. Enter the URL: <https://www.atrrs.army.mil.faitas> to display the **U.S. Government Information System** message screen.
2. Read the message and click the **I Agree** button.
3. In the FAITAS v.2 login screen, enter your email address and password to display the Dashboard.

#### Activity Instructions:

1. In your Dashboard, locate the **Continuous Learning Point Requests Pending Supervisor Review** widget, click **Manage Point Requests**.

Name	Date Submitted	Event Name
<a href="#">Dee Lee Tester</a>	Oct 25 2012	workshop
<a href="#">Dee Lee Tester</a>	Oct 25 2012	workshop

[Manage Point Requests](#) 

Figure 1: Manage Point Requests

2. The **Manage Continuous Learning Point Requests** screen opens.

### Manage Continuous Learning Point Requests

List Requests:  Pending  Processed Timeframe: 30 Days 

First Name:  Last Name:

Continuous Learning Point Requests (2)						
Name	Event	Event Type	Points Requested	Status	Submit Date	
<a href="#">Dee Lee Tester</a>	workshop	Workshop Participation	80	Supervisor Pending (Resubmission)	Oct 25 2012	
<a href="#">Dee Lee Tester</a>	workshop	Workshop Participation	150	Supervisor Pending	Oct 25 2012	

Figure 2: Manage CL Point Requests

3. Click the name of the Employee whose request you will process. The **Continuous Learning Point Request** screen opens.
4. After you review the information, click the radio button next to **Approve** and enter the Points Awarded.



Figure 3: Points Awarded

- Click the **Process Request** button. The **Manage Continuous Learning Point Requests** window opens with a green text message confirming that the CL Point Request has been approved.
- The processed CL Point Request list updates to include the newly processed request.

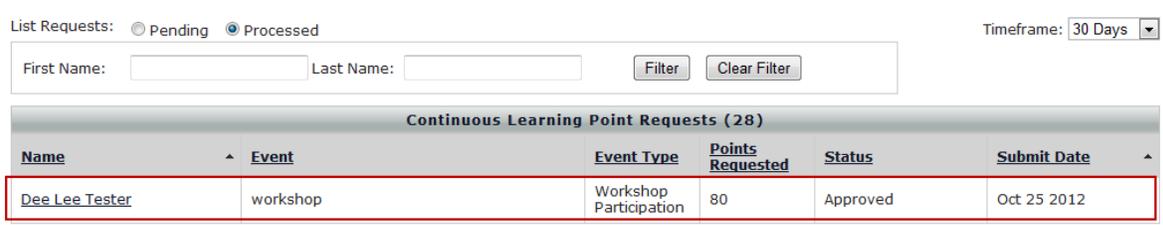


Figure 4: Processed CLP Requests

➤ **SUPERVISOR ACTIVITY #2: Supervisor Disapproves CL Point Request.**

Supervisors can Disapprove CL Point requests.

**Activity Instructions:**

- Under the **CLP Requests Pending Supervisor Review** tab, click **Manage Point Requests**.



Figure 1: Manage Point Requests

- The **Manage Continuous Learning Point Requests** screen opens.

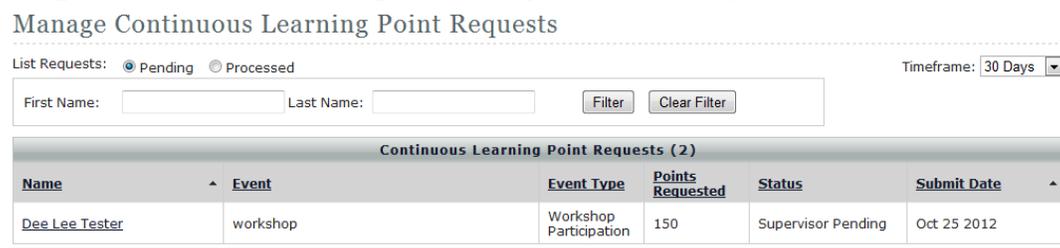


Figure 2: Manage CL Point Requests

3. Click the name of the Employee whose request you will process. The **Continuous Learning Point Request** screen opens.
4. After you review the information, click **Disapprove** under the **Approval Information** section. Enter a required explanation in the **Remarks** textbox.

**Approval Information**

Approve -- **Points Awarded\***: 0

Disapprove

Name/Date	Request Status
Dee Lee Tester Oct 25 2012 (Employee)	Request Submission

**Remarks**

**Remark:**  
*Remarks are required for return to employee and disapproval action.*

This event is a duplicate of one submitted for approval 08/13/2012.

