

US Department of Energy
Office of Acquisition & Project
Management

ACQUISITION
CERTIFICATIONS
PROGRAM
HANDBOOK

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**Department of Energy
Office of Acquisition and Project Management
Certifications Program Handbook**

Foreword

The Department of Energy (DOE) Office of Acquisition and Project Management (APM) Acquisition Certifications Program (ACP) Handbook implements the various Federal Acquisition Certifications as well as certification programs developed for the DOE workforce involved in federal financial assistance, property management, real estate leasing and technology investment agreements (TIAs). These certification programs provide a means of ensuring the DOE workforce has the necessary skills and knowledge to administer these programs and to insure that DOE's vast network of contractors, grantees and cooperators fulfill their roles and responsibilities to the Department.

This Certifications Program Handbook provides a road map for acquisition employees to acquire the training, education and experience critical to career advancement as well as information regarding applying for certification, maintaining and renewing certification, and requirements for certification.

While the Certification Programs by themselves do not guarantee success, either in one's career or in the programs one manages, it does provide employees with guidance and direction.

This handbook is organized in three sections. Section 1 provides the overview and general guidance for certifications issued through APM's Professional Development Division and provides guidance for attaining, issuing and maintaining certifications. Section 2 provides information about the requirements for the each certification. Section 3 is an appendix and includes relevant forms, templates and guidance.

APM Acquisition Certifications Program

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Section 1. Overview and General Guidance

I. Certifications Overview

Certification Programs

The certification programs described in this Handbook are those certifications issued and managed by the Office of Acquisition and Project Management's Professional Development Division and include the Acquisition Career Management Program, ACMP, called for in DOE Order 361.1; and Project Management Career Development Program, PMCDP, set forth in DOE Order 413.3. These programs are designed to provide employees with the training and tools to develop knowledge and skills required to perform their mission critical roles at the Department of Energy.

The requirements for certification are cumulative. An individual must meet the requirements for previous levels of certification before beginning training for the next level. For example, in order to begin working on Level II, an individual must have earned Level I certification.

Completion of core courses in a logical sequence is recommended so that the appropriate level of knowledge is available for performance at a particular level and that knowledge gained from earlier courses can be applied to advance learning and competence. In addition, prerequisite courses must be completed prior to taking courses that require them.

DOE issues certifications against Federal standards as well as against DOE-specified standards. The certifications that adhere to Federal standards include Federal Acquisition Certifications (FAC) in Contracting, Contracting Officer Representatives and Program and Project Management. Federal law states that contracting officers and contracting officer representatives must hold certifications that are current to perform those duties.

In addition to Federal certifications, DOE requires certifications for employees in property management, financial assistance, project management, real estate, and program management.

Certification Requirements

Certification is obtained by meeting the training, experience, and, in the case of FAC-C, education requirements established for each acquisition workforce segment. In some cases, the training requirements can be met through fulfillment based on experience or education; or equivalency, if the individual has taken courses from alternate providers.

All certification programs have more than one level and each has specific training and experience standards.

GS-1102s must be FAC-C certified to the level required for their grade. Similarly, certifications in Purchasing (1105), Financial Assistance Specialist (1109), Property (1103) and Realty (1170) are tied to the career field and grade.

The experience requirements can only be met through performance of relevant duties for the period of time required for that specific certification level. For example, to meet the experience requirements for contracting, relevant experience would be in contracting or financial assistance duties.

For other acquisition workforce members; e.g., Contracting Officer Representatives (CORs), the decision to require certification and the level required is based on the complexity and risk in the award instrument (contract, grant or cooperative agreement) and as determined by the contracting officer. For Technical Project Officers (TPOs), the decision to require certification is based on the total value of the grant where total value includes shared value. All certifications that are managed under the Acquisition Certifications Program have continuous learning requirements that must be met every two years to maintain certification currency.

New entrants to the Federal government have not necessarily had access to Defense Acquisition University (DAU), Federal Acquisition Institute (FAI) or other training available to Federal employees only. The Acquisition Career Manager will evaluate any previous training to determine equivalency, when applicable. This includes training and experience from private sector sources and/or other Federal agencies.

Certification Hierarchy

In some cases, an individual may be required to hold more than one certification. For example, a Contracting Officer may also be required to hold a Financial Assistance Specialist certification. A Federal Project Director may be required to hold both an FPD certification (and subsequently FAC-P/PM) and a FAC-Contracting Officer Representative. In these cases, one of the certifications is primary and should be identified as such. Note that continuous learning points accumulated to maintain certifications can be used toward maintenance of all relevant certifications.

If you have multiple certifications, any CLPs earned will be applied to both certifications, as long as the course/training event/continuous learning activity was completed within the current Continuous Learning Period. To illustrate, an employee holds both FAC-C and FAC-COR certifications. The CL period for FAC-C is 6/11/2011-6/12/2013 and for FAC-COR is 1/17/2012-1/18/2014. CLPs earned on 3/27/2012 will apply to both FAC-C and FAC-COR CL periods. However, CLPs for courses taken between 6/11/2011 and 1/16/2012 can only be applied to the FAC-C CL period, as the period for FAC-COR had not yet begun.

When an individual is dual hatted, performing two functional roles at the same time, it is the individual's responsibility to distinguish between and separate the duties and responsibilities required for each role.

For COR and TPO appointments, an individual may obtain a FAC-COR certification as the requisite level and use it to waive the training requirements for initial TPO certification. In this instance, the training classes required for initial TPO certification should be used to maintain TPO certification in the two years following issuance. It is rare that an individual would be designated as COR and TPO simultaneously. Both of these certifications now require that a delegation of authority is provided to obtain or maintain certification.

Training requirements for some certifications overlap. For example, Personal Property Management and Financial Assistance Specialist certifications require some of contracting training classes. Federal Project Directors (FPD) and Contracting Specialists require complementary training (such as project management for GA-1102s and acquisition and contract management training for FPDs).

Whenever possible, such training should be obtained within the available training offerings at DOE.

Career Field Curriculum

The ACM, with input from functional advisors and the concurrence of the Senior Procurement Executive (SPE), may authorize mandatory training and experience requirements for certification in addition to those established by OFPP. This Handbook will reflect those requirements.

The certification requirements are additive, and designed to build on each other, with each succeeding level more complex than the previous. Therefore, all workforce members must first meet the career field certification requirements of their position before being certified to the next higher level of certification in their career field. To be certified to a level in a career field, a workforce member must meet all the mandatory education, training and experience requirements established for that level, apply for certification, and be awarded a certificate for the requisite level.

Changes to Certification Requirements

From time to time, FAI or OFPP may make changes to the certification requirements. Additionally, DOE's program may change due to the nature of the acquisition environment. Members of the acquisition workforce may also see a need for changes; however, certification requirements may only be changed with the approval of the SPE or designee. Requests for changes to certification requirements must be addressed to the ACM, through the functional advisors for the appropriate career field. The request must be in writing and explain the reasons for the desired changes. The ACM will forward the request to the SPE for approval with a recommendation for disposition.

Once acquisition workforce members are issued a Federal Acquisition Certification (FAC), they hold the certification at the respective level, and it is transferrable to other agencies as long as the requirements to maintain certification are met. This is irrespective of changes in certification requirements after the certification is issued. Acquisition workforce members are required to maintain certification in their career field by meeting the biennial Continuous Learning/Continuous Education (CL/CE) requirements.

If an acquisition employee allows a certification to lapse by failure to meet the continuous learning requirements, they will be required to meet any new certification requirements in effect when applying for re-certification. See program specific chapters for other consequences (i.e., revocation of certification, revocation of authority, etc.).

If an acquisition employee begins taking training courses leading to certification in a career field and the curriculum is changed, the member is bound by the curriculum in effect at the time the

training for that particular level began. For example, if an employee begins taking mandatory training courses for Level II certification in contracting in June 2010, and the curriculum is changed by addition of new courses in October 2012 (before the acquisition employee has obtained their Level II certification), the employee is bound by the curriculum in effect in June 2010, when the training for Level II began. However, they are required to complete any new certification requirements of their career field as part of their continuous learning. Prospectively, they will be bound by the curriculum in effect when they began training for Level III, for instance, the October 2012 curriculum for Level III, not by the curriculum in effect in June 2010, when they began training for Level II. This applies only if the employee has documented intent to be certified at the next level.

Training Requirements

Training requirements can be met by one of the following methods:

- a. Completion of the required course from FAI or the specified training provider, if any
- b. Completion of a course certified as equivalent by DAU or FAI, as posted on FAI's website www.fai.gov
- c. Classes required for DOE Acquisition Certifications (such as financial assistance, technical project officers, personal property, and technology investment agreements) are not available from FAI
- d. Fulfillment

Fulfillment

Members of the DOE acquisition workforce may fulfill mandatory training course requirements based on previous experience or education. The DOE mandatory course fulfillment process allows experienced acquisition workforce members to receive official credit for mandatory course requirements based on documentation that they have achieved the competencies taught in the mandatory course through other means.

The mandatory course fulfillment program is intended to ensure that members of the acquisition workforce do not have to attend training unnecessarily. This, in turn, allows inexperienced personnel greater access to mandatory training course quotas. However, the program is not intended to be used as a substitute for career or professional development training, nor is it intended to restrict attendance at any course for members who do, in fact, require the training being offered.

To request fulfillment, acquisition workforce members must submit to the ACM, through their SACM, a completed Fulfillment Request form and the applicable Self-Assessment form for each course for which fulfillment is being requested. Contact DOE's ACM (email ACMP@hq.doe.gov) for a Fulfillment Request form. For each competency the applicant must provide the dates of training, course descriptions, provider names, grade obtained (if applicable), and competencies achieved. Applicants using job experience must list the agency, dates, location, title of position and the duties performed that provided the relevant competencies. Applicants obtaining competencies through academic courses provided at an accredited institution must provide the dates of each class, course descriptions, provider names, grades (if

applicable) and competencies achieved. DOE will follow the determinations made by FAI as to which certifications by organizations outside the federal government are eligible for full or partial consideration under the Defense Acquisition Workforce Improvement Act (DAWIA) Program. These determinations are maintained by FAI as part of FAI's fulfillment program on the FAI website www.fai.gov.

Completed Fulfillment Requests and Self-Assessments must be reviewed by the member's supervisor prior to submission to the SACM to determine whether the member adequately meets the competencies identified for a specific level. To receive fulfillment, the person must demonstrate that he or she meets the competencies sufficiently to forego attendance at the course.

After reviewing the member's self-assessment, the supervisor provides concurrence/nonconcurrence decision on the form. If the supervisor concurs, the entire package is forwarded through the SACM to the ACM for approval. Approved fulfillments will be returned to the member for their records. Disapproved requests will be returned to the member with the rationale for disapproval.