933 characters remaining (limit: 1000 characters)

Cancel Return to Employee Save Remark Process Request

Figure 3: Remark Textbox

5. Click the **Process Request** button. The **Manage Continuous Learning Point Requests** window opens with a green text message confirming that the CL Point Request has been disapproved.

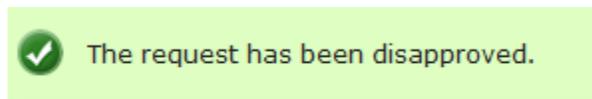


Figure 4: Confirmation Text Message

➤ **SUPERVISOR ACTIVITY #3: Supervisor Responds to Employee’s Achievement Request**

Supervisors can Recommend Approval or Disapprove Employee’s Achievement requests.

**Activity Instructions:**

1. From the main navigation bar, go to **Manage Employees | Continuous Learning** and click **Manage Achievement Requests**.



Figure 1: Manage Achievement Requests

- The **Manage Continuous Learning Achievement Requests** window opens.

Manage Continuous Learning Achievement Requests

List Requests:  Pending  Processed Timeframe: 18 Months

First Name:  Last Name:

Continuous Learning Achievement Requests (1)						
Name	Certification	Level	Period Begin Date	Period End Date	Achieved Date	Status
Dee Lee Tester	Federal Acquisition Certification in Contracting	III	Jun 6 2012	Jun 5 2014	Sep 4 2012	Supervisor Pending

Figure 2: Manage CL Achievement Requests

- Click the name of the Employee whose CL Achievement Request you will review. The **Continuous Learning Point Request** window opens.

**Employee Information**

Name: Dee Lee Tester Agency: DHS Bureau: Office of Policy  
 Email Address: [diane.jackson@asmr.com](mailto:diane.jackson@asmr.com)  
 Supervisor Name: Jane Tester4 Supervisor Email: [jane.Tester4@asmr.com](mailto:jane.Tester4@asmr.com)  
 Job Code: 0023 Pay Plan: AD Pay Grade: 02  
 Career Field: Program Management Level Required: 2 Level Achieved: 1 AWF: Yes  
 Work Address: 345 Any Street Fairfax, VA Work Phone: 555-1212 Ext: 345

**Achievement Information**

Certification: Federal Acquisition Certification in Contracting Level: III  
 Continuous Learning Period: Jun 6 2012 - Jun 5 2014 Required CLPs: 80 Achieved Date: Sep 4 2012  
 Status: Supervisor Pending Submission Date: Oct 25 2012

**Continuous Learning Events (Jun 6 2012 - Jun 5 2014)**

Event Name	Event Type	Points Awarded	Start Date	End Date
<a href="#">Mobile Technology Workshop</a>	Conference or Seminar Presenter	12	Jun 8 2012	Jun 8 2012
<a href="#">AHO Auditor Exam</a>	Equivalency Exam	80	Sep 4 2012	Sep 4 2012
<a href="#">Workshop</a>	Workshop Participation	80	Oct 2 2012	Oct 5 2012
<a href="#">workshop</a>	Workshop Participation	80	Oct 2 2012	Oct 5 2012
<a href="#">Workshop</a>	Workshop Participation	90	Oct 2 2012	Oct 4 2012
<b>Total Points</b>		<b>522</b>		

**Action Status:**

Name	Date	Action Status
Dee Lee Tester (Employee)	Oct 25 2012	Request Submission

Figure 3: CL Point Request

- Review the CL Point Request and click the **Recommend Approval** button. The Continuous Learning Achievement Approval Confirmation screen updates with a green text message that confirms the request was forwarded to the next approval authority.

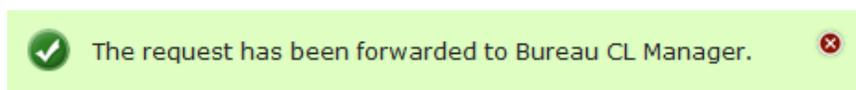


Figure 4: Confirmation Text Message

- Click the **Close** button. The **Manage Continuous Learning Achievement Requests** screen opens. Notice that the **Status** updates to "Bureau CL Manager Pending"

## APPENDIX H DEVELOPMENTAL OPPORTUNITIES

To ensure the acquisition workforce develops the necessary breadth and depth of experience required to demonstrate effective contracting competencies, requires professionals to not only learn technical skills through formal training but also through on-the-job experience and informal learning opportunities. Examples of such opportunities include rotational and or developmental assignments, participation in mentoring programs, teams and workgroups, or membership in professional associations.