An approved copy of the fulfillment form must be forwarded by the member to the organization responsible for maintaining employee training records (human resources, training, etc.) for inclusion in the member's official personnel file. The member is responsible for loading the relevant information into the FAITAS Federal Acquisition Institute Training Application System (FAITAS) and/or DOE's Corporate Human Resource Information System (CHRIS).

Education

There are statutory education and regulatory training requirements for acquisition workforce personnel in certain acquisition career fields.

Some of the mandatory courses provided by FAI or FAI training providers have been reviewed by American Council on Education (ACE) and recommended for college credit.

Workforce members currently enrolled in a degree program should check with the dean of their college or school to determine if they can get college credit for attendance at an FAI course. Colleges and universities will typically review the course syllabus and materials and the ACE recommendation before deciding whether or not to grant college credit. The FAI website (www.fai.gov) contains a listing of available FAI courses, as well as methods for determining credit hour recommendations for non-FAI courses.

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II. Application Process

A member of the acquisition workforce applies for certification by completing the application and obtaining his/her immediate supervisor's signature as verification that the information provided on the application is accurate and has appropriate supporting documentation. A Certification Check List is provided for each certification to assist the member in assembling their certification request package, and a Supervisory Review Guide for certification packages is to assist the supervisor in reviewing the package. The member is responsible for producing certificates and records that provide evidence that the requirements for the program have been met. The applicant is responsible for maintaining course completion certificates and other records; the SACM verifies that the records are adequate to support the certification application. If completion certificates or other records are not available, the supervisor's signature provides assurances that that activity was taken/attended/completed. The supervisor should take this opportunity to assess the skills and competencies of the member and update the individual development plan as needed.

Only the application for certification is to be submitted to the ACM through the SACM, after the supervisor has reviewed and approved the application; copies of course completion certificates and other records need not be submitted to the ACM, but may be requested by the ACM during the final approval review. Requests for certification of DOE acquisition workforce members are accepted throughout the year and should be submitted to the ACM, through the SACM, after requirements are completed.

The ACM will review the application, and, if approved, issue a certificate or renewal notification. Managers or supervisors are encouraged to present the certificate in a manner appropriate to the accomplishment. Acquisition workforce members are encouraged to display the certificate in their workspace. Additionally, the member is responsible for documenting the certification level in FAITAS; the information should be reviewed by the supervisor and SACM periodically to ensure that it is current and up to date.

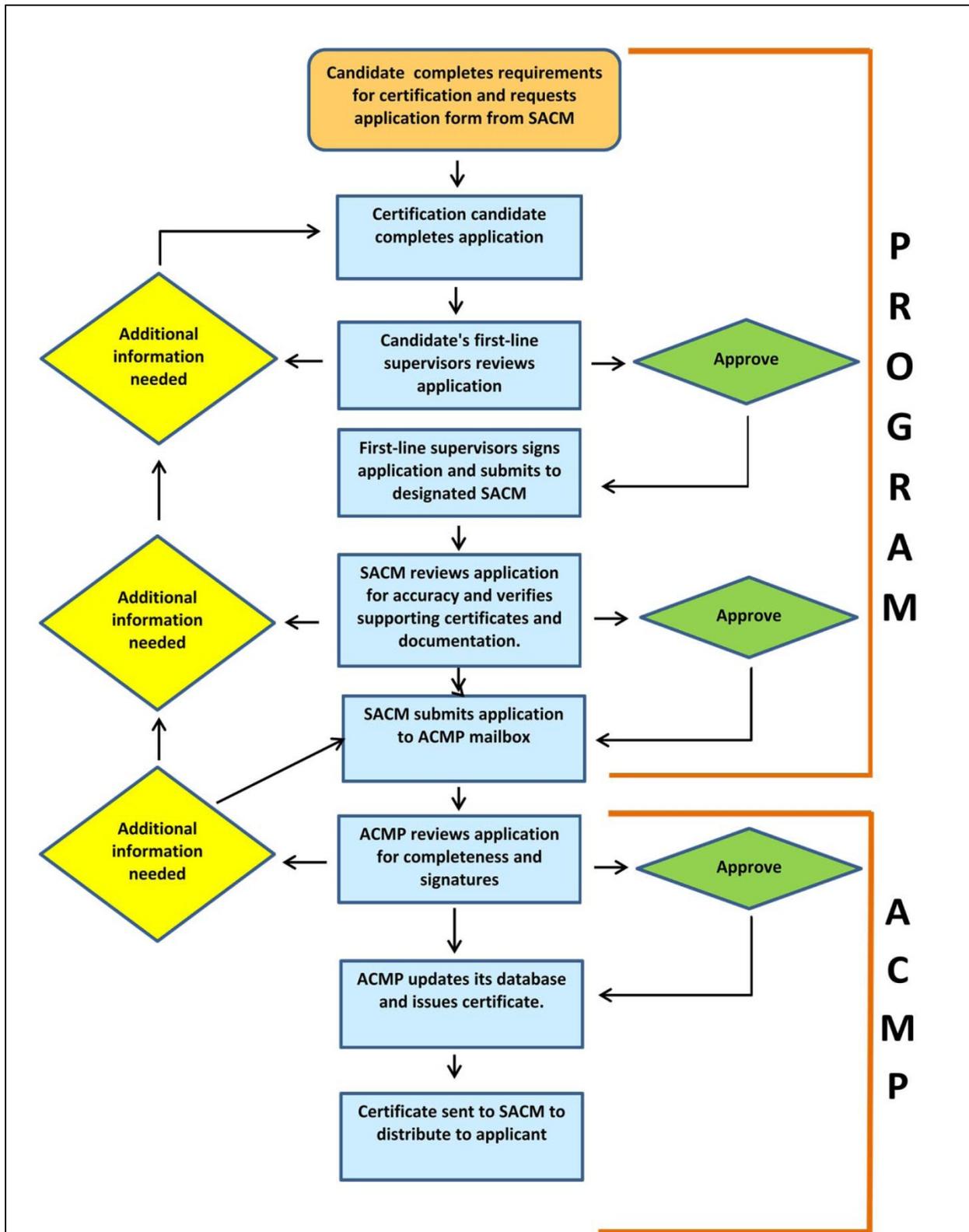
If the application is disapproved, the ACM will return the application to the SACM citing the reasons for disapproval.

Supervisory Review

Supervisors are responsible for ensuring that workforce members are provided the opportunity to meet the mandatory certification requirements of their acquisition position and career field.

Supervisors are encouraged to perform annual reviews of each acquisition workforce member to ensure education, training and experience requirements are met to maintain certification. Reviews for each out-year will be based on the prior year. The review should include current activities, duties and courses taken since the last review. Members of the acquisition workforce are strongly encouraged to develop individual development plans (IDPs) to ensure that required training is taken. Plans should include, but are not limited to, 1) courses needed for the appropriate certification level, 2) courses needed for continuing education, and 3) rotational assignments, short-term details or other developmental opportunities. Supervisors should monitor individual progress and include results in each annual review.

Supervisors will ensure that workforce members are afforded the opportunity to complete requisite certification requirements. Supervisors should include certification maintenance requirements in performance plans and regular reviews to ensure that targeted training and developmental activities are identified and set as goals for the workforce member to meet the certification requirements of the position.



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III. Contracting Officer Warrant Requirements

The Contracting Officer (CO) workforce comprises many career fields that support acquisition activities. These career fields include contracting, purchasing, property management, financial assistance, project management, real estate, and program management. Each of these fields has certification requirements, and members of the career field are required to be certified to a level commensurate with their responsibilities. Before appointment as a CO, acquisition workforce members must be certified under their appropriate career fields.

Contracting and purchasing personnel must clearly understand that issuance of contracting officer warrants will be contingent upon the successful completion of the minimum training indicated below. Any exceptions must be submitted in writing by the Head of Contracting Activity (HCA) or Procurement Director (PD) through the SACM to the ACM for approval by the Senior Procurement Executive (SPE).

Contracting Officer Warrant Requirements

In order to qualify to serve in an acquisition position as a CO with authority to award or administer contracts for amounts above the micropurchase threshold, an acquisition workforce member must meet specific requirements, including certification. In order to be granted a new CO warrant on or after January 1, 2007, acquisition workforce members seeking a CO warrant must be certified and/or meet those requirements to hold a warrant, irrespective of GS series or grade.

DOE warranting requirements are consistent with the Federal Acquisition Regulations (FAR) which also requires a consideration of the complexity and dollar value of the acquisitions to be assigned and the candidate's experience, training, education, business acumen, judgment, character, and reputation. A delegation of authority is a personal delegation. The SPE and HCA must make a personal judgment whether an individual possesses the qualities and skills necessary to fulfill the duties. A warrant is not a right, but a privilege.

Prior to assignment to or selection for a GS-1102 position or issuance of a warrant, management must notify the member of any requirement deficiency and obtain a GS-1102 and/or CO warrant waiver prior to assignment or warranting. If the waiver is approved, management must ensure that a career development plan is implemented so that the member is provided the opportunity to meet the requirements within a reasonable period of time. The requirements for COs are shown below.

Contracting Officer Warrant Requirements			
Function	Experience	Minimum Training	Continuous Learning
GS-1102s with a warrant for Procurement contracts, inter-Agency agreements	At least 5 years of progressively complex and responsible experience in negotiation/sealed bidding and performing business administration of procurement. Extensive experience in the GS-1102 or GS-1105 job series, or directly comparable military experience as a contracting officer is highly desirable	Certified to FAC-C Level II	80 hours every two years as discussed in Chapter 3; Training in Source Selection Procedures; training in Incentive Contracting
GS-1102s and 1109s with a warrant for Grants and cooperative agreements	At least 5 years of progressively complex and responsible experience in negotiating and performing business administration of grants, cooperative agreements and/or contracts	Certified to Level II under the Financial Assistance Certification Program	80 hours every two years
Limited Contracting Officer (Grants) for GS-1109s and 1102s for post award warrants including funding actions and continuation awards but not renewals	At least 3 years of progressively complex and responsible experience in negotiating and performing business administration of grants, cooperative agreements and/or contracts	Certified to Level II under the Financial Assistance Career Development Program	80 hours every two years as discussed in Chapters 3.4
GS-1102s with a warrant for TIAs	At least 7 years of progressively complex and responsible experience in negotiating and performing business administration of grants, cooperative agreements and contracts. Extensive experience in the GS-1102 or GS-1109 job series, or directly comparable military experience as a contracting officer is highly desirable	Certified to Level IV under the Financial Assistance Program AND approval of the Senior Procurement Executive	80 hours every two years
GS-1102s with a warrant for Loans and loan agreements	At least 1 year of progressively complex and responsible experience in negotiating and performing business administration of price supports, guaranteed market agreements, loans, and loan guarantees. Banking experience is highly desirable.	Certified to FAC-C Level II AND certified to Level I under the Financial Assistance Program.	80 hours every two years
GS-1105s with a warrant for purchases up to \$25,000	At least 6 months of Government purchase card experience	Certified to Level I under the Purchasing Program	80 hours every two years
GS-1105s with a warrant for purchases \$25,000 up to the simplified acquisition threshold	At least 1 year of Government purchase card experience.	Certified to Level II under the Purchasing Program	80 hours every two years
GS-1105s with a warrant for purchases over the simplified acquisition threshold	At least 5 years of progressively complex contracting experience.	Certified to Level III under the Purchasing Program	80 hours every two years

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Contracting Officer Warrant Requirements			
Function	Experience	Minimum Training	Continuous Learning
Non-GS-1102 or non-GS-1105 personnel with authority to make individual transactions up to the micro purchase threshold using the Government Purchase Card	As approved by the Agency Program Coordinator	At least 8 hours covering credit card purchases, such as – (1) self-instruction using training materials from the Government purchase card program, (2) a 1-day training course on the Government purchase card program, or (3) other appropriate training as established by the field element manager	8 hours every 2 years after card issuance date, and every 2 years thereafter
Non-GS-1102 or non-1105 personnel using Government purchase card for purchases of up to \$25,000 (applies to open market purchases and Federal Supply Schedule purchases)	At least 6 months of Government purchase card experience	Simplified Acquisition Procedures (SAP) training course, such as – (1) CON 237, or (2) DAU certified SAP course, or (3) DOE Sponsored SAP course; and STRIPES training class conducted by the Office of Procurement and Assistance Management	8 hours every 2 years after card issuance date, and every 2 years thereafter
Non-GS-1102 or non-GS-1105 personnel with authority to make simplified acquisitions and place orders against Federal Supply Schedules for \$25,000 up to simplified acquisition threshold using the Government purchase card, purchase orders, or delivery orders	At least 1 year of Government purchase card experience	Certified Level I under the ACMP Purchasing Program	80 hours every 2 years
Non-GS-1102 or Non-GS-1105 personnel with a warrant for Work for Others/Interagency Agreements	At least 3 years of progressively complex and responsible experience in administering Work for Others/Funds In Interagency Agreements	CON 100: Shaping Smart Business Arrangements; CON 216 Legal Considerations in Contracting; 16 hours of Property Management	8 hours every 2 years

Contracting Officer Warrant Requirements			
Function	Experience	Minimum Training	Continuous Learning
Non-GS-1102 personnel with unrestricted warrants	At least 5 years of progressively complex and responsible experience in negotiation/sealed bidding and performing business administration of procurement. Extensive experience in the GS-1102 or G-1105 job series or directly comparable military experience as a contracting officer is highly desirable	Certified to Level III under the Contracting Program	80 hours every 2 years in acquisition-related fields.
Non-GS-1102 personnel holding an Administrative Contracting Officers warrant with authority not to exceed \$50,000 for change orders on specifically designated contracts	Same as experience in relevant functional areas except all years are reduced by 50 percent	Certified Level I under the Contracting Program, CON 216 and Earned Value Management	80 hours every 2 years, consisting of CON 214, 215, 217 and 218
Resident engineer with authority to issue change orders not to exceed \$50,000 for specifically designated contracts (construction only)	Same as experience in relevant functional areas except all years are reduced by 50 percent	Certified Level I under the Contracting Program, CON 216, and Earned Value Management	80 hours every 2 years, consisting of CON 214, 215, 217 and 218
Non-GS-1102 personnel with Administrative Contracting Officer warrant with authority for property and sales (i.e., ERLE grants and disposition of Government property)	At least 5 years of progressively complex and responsible experience in performing business administration of procurement.	Certified to Level III under Personal Property Management Requirements	80 hours every 2 years
GS-1170s with a warrant for Acquisition	At least 5 years of progressively complex and responsible experience in negotiation/sealed bidding and performing business administration of procurement. Extensive experience in the GS-1170 job series.	Certified to Level II under the Real Estate Contracting Program	40 Hours every two years
GS-1170s who hold a warrant for GSA Leasing	At least 3 years of progressively complex and responsible experience in negotiating and performing business administration of GSA cooperative agreements	Certified to Level II under the Real Estate Contracting Program	40 Hours every two years
GS-1170s with a warrant for Non-GSA Leasing	At least 3 years of progressively complex and responsible experience in negotiating and performing business administration of grants and/or cooperative agreements	Certified to Level II under the Real Estate Contracting Program	40 Hours every two years
GS-1170s with a warrant for Disposal	At least 3 years of progressively complex and responsible experience in negotiating and performing business administration of grants and/or cooperative agreements	Certified to Level II under the Real Estate Contracting Program	40 Hours every two years

IV. Waivers

Acquisition Workforce Waivers

The various types of waivers available in the DOE ACP include certification waivers, GS-1102 waivers, and contracting officer waivers as described below.

Certification Waivers

Certification Waivers for Contracting, Purchasing and Financial Assistance

A certification waiver permits an acquisition workforce member who does not meet the certification requirements of the position within 18 months after assignment to remain in that position without being certified. It does not certify the member and it does not carry over from one position to another. It only allows a member to remain in a specific position without meeting the certification requirements. The waiver is only for the member's current position. The waiver is initiated by the immediate supervisor at a minimum, and only the ACM has the authority to approve a certification waiver. Further, a certification waiver does not negate the responsibility of management and the member to continue to pursue certification. A sample format for requesting a certification waiver is provided in Section III.

Personal Property Management Certification Waivers

A certification waiver permits a personal property workforce member who does not meet the certification requirements of the position within 18 months after assignment to remain in that position without being certified. It does not certify the member and it does not carry over from one position to another. It only allows a member to remain in a specific position without meeting the certification requirements. The waiver is only for the member's current position. The waiver is initiated by the immediate supervisor at a minimum, and only the DOE Property Executive or for NNSA employees, the NNSA Senior Procurement Executive, has the authority to approve a certification waiver. Further, a certification waiver does not negate the responsibility of management and the member to continue to pursue certification. A sample format for requesting a certification waiver is provided in Section III.

COR/TPO Waivers

Waiver of COR/TPO certification may be requested from the SPE through the ACM. A waiver will permit the COR/TPO to serve as a COR/TPO until they complete the required training. It does not release them of the requirement to obtain training leading to certification at the appropriate level.

GS-1102 Waiver

A GS-1102 waiver is an assignment waiver. GS-1102 waivers are the result of grandfathering provisions in statute. Beginning January 1, 2000, acquisition workforce members assigned to GS-1102 positions must meet specific education requirements prior to assignment. A

grandfather provision permits members in GS-1102 positions as of January 1, 2000 to be considered as meeting the education standard. If a GS-1102 is selected for a lateral position but lacks the education requirements, the selecting official must request and obtain a waiver prior to assignment. If approved, the GS-1102 waiver is valid only for the specific position and grade to which assigned. This is true even if the member was selected for a career ladder position, received a waiver at the entry level and is now ready for promotion to the next grade. If the member still lacks the education, another waiver is required before the promotion can be affected. A sample GS-1102 waiver request is available from the ACM. Only the Senior Procurement Executive has the authority to approve GS-1102 waivers.

Contracting Officer Warrant Waivers

A warrant waiver is only valid for the warrant against which it is granted and terminates when the warrant is terminated. Acquisition workforce members must meet specific requirements prior to being granted a warrant above the micropurchase threshold. If a member lacks any of the warrant requirements, the HCA must request and obtain a waiver before the member can hold the warrant. If the warrant is at the same level, the waiver may be carried over from one position to another so long as the member remains under the cognizance of the official who granted the waiver and the warrant level remains the same. Only the Senior Procurement Executive has the authority to grant warrant waivers. Sample warrant waiver requests for a Contracting Officer Warrant Waiver can be obtained from the ACM.

Waiver Processing

A GS-1102 or CO warrant waiver cannot be granted unless the requesting official certifies that the member has significant potential for advancement and provides the basis for that determination.

All waiver requests, irrespective of type, are to be submitted through the SACM and HCA to the ACM for processing. The ACM reviews the waiver request and makes recommendation to the Senior Procurement Executive (SPE). The SPE has the final authority to approve waivers.

V. Continuous Learning Points Guidance

Persons certified under Acquisition Certifications Program (ACP) are required to successfully attain and report continuous learning points (CLPs) biennially to maintain certification. CLPs must be earned within the two-year period following certification award or renewal; CLPs cannot be carried over.

CLPs are awarded for various activities and include developmental opportunities beyond classroom and online training. The Office of Acquisition and Project Management (APM) has final approval of CLP credits.

Supervisors have flexibility in determining how CLPs can be achieved and should work with employees to identify appropriate opportunities. We recommend that at least half of the required CLPs be earned per year and that these be included in Individual Development Plans (IDPs) and performance goals. Below is guidance on how training, professional activities, education, and experience can be used to meet the CLP requirements. All activities must be job-related and must earn points only in the year accomplished, awarded or published.

A. Training

1) *Completing awareness training.* Periodically agencies conduct briefing sessions to acquaint the workforce with new or changed policy. Generally, no testing or assessment of knowledge gained is required. Persons may not use the annual DOE mandatory training for continuous learning point credit.

2) *Completing learning modules and training courses.* These may be formal or informal offerings from a recognized training organization, including in-house training course/sessions, which include some form of testing/assessment for knowledge gained.

3) *Performing Self-Directed Study.* An individual can keep current or enhance his or her capabilities through a self-directed study program agreed to by the supervisor.

4) *Teaching.* Employees are encouraged to share their knowledge and insights with others through teaching or learning modules. Teaching is also a part of the Professional Activities category.

5) *Mentoring.* Helping others to learn and become more productive workers or managers benefits the agency and the individuals involved. Mentoring is also a part of the experience category.

B. Professional Activities

1) *Participating in Organization Management.* Membership alone in a professional organization will not be considered as fulfilling continuous learning requirements, but participation in the organization leadership will. This includes holding elected/appointed positions, committee leadership roles, or running an activity for an organization that you are permitted to join under

current ethics law and regulation. The employee and supervisor must first ensure that participating in the management of an organization is allowed by the agency.