To assist in documenting demonstrated contracting work experiences consider utilizing DOD's competency-based "On-the-Job" training tool, which outlines sample tasks that align to contracting competencies. The tool is available at: <https://acc.dau.mil/CommunityBrowser.aspx?id=398979&lang=en-US>. Contracting professionals are also encouraged to create IDPs to document career goals, assess competencies and identify a path for career development. The Office of Personnel Management has a training and development policy wiki that provides information on IDPs, including templates and resources, which are available at: <http://www.opm.gov/wiki/training/Individual-Development-Plans.ashx>. Also, the Department of Veterans Affairs has tips for preparing an IDP available at: <http://mycareeratva.va.gov/about/currentemployees/Pages/idp.aspx>.

The following chart details developmental activities that may be appropriate at the various FAC-C levels.

FAC-C Level	Possible Developmental Activities
Level I	<ul style="list-style-type: none"> <li><input type="checkbox"/> Participate in an onboarding program.<sup>9</sup></li> <li><input type="checkbox"/> Obtain a peer mentor and/or technical mentor.<sup>10</sup></li> </ul>
Level II	<ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain a technical mentor and a leadership mentor.</li> <li><input type="checkbox"/> Participate in a rotational assignment other Bureau procurement offices or related organizations (i.e., budget, finance or a program office).</li> <li><input type="checkbox"/> Participate in a leadership development program.</li> <li><input type="checkbox"/> Participate in an intra-agency team on a Department-wide acquisition initiative.</li> <li><input type="checkbox"/> Consider a core-plus certification.</li> <li><input type="checkbox"/> Write an article for an acquisition-related magazine or journal.</li> <li><input type="checkbox"/> Present an acquisition topic at a training forum.</li> <li><input type="checkbox"/> Conduct special procurement-related research projects.</li> </ul>
Level III	<ul style="list-style-type: none"> <li><input type="checkbox"/> Be a technical mentor.</li> <li><input type="checkbox"/> Obtain a leadership mentor.</li> <li><input type="checkbox"/> Participate in a rotational assignment outside of the agency.</li> <li><input type="checkbox"/> Consider an additional core-plus certification.</li> <li><input type="checkbox"/> Lead an intra-agency team on an agency acquisition initiative.</li> <li><input type="checkbox"/> Participate on an intra-agency team on a non-acquisition initiative.</li> <li><input type="checkbox"/> Present a leadership topic at a training forum.</li> <li><input type="checkbox"/> Participate on an interagency team on an acquisition initiative.</li> <li><input type="checkbox"/> Conduct special procurement-related research projects.</li> </ul>

<sup>9</sup> An onboarding program helps new employees become better acclimated with their new role, understand employer expectations, meet colleagues, and understand the mission of the agency. For assistance in developing an onboarding program, the Department of Agriculture has a guide available at: <http://www.dm.usda.gov/obp/docs/SupervisorGuide.pdf> and the Department of the Interior has a helpful onboarding checklist at available at: <http://www.doi.gov/ocio/onboarding/upload/OCIO-Employee-Checklist.pdf>

<sup>10</sup> More information and resources on mentoring can be found at: <http://www.opm.gov/wiki/training/mentoring-and-coaching.ashx>

## APPENDIX I

### SAMPLE REQUEST FOR APPOINTMENT OF CONTRACTING OFFICER

MEMORANDUM FOR: Senior Bureau Procurement Official\*

FROM: Head of Contracting Office\*

SUBJECT: Request for Appointment of Contracting Officer

There is a clear and convincing need to appoint {name of nominee} as a Level {warrant level} Contracting Officer. This need is evidenced by {discuss factors which necessitate contracting authority}.

The nominee is employed in the following organizational position: {insert job title, series, grade, Office, Branch/Division and complete address}.

The nominee meets the education, training and experience requirements established by CAM 1301.6 Section 4.7, and the warrant level requested is commensurate with the nominee's qualifications. The attached OF 612 (or resume) is current and specifically identifies the nominee's education, procurement related training, and procurement experience. The nominee's education is clearly identified as to the type of degree held and/or the number of credit hours completed within the fields designated in CAM Chapter 1301.6 Section 4.7. Procurement training is identified as to course titles, dates, number of hours, and training provider. Procurement experience is identified which relates the nominee's background and experience to the types of contract actions that the nominee will be responsible for as a Contracting Officer.