2) *Attending/Speaking/Presenting at Professional Seminars/Symposia/Conferences.* Employees can receive points for attending professional seminars or conferences that are job related; however, the supervisor needs to determine that the individual learned something meaningful from the experience. Because significant effort is involved in preparing and delivering presentations, credit should be given for time invested in the preparation and presentation.

3) *Publishing.* Writing articles related to acquisition for publication generally meets the criteria for continuous learning. Points will be awarded only in the year published. Compliance with agency publication policy is required.

4) *Participating in Workshops.* Points should be awarded for workshops with planned learning outcomes.

C. Education

1) *Formal training.* Supervisor should use Continuing Education Units (CEUs) as a guide for assigning points for formal training programs that award CEUs. The CEUs can be converted to points at 10 CLP points per CEU. CLPS can be converted to CL/CE hours at One CLP = 1 CL/CE hour

2) *Formal academic programs.* For formal academic programs offered by educational institutions, each semester hour is equal to one CEU. A three-hour credit course would be worth three CEUs and 30 CLP points, assuming that it is applicable to the acquisition function.

D. Experience

1) *On-the-job experiential assignments-*These are shorter in duration and outside the work you are tasked to perform as part of your job.

2) *Intra/inter i organizational rotational career broadening and developmental experiences*
Supervisors and employees must use discretion in arriving at a reasonable point value to be awarded for rotational and developmental assignments, a sliding scale is recommended. Suggested points for such assignments are in the table below.

The assumption is that longer assignments are more beneficial than shorter assignments. The supervisor may feel that an individual may deserve more or less than the values shown. In determining the points for a rotational/developmental assignment, the supervisor should consider both the long-term benefit to the agency, and the immediate benefit to the supervisor's organization and the workforce member. For example, a second rotational assignment of the same sort would be less valuable than a different type of rotational assignment.

When experience or other non-assessed activities are to be used to earn CLPs, certain principles should be followed. Supervisors and employees should pre-define, as closely as possible, the tasks to be accomplished, expected outcomes, and the learning opportunities. If it is an

assignment, the individual should be mentored during the assignment. Accomplishment of a product, such as a briefing, a project design, a report, or other work product that shows the learning attained, is desirable. Sharing the knowledge and experience gained and the product with others in the organization is encouraged.

Continuous Learning Points Credit Assignments

	CLP Opportunity Description*	Unit	=	DOE CLP Units
TRAINING/EDUCATION	Attendance at academic courses at an accredited college or university	1 credit hour	=	10
	Audited academic courses at an accredited college or university	1 semester credit	=	5
	Instructing at an accredited college or university	1 semester credit	=	10
	Online training geared toward continuous learning and planned as part of individual's professional development. Online training must be supported by a record of completion	1 training hour	=	1
	Audit a course in your certification program and provide feedback. This must be approved by the Professional Development Division	1 course	=	5
PROFESSIONAL ACTIVITIES	Attendance at educational portions of technical meetings, conferences, workshops, and seminars; DOE training; and focused training and short courses provided by commercial vendors	1 hour	=	1 (maximum 7/day)
	Presentations at workshops, conferences, and seminars	1 formal presentation	=	5
	Publication of acquisition-related articles in your technical area	Article*	=	10
		Article**	=	25
	Professional examination, license, or certification	Up to 40 in the year attained		
Active Association Membership (in relevant subject area or project management association)	Active Membership	=	5/year	
	Association Activity Attended	=	1 CLP for each 60 minutes	

* Article or Technical Paper or Analysis under 5,000 words presented within or outside the DOE.

** Article or Technical Paper of scholarly value of 5,000 words or greater that is formally peer reviewed and published within or outside the DOE

Continuous Learning Points Credit Assignments (Continued)

	CLP Opportunity Description*	Unit	=	DOE CLP Units
EXPERIENCE	Serve as a Sponsor/Technical Content Advisor/Subject Matter Expert for one or more courses in your certification program (applies to all certified acquisition workforce members)	Serves for at least one year	=	15
	Certified Level III or IV FPDs or Level III COs serving as a mentor to a certification candidate: A formal written mentoring agreement is required for the mentoring development activity and is also required to be documented in both mentor and certification candidate Individual Development Plans (IDP). Additionally, mentors are encouraged to take departmental mentoring courses	6 months mentoring a certification candidate	=	30
	Credit for Peer Review Participation	Peer Review Preparation and Participation CLPs claimed cannot exceed <u>32</u> per peer review		
	Participation as <u>member</u> of a project peer review of a project (i.e., IPRs, EIRs, independent cost reviews, earned value management validation reviews etc.)	1 work day (team convened)	=	8
	Participation as project peer review team <u>member</u> in preparation for a review of a project (i.e., IPRs, EIRs, independent cost reviews, earned value management validation reviews)	Maximum per review	=	8
	Procurement Evaluation Re-engineering Team (PERT) Reviews	Maximum per year	=	20
	Serve as an incumbent FPD* (Maximum 10 CLPs for 2-year certification period)	1 year	=	5
	Participation on Directives Rewrite Team	Maximum per review	=	8
	Team Member	Maximum per review	=	16
	Team Lead			
	Serve on an integrated product team as a special project leader	Maximum per year	=	15
	Serve on an integrated product team as a special project member	Maximum per year	=	10
	On-the-job experiential assignments	Maximum per year	=	20
	Provide a Project Lessons Learned to the Lessons Learned Database		=	3
	Develop a Lessons Learned Study for a course in your certification program	Must be approved by APM	=	5
Develop a Case Study for a course in your certification program		=	8	

* Incumbent FPDs are those formally appointed to direct capital assets in accordance with DOE Order 413.3B, *Program and Project Management for the Acquisition of Capital Assets*.

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VI. Finding and Registering for Classes

Federal Acquisition Institute Training Application System (FAITAS)

OFPP Policy Letter 05-01 established the principle requirements for record keeping and reporting on acquisition workforce members. It requires that current information on the acquisition workforce, including training, waivers, and certification, be kept current and up to date.

To accomplish the required reporting on members of the acquisition workforce awarded Federal Acquisition Certificates for Contracting and Contracting Officer Representative, the Acquisition Certifications Program (ACP) relies on FAITAS, the official database of record maintained by the Federal Acquisition Institute. Members of the DOE acquisition workforce holding FAC-C or FAC-COR certificates must register in FAITAS and report and maintain up to date information on certification.

All other certifications under the ACP are held in DOE maintained databases and periodically validated against records held by SACMs.

The acquisition workforce member is responsible for retaining copies of documents and certificates related to their training, education, experience, and certification. Records, including fulfillments, waivers, and certification information, must be maintained in official training records as well as in corresponding information systems; and must be supported by appropriate documentation indicating that the request for fulfillment/waiver/exception was granted by an appropriate authority.

Individuals can register for training available through FAITAS. This training is funded by the Acquisition Workforce Training Fund (AWTF) or offered by an agency and has no tuition cost to the individual or to DOE; however, travel and per diem expenses are the responsibility of the employee's organization. Since there is not electronic data sharing, this training must be added manually in CHRIS so that it is visible in DOE employee records.

Corporate Human Resources Information System (CHRIS)

CHRIS is DOE's main database for registering for training and training history records. DOE employees must register for training in CHRIS and attain supervisor approval prior to attending a class. Most DOE classes require attendees complete an end-of-class evaluation before they can receive a training certificate. Training certificates are not held in CHRIS; it is the employee's responsibility to keep copies of training certificates.

Another supplement to CHRIS is the Employee Self Service (ESS). All Federal Project Directors (FPDs) maintain continuous learning records in ESS under the PMCDP module.

Currently under development is an enhancement to ESS that will provide continuous learning point tracking for all acquisition workforce members identified in DOE Order 361.1B.

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Section 2. Certifications

I. Federal Acquisition Certifications (FAC)

Background

The Office of Federal Procurement Policy (OFPP) Act charges OFPP with establishing acquisition certifications for Executive Branch agencies comparable to the Defense Acquisition Workforce Improvement Act (DAWIA) program (see [41 USC 433](#)). To implement this statutory requirement, OFPP issued its Policy Letter [05-01](#) and memoranda establishing the three government-wide certifications:

- A. The Federal Acquisition Certification in Contracting (FAC-C); by memorandum dated [January 20, 2006](#), and revised December 2008. Federal Acquisition Regulation [Subpart 1.603-1](#) makes FAC-C integral to the selection and appointment of contracting officers. See Section II below.
- B. The Federal Acquisition Certification for Program and Project Managers (FAC-P/PM); by memorandum dated [April 25, 2007](#) (see Section VII below).
- C. The Federal Acquisition Certification for Contracting Officer's Representatives (FAC-COR); by memorandum dated [November 26, 2007](#); revised by memorandum dated [September 6, 2011](#) (see Section IV below). Federal Acquisition Regulation [Subpart 1.602-2\(d\)\(2\)](#) prohibits the appointment of CORs who are not certified or who fail to maintain their certification for the life of the contract.

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II. Federal Acquisition Certification in Contracting (FAC-C)

Background

The Federal Acquisition Certification in Contracting (FAC-C) establishes a uniform set of standards recognized by all Executive Branch (civilian) agencies as evidence that an individual meets core education, experience and training standards for the contracting career field at the junior, intermediate and senior levels. These requirements are sequential and cumulative; i.e., FAC-C Level I must be earned before pursuing FAC-C Level II, and so forth.

Agencies are permitted to tailor electives in the FAC-C program to their agency's mission/needs. At DOE, specific courses are substituted for some electives to address skill gaps and develop expertise tailored to DOE's contracting needs (see DOE Mandatory Electives below).

FAC-C certification is required at DOE for employees occupying GS-1102 positions and all employees required to hold a contracting officer's warrant (see Section I.3 for FAC-C requirements applicable to warrant holders). Other DOE employees may complete courses in the FAC-C curriculum as part of employee development but are not eligible for certification. The levels for FAC-C for GS-1102 employees are tied to grades as shown below:

<u>Grade</u>	<u>Level</u>
GS-05/07	I (entry level)
GS-09/11/12	II (journeyman level)
GS-13 & above	III (senior level)

OFPP prohibits delegating authority to grant FAC-C certification below the Acquisition Career Manager (ACM). In addition, the applicant is responsible for producing certificates, transcripts, and records that provide evidence that he or she satisfies the requirements for the program.

All members of the acquisition workforce who obtain FAC-C certification must register in and report current information to FAI's Training Application System ([FAITAS](#)).

The ACM, appointed by the Senior Procurement Executive, is authorized to grant certifications. Certificates not signed by the DOE ACM are not valid within DOE. Employees transferring into DOE who hold a certification issued by another federal agency must apply for FAC-C as part of the on-boarding process in order to insure the additional DOE-specific requirements have been met. DOE allows 18 months from the date of hire to complete any additional DOE requirements for the position.

Any requirements added to the program after FAC-C has been granted will be completed as continuous learning.

Education Standard

To qualify for FAC-C, the education requirements in the GS-1102 [Contracting Series Qualification Standard](#), published by the Office of Personnel Management (OPM), must be met. Guidance on the 1102 education standards can be found on OPM's [1102 Q&A page](#). OFPP advises working with the cognizant human resources department to ensure a consistent interpretation of the types of courses that count toward the qualification standard.

In addition, OFPP advises that education waivers are not transferable and do not satisfy the education requirement for a FAC-C outside of the issuing agency. An employee must meet the appropriate education requirements to be certified.

Experience Standard

OFPP advises that experience is generally based on OPM's GS-1102 [Contracting Series Qualification Standard](#). OFPP advises working with the cognizant human resources department to ensure a consistent interpretation of the types of experience that count toward the qualification standard.

Training Standard

The Federal Acquisition Institute (FAI) is responsible for establishing, keeping current, and publishing on its website the course curriculum necessary to satisfy the FAC-C training standard for each level. DOE has substituted mandatory courses for electives built into the FAC-C curricula as set forth below. Provided below are FAI's links to the standards:

[FAC-C Level I](#)
[FAC-C Level II](#)
[FAC-C Level III](#)

DOE Mandatory Electives

GS-1102s at DOE are required to meet the FAC-C Education, Experience and Training standards published by FAI (see links above) with the exception of electives which are replaced with the following courses to address the DOE contracting environment.

Standard	FAC-C Level I	Training Provider
	GS-1102-05/07	
Training (Mandatory Elective)	Performance-Based Contracting (16-hour minimum)	MCI: Performance-Based Service Contracting DOE Professional Skills Training Program: PRCE11, Planning for Performance-Based Management Contracting NPI: Developing Performance-Based Work Statements ESI: Performance-Based Service Contracting Acquisition.gov online: 7 Steps to Performance-Based Acquisition

Standard	FAC-C Level II	Training Provider
	GS-1102-09/11/12	
Training (Mandatory Electives)	Earned Value Management (14.5-hour minimum)	PMCDP: EVMS & and Project Reporting DAU: BCF 102 Earned Value Management (on-line)
	Financial Management (12-hour minimum)	Graduate School USA: Introduction to Financial Management DAU: BCF 103 Fundamentals of Business Financial Management (on-line) Energy OnLine: Financial Management Series; any classes totaling 12 hours, covering such areas as financial statements, cash analysis and management, analyzing financial statements, and inventory costing and depreciation. College/university courses in financial management from a college transcript will be given full credit for the requirement

Standard	FAC-C Level II	Training Provider
	GS-1102-09/11/12	
Standard	FAC-C Level III	Training Provider
	GS-1102-13/14/15	
Training (Mandatory Electives, 2 of 3)	Managing Contract Changes OR	PMCDP DOE contract provider
	Project Management (21-hour minimum) OR	ESI: Managing Projects, or Project Management for Contracting Professionals PMCDP: Project Management Essentials MCI: Project Management Principles Graduate School: Project Management Project Management Series: Any classes totaling 21 hours covering such topics as <ul style="list-style-type: none"> - Project Management Fundamentals Project Planning - Executing, Monitoring and Controlling, and Closing a Project - Planning Project Scope - Project Time Management - Estimating Activity Cost AND - Project Risk Management
	Property Management (16-hour minimum)	DAU: IND 105 Contract Property Fundamentals

- ESI - ESI International
- PMCDP - Project Management Career Development Program
- MCI - Management Concepts, Inc.
- NPI - Northwest Procurement Institute
- Graduate School USA – formerly the USDA Graduate School

Information about legacy courses and crosswalks for previous requirements for contracting certification can be found beginning on page 2 of OFPP's January 2006 FAC-C [memorandum](#). Crosswalks for older legacy coursework to later equivalents is available from [FAI](#) and [DAU](#).

FAC-C Maintenance/Renewal

To promote skills currency in contracting knowledge, skills, and techniques, OFPP established a 2-year limit on FAC-C. During that period, FAC-C holders are responsible for earning and reporting 80 Continuous Learning Points (CLPs) and applying for a 2-year renewal before their certification expires.

FAC-C holders should not repeat previous coursework for renewal purposes unless so much time has passed that the course is substantially changed (e.g., 5-10 years). Non-1102s holding a contracting officer's warrant are required to complete continuous learning specified in the warrant table in Section I of this Handbook in order to qualify for FAC-C renewal. For all others, at least half of the minimum required CLPs for renewal credit must be earned through Training/Education (reference Section 1.V Continuous Learning Points Guidance) in one of more of the Targeted Continuous Learning tracks listed below. The remaining CLPs may be earned by completing Professional/Experience activities as described in [OFPP's memorandum establishing the FAC-C program](#). The FAC-C Renewal Worksheet in Section 3 captures these activities and their limits as established by OFPP. Annual OLC courses required of all employees do not qualify for continuous learning credit. Questions regarding acceptability of courses should be discussed with the SACM before taking them.

For site-hosted events that qualify for continuous learning credit, the event organizer(s) shall coordinate with the SACM who, in consultation with the ACM, will develop and distribute certificates or other confirmation of attendance bearing the appropriate CLP credit.

Targeted Continuous Learning

The intent of the targeted continuous learning tracks is to address skill gaps across DOE while providing some flexibility. Members should discuss the requirements with their supervisor to identify the appropriate track(s) to pursue. Members are free to take courses from different tracks or to take all courses from one track. Once they have completed all courses in a given track, they are not expected to take the same track again, but rather to take higher level courses in that track or pursue one of the other tracks.

Continuous Learning Tracks

- **Acquisition Business/Decision-Making and Leadership**
- **Acquisition Data & Knowledge Management¹**
- **Budget and Financial Management**
- **Change Control/Change Management**

- **Construction and A-E Contracting**
- **Contract Auditing**
- **Cost/Price Analysis**
 - [CON 232](#) Overhead Management of Contracts
 - [CON 235](#) Advanced Contract Pricing
 - Activity-Based Costing
- **Earned Value Management**
- **Financial Assistance and Other Transactions Authority**
- **Information Systems Acquisition**
- **Legacy Acquisition Course Update²**
- **M&O Contracting³**
- **Project Management**

DOE Project Management Career Development Program (PMCDP) offers these classes:

- Project Management Essentials
- Project Management Systems and Practices
- Project Risk Management
- Advanced Risk Management

Check the PMCDP website for other available project management training.

<http://energy.gov/management/office-management/operational-management/certifications-and-professional-development-1>

Graduate School USA offers:

- How to Assess and Manage Project Risk

- **Property Management**
- **Strategic Sourcing**

Business-to-Business (B2B) Marketing
Transportation and Logistics Management
Completion of Supply Chain Management (SCM) certificate programs; e.g., [Lehigh University](#)

¹Examples: STRIPES training; eSRS/CPARS/FPDS seminars; FAR research courses; courses in leveraging data systems and research capability to improve contract management

²Replacing/updating acquisition courses taken pre-FAC-C with the current versions

³Under development

The Continuous Learning tracks should be construed as subject areas, rather than as specific courses provided by specific providers. Courses in the subject matter offered by FAI, DAU, commercial vendors utilized by FAI and DAU or universities may be used.

Reciprocity

Applications for FAC-C based on a DAWIA or FAC-C granted by another federal agency will be granted at the same level for the same 2-year period established by the issuer unless based on waivers, as long as the certification has been maintained through documented continuous learning. Continuous learning taken prior to entry on duty at DOE must be supported by appropriate documentation.

In addition to confirming that continuous learning requirements have been met, the SACM is responsible for determining if applications based on certifications issued by another agency include completion of the DOE mandatory electives. Any that are missing must be identified and completed as continuous learning within 18 months of date of hire.

Applying for FAC-C

The forms provided in Section 3 are to be used to request initial and renewal certification. Per OFPP, the applicant is responsible for including with the application certificates, transcripts, and records supporting the education, experience, training and continuous learning standards. An application must cover:

- (1) Certification currently held and issue date (if applicable);
- (2) Certification level requested;
- (3) How the standards for the requested level were met; and
- (4) Copies of course certificates or other documentation supporting completion of the standards.

Expired FAC-C

A non-warranted 1102 who allows their certification to expire may request renewal at some future date but must be able to demonstrate that they met the continuous learning requirement every 2 years since their FAC-C expired. However, failure to maintain/renew FAC-C timely may result in reassignment to a position not involving contract management.

OFPP [policy](#) and the [FAR](#) require current FAC-C as a condition for holding a warrant; this requirement is flowed down to HCA directives for granting contracting officer warrants. For these reasons, warrant holders who allow their FAC-C to expire risk revocation of the warrant in

order to protect the government's interest. A contracting officer whose warrant has been revoked may need to be reassigned to a position not requiring a contracting officer's warrant.

If the SPE chooses to revoke a contracting officer's warrant for failure to maintain certification, the SPE will direct the HCA to revoke the warrant. The HCA must notify the warrant holder in writing when the revocation is to be effective, providing enough time to ensure that no unauthorized obligations are made, and counsel the warrant holder on how the warrant holder can correct the situation. The warrant holder must acknowledge this notification in writing.

III. Certification in Purchasing

Background

OFPP Policy Letter [05-01](#) identifies GS-1105 employees as acquisition workforce members and advocates developing and training them using common standards. For this reason, the Certification in Purchasing program was established for GS-1105 employees of DOE. As with the FAC-C program, DOE's Certification in Purchasing is modeled after that established by DAU, except that specific courses are required for DOE certification in lieu of the electives allowed under the DAU curriculum. The purpose of the Certification in Purchasing is not only for GS-1105s to acquire necessary skills, but also to prepare them for the GS-1102 career field.

DOE employees outside of the 1105 series may take courses in the Purchasing curriculum as part of employee development, but are not eligible for certification.

Note that Purchasing certification does not confer eligibility for a contracting officer's warrant, for which FAC-C is required.

The levels for Purchasing certification are generally tied to grades as shown below:

<u>Grade</u>	<u>Level</u>
GS-5	I (entry level)
GS-6/7/8	II (journeyman level)
GS-9	III (senior level)

Standards

The standards to qualify for initial certification in Purchasing, shown below, consist of experience and training as well as recommended levels of education. These requirements are sequential and cumulative; i.e., Purchasing Level I must be earned before pursuing Level II, and so forth.