The nominee's conflict of interest disclosure statement is on file in the Human Resources Office.

The nominee's recent performance appraisal(s) rating is fully successful or higher (or equivalent).

The level of authority requested per contract action is \_\_\_\_\_.

{If applicable: The {insert organization} agrees to set aside funding for training, audits and required travel to servicing contracting offices as required for nominee.}

{If applicable: A copy of the nominee's Performance Plan reflecting a separate critical element for acquisition management or acquisition management as part of an existing critical element, with a minimum weight of 15% is attached}

{The nominee will complete a minimum of one week mandatory training at the servicing contracting office prior to appointment and will meet annually training and evaluation requirements}

{insert any additional comments}

Attachments

\*In those instances where the request is for the appointment of a Senior Bureau Procurement Official, the request should be addressed to the Senior Procurement Executive from the HCA.

## APPENDIX J SAMPLE PERFORMANCE PLAN ELEMENT

<b>SECTION 1 - PERFORMANCE PLAN</b>		
Employee's Name	Rating Period	Element No.
	10/01/05 - 09/30/06	1 of 3
<b>ITEM 1. Performance Element, Objective and Point Weight</b>		
Critical Element: <u>Acquisition Management</u>		
Objective: <u>To provide timely and effective acquisition service.</u>		
Point Weight: <u>15</u>		
The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5-point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.		
<b>ITEM 2. Major Activities or Required Results Related to the Above Element</b> <i>(Maximum of 5)</i>		
Acquisitions are conducted timely and effectively in accordance with applicable law, regulation and policy.		
Data integrity is maintained through the use of all appropriate acquisition reporting systems.		
Contract administration is executed timely and effectively.		
Integrity, sound judgment and the highest ethical standards are demonstrated in all actions.		
<b>ITEM 3. Evaluation Criteria</b> <i>(Benchmark performance standards must be used; add supplemental standards, if needed.)</i>		
NIST/OAM Benchmark Performance Standards		
Acquisitions are awarded within established procurement action lead times 85% of the time.		
Contract file documentation is generally complete, well-organized, and reflects the acquisition was conducted in accordance with applicable policies, procedures and regulations and supports proposed actions.		
Contract administration is generally timely and ensures compliance with contract terms and conditions and is consistent with applicable law, regulation and policy.		
Procurement data is timely and accurately entered into the appropriate automation system and identified errors are corrected timely.		
Sound judgment is generally exercised in Contracting Officer decision on contractual actions.		

## APPENDIX K SAMPLE INDIVIDUAL DEVELOPMENT PLAN

### Individual Development Plan

<b>NAME</b> J. Sample		<b>CURRENT POSITION, SERIES, GRADE AND ORGANIZATION</b> Contract Specialist GS-1102-09, Department of Commerce			<b>FOR FY xx</b>	
<b>SHORT-RANGE GOALS (1 year)</b>		To develop knowledge, skills, and abilities for career advancement				
<b>LONG-RANGE GOALS (3-5 years)</b>		To become supervisory contracting officer				
<b>DEVELOPMENTAL ACTIVITIES/FORMAL TRAINING</b>						
ACTIVITY/COURSE TITLE		PURPOSE		DURATION	PROJECTED COMPLETION DATE AND ESTIMATED COST	
(1) Obtain appropriate training, education, and experience for developing strong procurement skills and leadership qualities. Take Intermediate Contracting (CON 202) course. Take class in Interpersonal Communication.  (2) Participate in government-wide procurement conferences, workshops, seminars, and outside professional organizations.  (3) Obtain a procurement role model or mentor.  (4) Request developmental assignment with senior level CO.  (5) Learn to use spreadsheet applications.  (6) Join a professional organization.		To increase knowledge and broaden contracting skills and to take core training course		160 hours 8 hours	11/98 1/99	\$1,000.00 \$ 250.00
		To broaden perspective and keep current by interacting with Government-wide personnel on acquisition topics.		24 hours	5/99	
		To obtain advice and guidance on career matters.		Ongoing		
		To assist in high-level acquisition for experience.		90 days	3/99	
		To support contract projects and presentations.		24 hours	10/98	
		To stay abreast of current acquisition issues.		Ongoing	10/98	
<b>EMPLOYEE'S SIGNATURE</b>	<b>DATE</b>	<b>SUPERVISOR'S SIGNATURE</b>	<b>DATE</b>	<b>SECOND LEVEL SUPERVISOR'S SIGNATURE</b>	<b>DATE</b>	