Standard	Purchasing Level I	Training Provider
	GS-1105- 05	
Education	(Desired) 16 semester hours of undergraduate work with emphasis in business	
Experience	1 year of experience in purchasing	
Training	CON 100 Shaping Smart Business Arrangements	FAI/DAU/or provider used by FAI/DAU
	CON 237 Simplified Acquisition Procedures (on-line)	FAI/DAU/or provider used by FAI/DAU
	Government Purchase Card Training (minimum 8 hours)	MCI: Government Purchase Card Trainer Houseman & Associates: Purchase Card Training
	CLC 010: Proper Use of Non-DOD Contracts	www.fai.gov

Standard	Purchasing Level II	Training Provider
	GS-1105-06/07/08	
Education	(Desired) 32 semester hours of undergraduate work with emphasis in business	
Experience	An additional 2 years experience in purchasing (3 years cumulative experience)	
Training	FCN 110 Mission Support Planning (online) or equivalent	FAI or provider used by FAI
	FCN 111 Mission Strategy Execution (online) or equivalent	FAI or provider used by FAI
	FCN 112 Mission Performance Assessment (online) or equivalent	FAI or provider used by FAI
	CON 120 Mission Focused Contracting or equivalent	FAI/DAU/or provider used by FAI/DAU

Standard	Purchasing Level III	Training Provider
	GS-1105-09 & Above	
Education	(Desired) 64 semester hours of undergraduate work with emphasis in business	
Experience	2 years of experience in purchasing (5 years cumulative experience)	
Training	Performance-Based Contracting - Minimum of 16 hours	MCI: Performance-Based Service Contracting DOE Professional Skills Training Program: PRCE11 Planning for Performance-Based Management Contracting NPI: Developing Performance-Based Work Statements ESI: Performance-Based Service Contracting ASI: 7 Steps to Performance-Based Acquisitions
	Financial Management – Minimum of 12 hours	Graduate School USA: Introduction to Financial Management DAU: BCF 103 Fundamentals of Business Financial Management (on-line) Energy OnLine: Financial Management Series; any classes totaling a total of 12 hours, covering such areas as financial statements, cash analysis and management, analyzing financial statements, and inventory costing and depreciation. Classes taken in financial management as part of business degree program will be given full credit for the requirement

Course descriptions can be found in Section III of this Handbook

Continuous Learning/Continuous Education

While FAC-C continuous learning follows targeted continuous learning tracks, those holding a Certification in Purchasing are encouraged to take courses and pursue experiential opportunities leading to FAC-C certification as part of their CL/CE requirement. In addition, the following CL/CE opportunities, available from [DAU](#), are offered:

[CLC 003](#) Sealed Bidding

[CLC 004](#) Market Research

[CLC 009](#) Service-Disabled Veteran-Owned Small Business Program

[CLC 020](#) Commercial Item Determination

[CLC 022](#) Profit Policy Revisions

[CLC 023](#) Commercial Item Determination: Executive Overview

[CLC 027](#) Buy American Act

[CLC 060](#) Time and Materials Contracts

[CLC 104](#) Analyzing Profit or Fee

[CLC 131](#) Commercial Item Pricing

Annual OLC courses required of all employees do not qualify for continuous learning credit.

Applying for Renewal/Maintaining Certification

Similar to FAC-C, the Certification in Purchasing is maintained by earning at least 80 CLPs in continuous learning/continuous education within the 2-year period following the date of last certification/renewal. Members are to request renewal using the forms provided in Section III before their certification expires.

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IV. Federal Acquisition Certification for Contracting Officer's Representatives (FAC-COR)

Background

The appointment, authority and responsibilities of a Contracting Officer's Representative (COR) are established in Federal Acquisition Regulation [1.602-2\(d\)](#) and [1.604](#) and implemented at the Department of Energy by Department of Energy Acquisition Regulation [901.603](#) and DOE Order [361.1B](#).

By memorandum dated [November 26, 2007](#), the Office of Federal Procurement Policy (OFPP) established the Federal Acquisition Certification program for Contracting Officer's Representatives (FAC-COR) to develop specific competencies in federal employees serving as COR. In their memorandum dated [September 26, 2011](#), OFPP created three tiers, or levels, of COR certification tied to increasing levels of risk/complexity of contracts. New training and experience standards were established for each level. These revisions took effect January 1, 2012, and are incorporated into the guidance that follows.

Information on the three COR Levels and training and experience standards applicable to each is maintained on the Federal Acquisition Institute [website](#).

COR certification is effective for 2 years.

Eligibility

DOE policy is to certify employees (1) who are currently serving under a COR appointment on an active contract; or (2) who are about to be appointed COR on the pending award of a contract or a delivery order or task order under an existing contract; and (3) to the level the CO requires. Employees who expect to be appointed COR at some point in the future are encouraged to take advantage of training opportunities so they are prepared when the need to apply arises.

Exclusions

COR certification does not apply to the following:

- Technical Monitors
- Task Monitors
- Government Inspectors for simplified acquisitions
- Interagency agreements¹
- Financial assistance instruments (see Technical Project Officer certification covered in Section V below)
- Invoice approving officials
- Requirements developers
- Others who assist contracting officers in managing their contracts

The above individuals are not candidates for FAC-COR but may include online/no-cost COR training/coursework in their Individual Development Plans.

OFPP stresses the importance of selecting the right individual to be a COR in terms of technical expertise and having the time and resources necessary to perform the COR function. Note that COR duties cannot be redelegated (see below). For these reasons, employees holding management/leadership positions may not be the best candidates to serve as COR as the demands of their position preclude fulfilling COR duties for individual contract actions on a day-to-day basis. In addition, a potential conflict of interest and violation of FAR [3.101-1](#) is created when the appointed COR is in the CO's management chain.

¹Employees performing a similar role on Interagency Agreements are encouraged to complete one or more of the following courses or equivalent:

[FAC 034](#) Interagency Acquisition Basics
[CLC 030](#) Essentials of Interagency Acquisitions/Fair Opportunity
[Appropriations Law for Business Operations in Government](#)

Appointment

COR appointment is based on the needs of the contract as determined by the contracting officer. A COR is formally appointed in writing to a specific contract by a contracting officer (CO) acting within the limits of his/her authority. The authority and duties delegated by the COR appointment letter will be tailored to the particular contract.

The COR must not exceed the limits of the CO's authority delegated to him/her. In terms of contract management, the CO is obligated to replace a COR taking unauthorized actions. The COR can be held personally liable and may be subject to disciplinary action.

OFPP highly encourages adding COR responsibilities as a critical element to the COR's performance plan, and that the COR's performance appraisal include the CO's assessment in this regard. It is also a best practice for the COR's supervisor to have a performance standard related to oversight of COR responsibilities.

FAR [1.602-2\(d\)\(2\)](#) prohibits the appointment of CORs who are not certified or who fail to maintain their certification for the life of the contract.

FAR [1.602-2\(d\)\(6\)\(iv\)](#) stipulates that COR duties are not redelegable. See the October 15, 2012, memorandum from the DOE and NNSA Senior Procurement Executives, subject: Contracting Officer's Representatives, for further guidance.

Certification Level

The certification level required for a particular contract is determined by the contracting officer, with input from the program/requiring office. The decision will be based on the complexity and risks involved in the acquisition. The matrix below covers six risk factors that

should be considered. Points should be assigned to each factor as follows: 0-1 = no or little risk associated with project; 2-3 = significant or high risk associated with project.

COR Certification/Appointment Criteria Matrix			
Risk Factor		0-1 Points: No or little risk associated with the project	2-3 Points: Significant or high risk associated with project
1	Complexity of Services and Supplies	Oversight confined to basic inspection and acceptance (e.g., COTS or standard supply/service)	Highly complex requirements; continuous oversight or technical direction required (e.g., developmental; new or emerging technologies; poor or no performance history)
2	Number and Location of Performance Sites	Non-complex shipping/delivery at a single domestic delivery site	Highly complex shipping/packaging/delivery (e.g., requiring export; staging of shipments; multiple customers with competing requirements; multiple deliverables or sites; foreign performance site(s)) (span of control)
3	Impact of Delay	If project is delayed, no serious impact to mission that cannot be easily alleviated	Serious impact on mission; high degree of impact on follow-on or interdependent projects; Time is critical due to urgency, weather, or long-lead time items in critical path (e.g., contingency contract)
4	Visibility	Little or no internal or external interest anticipated	High degree of internal or external interest anticipated (e.g., GAO oversight; congressional engagement; other special interests)
5	Contract Type/Structure	Firm fixed price contracts with basic provisions	Contracts other than firm fixed price (e.g., letter contract; cost type contract; contract financing provisions required; hybrid contract; incentives; time and materials contract)
6	Special Considerations	No rights in data or government property required; No Personally Identifiable Information (PII) or security concerns	High level of oversight required to assure government/contractor rights in data or government property; Significant security concerns relating to contract classification or PII data
Total Points		<i>(Calculate)</i>	<i>(Calculate)</i>

The scale below may be used as a guide in determining the appropriate COR Level after totaling the scores assigned to the six risk factors.

COR Level	Total Points
I	0-5
II	6-11
III	12-18

Qualifying for COR Appointment

In accordance with OFPP policy, to qualify for appointment, prospective and appointed CORs must

- (1) be technically qualified to perform contractor surveillance;
- (2) be registered in FAITAS (see Section I);
- (3) complete prescribed training and experience for the level required by the CO;
- (4) apply for and obtain COR certification;
- (5) maintain current COR certification for the life of the contract; and
- (6) act within the limits of delegated authority and fulfill all contract oversight responsibilities set forth in the COR appointment letter.

The contracting officer is obligated to suspend or revoke a COR appointment for failure to comply with (5) and (6) above per Federal Acquisition Regulation [Subpart 1.602-2\(d\)\(2\)](#) and [1.604](#) to protect the government's interest. The contracting officer should notify the SACM when this happens in order to suspend the COR's certification and prevent future appointments pending completion of remedial training.

Experience Standard

Effective January 1, 2012, OFPP added a requirement that first-time applicants for Level II and III certification possess prior COR experience; 1 year for Level II and 2 years for Level III. In addition, in order to be certified at Level III, OFPP strongly recommends that CORs have prior certification at Level II.

In the absence of a previous COR appointment, experience in specific contracting/acquisition-related activities may be substituted, such as performing market research; writing specifications, Statements of Work or Statements of Objectives; developing quality assurance surveillance plans; assisting the contracting officer or COR as a subject matter expert; and participating as a subject matter expert on a technical evaluation team. The full suite of COR competencies is published on the FAI [website](#).

OFPP requires initial applicants for Level II and III certification to “validate to the Acquisition Career Manager . . . that (s)he has gained the required experience . . .” The [COR Summary of Experience](#) form should be used to document qualifying experience. Attach a copy of the COR

appointment letter to serve as validation. If no prior COR appointment exists, the types of acceptable experience indicated above for the same period of time must be cited and confirmed in writing by a cognizant official such as the contracting officer (preferred), COR, team leader or supervisor (an e-mail is sufficient). The applicable contract number(s), description, and contractor should be included. Resumes are not acceptable. Experience gained outside DOE may be more difficult to validate and should be discussed with the [Site Acquisition Career Manager](#) before submitting an application.

Training Standard

For first-time applicants, their initial training must include a course in COR roles and responsibilities. OFPP strongly recommends the initial course be completed in a classroom setting.

FAI maintains a [website of recommended coursework](#) for each of the COR certification levels. FCR 100, Contracting Officer’s Representative Level I Course, consists of a 7-hour online course plus “1 hour from Agency Perspective” to cover the 8th and final hour necessary to qualify for Level I certification. This 1 hour is to be provided via face-to-face meeting with the Contracting Officer who is to go over the contract document itself, discuss expectations and orient the new COR to his/her roles and responsibilities, with particular emphasis on limits of authority, reporting and recordkeeping responsibilities and lessons learned. If the COR is not co-located with the Contracting Officer, the meeting may be conducted via web conference or telephone (least preferred). The Contracting Officer should follow up with an e-mail to the COR confirming that the hour-long meeting took place. This is to be submitted with the course certificate to satisfy the 8-hour requirement.

Initial application at all levels must be based on completion of FAI and/or DOE COR coursework within the 2 years prior to date of application. Level II and III CORs must complete the following courses as either initial or refresher training to prepare them for the DOE contracting environment.

Standard	FAC-COR Level II & III	Training Provider
	Initial or Renewal	
Training	Performance-Based Contracting (minimum 16 hrs)	MCI: Performance-Based Service Contracting DOE Professional Skills Training Program: PRCE11 Planning for Performance-Based Management Contracting NPI: Developing Performance-Based Work Statements ESI: Performance-Based Service Contracting ASI: 7 Steps to Performance-Based Acquisitions
	Earned Value Management (minimum 16 hrs)	FAI/DAU/or provider used by FAI/DAU
	Managing Contract Changes (28 CLPs)	PMCDP/ DOE contract provider

Continuous Learning

To maintain certification, CORs are required to earn the number of continuous learning points (CLPs) set forth below every 2 years, beginning with the date of their certification or last renewal. The purpose of continuous learning is to maintain skills currency and promote continuous improvement within the COR community.

Continuing Learning Requirements	
Level I	8 CLPs
Level II	40 CLPs
Level III	40 CLPs

At least half of the CLPs submitted for renewal must be from the above and/or [FAI-recommended coursework](#). Annual OLC courses required of all employees do not qualify for continuous learning credit.

Per OFPP, CORs should not retake their original COR training classes for continuous learning unless so much time has passed that the courses have been substantially revised (e.g., 5-10 years). Rather, courses relevant to the work they are performing as a COR should be selected. For example, CORs managing Information Technology (IT) contracts should seek out a course on IT acquisition. Level II and III CORs who have not completed the courses in the table above should take them for continuous learning credit. Courses in accounting, project management and contract law are particularly relevant for CORs as well. Questions regarding acceptability of courses should be discussed with the SACM before taking them.

The FAI [website](#) on COR Continuous Learning provides guidance on a variety of other activities that qualify for continuous learning credit along with any limits that apply.

Each COR should identify and discuss with his or her supervisor the types of continuous learning to pursue (see Section 3 for suggested focus areas). They should be incorporated into the COR's Individual Development Plan in a way that is appropriately paced, minimizes disruptions to ongoing work schedules, and promotes timely renewal.

CORs and candidate CORs should insure completion of continuous learning is recorded in their online/electronic training records; e.g., FAITAS and ESS. For CLP activities not recorded in these systems for which proof of attendance is not available, obtain written confirmation from a cognizant official (event organizer, supervisor, etc.) verifying the subject, date(s) and duration. This type of verification is required to support requests for CLP credit for such activities. Note that CLPs are calculated by subtracting breaks from total event duration.

Reciprocity

FAC-C, FAC-P/PM and PMCDP certification qualify for FAC-COR certification as follows:

Issuer	Certification	Level	Eligible for FAC-COR Level
OFA ¹	FAC-COR	I – III	Same Level
DOE/OFA ¹	FAC-C	I	II
DOE/OFA ¹	FAC-C	II	II
DOE/OFA ¹	FAC-C	III	III
OFA ¹	FAC-P/PM	I	II
OFA ¹	FAC-P/PM	II	II
OFA ¹	FAC-P/PM	III	III
DOE	FPD	I	II
DOE	FPD	II	II
DOE	FPD	III-IV	III

¹OFA = Other Federal Agency

FAC-COR certification under this reciprocity rule is not automatic; an application package is required that includes a copy of the certification on which the application is based. The effective period established by the issuer will be applied to reciprocal COR certifications.

Reciprocity is one-way only; i.e., FAC-COR does not qualify for FAC-C, FAC-P/PM or FPD certification.

Applying for COR Certification

Instructions and .pdf-fillable forms for applying for COR certification are included in Section III and posted on Powerpedia; see the article on [COR Certification Requirements](#), which presents the same information below in application package format. The applicant is responsible for producing certificates and records that provide evidence that he or she satisfies the requirements for the program. Applications must cover the:

1. Contract number to which the applicant is/will be appointed COR;
2. Level needed/requested;
3. Level currently held;
4. Training & Experience that meets the standards for #2;
5. Documentation supporting #3 and #4; and
6. Signatures of the applicant, applicant's supervisor and SACM.

New applicants should complete and submit an [Application for COR Certification](#) to their supervisor and attach copies of course certificates. First-time applicants for Level II and III certification must also include a [COR Summary of Experience](#) form (see Experience, above).

It is each COR's responsibility to be aware of their 2-year period of certification, insure that continuous learning is obtained in a timely fashion and to apply for renewal before their certification expires for as long as they are appointed COR to an active contract.

CORs applying to renew their certification should complete and submit to their supervisor an [Application for COR Certification](#), a [COR Recertification Worksheet](#) and documentation supporting the continuous learning points cited on the form as well as a copy of their last COR certificate, as outlined in the Powerpedia article cited above.

The supervisor should submit approved applications to the [Site Acquisition Career Manager](#) located at the procurement office responsible for awarding the contract action.

Electronic applications are preferred.

COR Certification Waiver

The SPE may extend, in writing, on a one-time, case-by-case basis, the date upon which a Level II or III COR must be certified/renewed by an additional 6 months, if it is in the best interest of the agency. Requests for waiver of COR certification requirements are expected to be rare and will be approved on a limited basis.

If circumstances necessitate a COR waiver, a COR Waiver Request Form is available upon request from the ACM. The request must explain why the applicant was unable to meet the certification requirements beforehand; discuss steps taken thus far to meet certification requirements; and include a plan for achieving certification, including confirmation of registration in required courses.

This form is to be submitted through the applicant's supervisor and Site Acquisition Career Manager to the ACM for processing. Approval of a waiver does not relieve the COR of the requirement to obtain training leading to the requisite certification level. The Site Acquisition Career Manager is responsible for following up to insure that progress is made and certification is obtained per the waiver commitment.

Conversion of FAC-COR Issued by DOE before January 1, 2012

The following changes were made as a result of FAC-COR revisions issued by OFPP that took effect on January 1, 2012:

Certifications Issued Prior to January 1, 2012	Converted To:
COR Level I	COR Level II
COR Level II	COR Level III
COR Level III (including CORs for M&O contracts)	COR Level III

- The certificates that have been issued remain in effect until the COR recertifies even though the COR's Level may have changed.

- All CORs certified by DOE will keep their original date of certification/recertification.
- All DOE COR candidates who did not obtain certification before January 1, 2012, must meet the new requirements.
- The new continuous learning requirements must be met in order to qualify for recertification after January 1, 2012.
- All DOE CORs whose certifications have lapsed will need to certify under the new requirements.
- STRIPES data reflecting each COR's level change was updated the first week in January 2012.

Strategic Integrated Procurement Enterprise System (STRIPES)

The Acquisition Career Manager will insure that the list of active CORs in STRIPES is updated periodically as new certifications are issued and others expire.

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V. Certifications in Financial Assistance

Background

DOE Code of Federal Regulations 600 establishes the policies and procedures for the award and Financial assistance award and administration at DOE is performed primarily by grants management specialists as well as contract specialists, as financial assistance has its own counterparts to contract planning, preparing solicitation documents, proposal analysis, cost analysis, negotiation, selection of award instrument, financing performance, audits, preparing award documents, debriefing, administration, monitoring, terminations, and closeout.

The Certification in Financial Assistance (CFA) is targeted at gaining these competencies in the context of supporting a recipient's program versus satisfying a DOE requirement. Certification is reserved for GS-1109 and 1102 employees. Employees not in the 1102 or 1109 career fields who perform financial assistance duties; e.g., GS-1101s, are not eligible for certification, however, relevant courses from the Level I and II curricula below should be added to their Individual Development Plans to ensure that they gain the necessary skills.

Contract specialists administering both financial assistance and contracts must hold both CFA and FAC-C at the level required under each program.

Levels

There are four levels of Financial Assistance certification. Levels I-III apply to employees who award and administer grants and cooperative agreements. Level IV is reserved for employees who award and administer Technology Investment Agreements (TIAs).

Levels I and II certification must be earned prior to pursuing Level III. Level IV certification may be granted to Level III holders who meet the TIA requirements set forth below.

Levels are tied to the award type(s) administered and grade as follows:

<u>Award Type</u>	<u>Grade</u>	<u>Level</u>
Grants/Cooperative Agreements	GS-5/7	I
	GS-9/11/12	II
	GS-12/13/14/15	III
Technology Investment Agreements	GS-13/14/15	IV

Core Curriculum

The core curriculum and experience requirements for the Certification in Financial Assistance at Level I, II, and III are shown below:

Standard	CFA Level I	Source(s)
Grades 5-7		
Experience	1 year of experience in financial assistance/acquisition	
Training	Federal Financial Assistance	DOE
	OR	
	GRT 201 Grants Agreements Management	DAU
	OR	
	Introduction to Grants and Cooperative Agreements for Federal Personnel AND Uniform Administrative Requirements	MCI
OR		
Assistance Agreements: Development and Award AND Grant Administration	NPI	
OR		
Monitoring Grants and Cooperative Agreements for Federal Personnel	MCI	
OR		
Cooperative Agreements and Substantial Involvement	MCI	
OR		
Assistance Agreements: Practical Negotiation Techniques	NPI	
OR		
Ethics in the Grants Environment	MCI	

Standard	CFA Level II	Source(s)
Grades 9-12		
Experience	Level I and 2-4 years of experience in financial assistance/acquisition	
Training	Cost Principles OMB Circulars A-21, A-87, A-122 and FAR 31.2	DOE or MCI
	OR	
	Assistance Agreements: Cost Principles and Audit	NPI
	Federal Funds Management	DOE or MCI
	Understanding National Policy Requirements Affecting Grants	MCI

Standard	CFA Level III	Source
Grades 12-15		
Experience	Level II and 4 or more years of experience in financial assistance/acquisition	
Training	Federal Assistance Law AND Appropriations Law for Federal Grants	MCI
	OR	
	Assistance Agreements: Appropriations Law	NPI
	Audit of Federal Grants and Cooperative Agreements	MCI
	Advanced Cost Principles*	MCI

*Acquisition Cost Analysis classes can be substituted.

Certification in Financial Assistance for Technology Investment Agreements

Section 1007 of the Energy Policy Act of 2005 granted to DOE Other Transaction Authority (OTA). A Contracting Officer may award a Technology Investment Agreement (TIA) under OTA only if the CO warrant authorizes award and administration of TIAs, and the Contracting Officer holds CFA Level IV.

The Core Curriculum for the TIA certification is:

- CFA Level III
- DOE TIA Training
- Cost/Price Training*
- Negotiation Training*

*CON 217 is acceptable for completion of these requirements but is not mandatory. Other training with equivalent course material may satisfy the requirement(s).

Level IV/TIA Certification Requirements		
Standard	GS-12 to GS-15	Source
Experience	CFA Level III and 7 years of experience in contracting or financial assistance	
Training	CON 217 or equivalent	FAI/DAU or FAI/DAU provider
	DOE TIA Training	DOE Office of Acquisition and Project Management

Continuous Learning/Continuous Education

To maintain a Certification in Financial Assistance, 80 CLPs must be earned and reported every 2 years. If acquisition workforce members perform a mix of acquisition and financial assistance, continuous learning should include both functional areas, with a minimum of 24 hours of financial assistance coursework for those specialists that are GS-1109s or GS-1102s. This requirement should be viewed as complementary to FAC-C continuous learning requirements. For this reason, total training hours do not necessarily have to exceed 80 CLPs every 2 years to satisfy CL requirements of both certifications together.

Suggested CL/CE

- Ethics in the Grants Environment – MCI
- Appropriation Law for Financial Assistance – MCI
- Essential Skills for Grants Professionals – MCI

- Any of the MCI or NPI classes in grants management for recipients
- Completion of all classes leading up to a Level III FAC-C, especially:
 - Project Management
 - Financial Management
 - EVMS
 - Property Management
- Classes in cost analysis
- Classes in negotiation techniques

Applying for CFA

Members are to request certification and renewal prior to expiration based on completion of the continuous learning cited above. The forms provided in Section III should be used. Requests for certification are to be submitted to the supervisor and SACM for approval.

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VI. Certifications for Technical Project Officers

Background

The award and administration of financial assistance agreements (grants, cooperative agreements and TIAs) requires Federal technical presence and oversight. Cooperative agreements and TIAs in particular require knowledgeable Technical Project Officers (TPOs) to coordinate DOE’s substantial involvement in these awards and ensure that Federal involvement is appropriately provided.

Technical Project Officers (TPOs)

There are two levels of TPO certification based on the dollar value of the financial assistance they oversee.

TPO Level I: Grants and cooperative agreements under \$10 million

TPO Level II: Grants and cooperative agreements over \$10 million and Technology Investment Agreements

Certification of TPOs

Certification of TPOs will ensure more effective oversight of financial assistance. Accordingly, before assuming the responsibilities of a TPO, prospective candidates must be certified in accordance with the core curriculum requirements for TPO certification provided below. Note that Level II is cumulative from Level I; i.e., Level II applicants must have completed both the Level I and Level II courses in order to qualify.

TPO CERTIFICATION Level I		
Award Type & Value	Required Coursework	Suggested Providers
Grants and cooperative agreements under \$10 M	Federal Financial Assistance	DOE Training Contractor
	OR	
	Introduction to Grants and Cooperative Agreements for Federal Personnel AND Uniform Administrative Requirements	MCI
	Monitoring Grants and Cooperative Agreements for Federal Personnel	MCI

TPO CERTIFICATION Level II		
Award Type & Value	Required Coursework	Suggested Providers
Grants and cooperative agreements over \$10 M TIAs (all)	Cooperative Agreements and Substantial Involvement	MCI
	OR	NPI
	Assistance Agreements: Practical Negotiation Techniques Accountability for Federal Grants: Planning, Measuring and Reporting Grant Performance	MCI

Applying for TPO Certification

Requests for certification are to be prepared using the forms provided in Section III, submitted from the applicant to the applicant’s supervisor and the SACM for approval.

Continuous Learning/Continuing Education (CL/CE)

TPOs must earn and report 40 hours of continuous learning every 2 years. Failure to do so may result in revocation of the TPO certification and the ability to serve as a TPO.

TPOs should consider taking online or classroom courses in grants management available from many commercial training vendors in addition to project management classes. TPOs may also benefit from technically specific training in such areas as property management, intellectual property and the National Environmental Policy Act (NEPA).

Waiver

TPO certification may be granted based on current COR certification backed by a COR appointment letter as follows:

FAC-COR Level	Eligible for up to TPO Level
I	N/A
II	I
III	II

The first cycle of continuous learning for TPO certification based on FAC-COR must focus on completing the TPO Level I and II coursework. TPO certification under this reciprocity rule is not automatic; an application for waiver is required that includes a copy of the FAC-COR certificate and a COR appointment letter demonstrating practical experience as a COR. The effective period established by the issuer (if applicable) will be applied to reciprocal TPO certifications.

Waiver of TPO certification may be requested from the SPE through the Acquisition Career Manager. A waiver will permit the candidate to serve as a TPO until the required training is completed. A waiver does not relieve the TPO of the requirements to obtain training leading to certification at the appropriate level. Consult the section on Waivers for additional information.

VII. Personal Property Management Certification

Background

Many career disciplines support property management activities, including industrial property management specialists, property administrators, organization property management officers, contract specialists, motor vehicle managers, etc. The property management career field involves policies and procedures for the management of Government personal property and includes property management operations Department-wide.

Levels

The acquisition workforce is subject to one of multiple certification levels. For contracting and personal property management, Level I is a basic or entry level; Level II is journeyman level; and Level III is a senior level. For personal property management, the levels are generally tied to grades as shown below:

<u>Grade</u>	<u>Level</u>
GS-5/7	I
GS-9/11/12	II
GS-13/14/15	III

The core courses to provide the DOE personal property management workforce with the knowledge base necessary to support the Department's mission are outlined below.

Not all who support procurement activities or deal with personal property need to be certified. Only those classified as Industrial Property Management Specialists, Property Administrators, Organization Property Management Officers, Supply Management Specialists, or Supply Management Officers need these certifications to perform at the designated level. These individuals, who serve as gate keepers for the property in the hands of others to include Federal and contractors, are normally in the GS-1103 or GS-1104 series and need to be able to perform oversight functions, not just the control of said items.

Training Providers

Except for the IND courses, other curriculum courses are taught by a variety of approved providers including commercial vendors, colleges, and universities. Other sources, as approved by the Acquisition Career Management Program may be used to acquire the core courses. Core certification classes with "IND" prefix, i.e., IND 105, Contract Property Fundamentals, must be taken from DAU or a DAU-certified provider.

DOE/NNSA may grant equivalencies for certificates based on documented evidence.

In addition to the core subjects, DOE and NNSA have identified desired courses that cover specific areas of personal property management requiring more in-depth coverage.

Personal Property Management Core Certification Requirements

Standard	Level I	Training Provider
	GS-5 to GS-7	
Experience	1 year of property management experience	
Training	IND 105 Contract Property Fundamentals*	DAU/DAU-certified provider**
	CON 100 Shaping Smart Business Arrangements	DAU/DAU-certified provider**
	CON 110 Mission Support Planning or FCN 110	DAU/DAU-certified provider
	CON 111 Mission Planning Execution or FCN111	DAU/DAU-certified provider
	CON 112 Mission Performance Assessment or FCN 112	DAU/DAU-certified provider

Standard	Level II	Training Provider
	GS-9 to GS-12	
Experience	2 years of property management experience	
Training	IND 200 Intermediate Contract Property Administration and Disposition	DAU/DAU-certified provider
	CON 214 Business Decisions for Contracting or FCN 214 or CON 200 Business Decisions for Contracting	DAU/DAU-certified provider
	CON 216 Legal Considerations in Contracting	DAU/DAU-certified provider
	Demilitarization Course (Site Specific)	DOD
	Personal Property and Nonproliferation Course	DOE

Standard	Level III	Training Provider
	GS-13 to GS-15	
Experience	4 years of property management experience	
Training	CON 353 Advanced Business Solutions for Mission Support	DAU/DAU-certified provider
	Leadership Training (minimum 8 hours)	DOEOLC Online Training Modules: <ul style="list-style-type: none"> • Leadership (2.5 hrs); • Facilitative Leadership (4.5 hrs); • Communication and Leadership (4 hrs); • Leadership Communication Skills (3.5 hrs); • Emotionally Intelligent Leadership (2 hrs); • Leadership and Change (1.5 hrs);

		<ul style="list-style-type: none"> • Leadership Development for Technical Professionals (3 hrs); or • From Technical Professional to Leadership Simulation (1 hr)
	<p>Management Training (minimum 8 hours)</p>	<p>DAU Online Continuous Learning Modules:</p> <ul style="list-style-type: none"> • CLM 014 IPT Management and Leadership (8 CLPs); • HBS 405 Change Management (2 CLPs); • HBS 301 Managing Difficult Conversations (3 CLPs); or • HBS 304 Managing Difficult Conversations with High Bandwidth (3 CLPs) <p>DOEOLC Online Training Modules:</p> <ul style="list-style-type: none"> • Managing for High Performance (4 hrs); • Critical Thinking Skills for Managing (3.5 hrs); • Managing as Coach and Counselor (3.5 hrs); • Managing as Project Champion (3.5 hrs); • Cross-functional Strategic Management (1 hr); • Managing from Within: Self-empowerment (2 hrs); • Managing Cross-Functions (3 hrs); or • Managing Upward Relationships (3 hr)

* Effective FY12, IND 105 replaces IND 100 and IND 103.

** DAU courses and descriptions are available at <http://www.dau.mil>.

Continuous Learning Points (CLPs)

Personal property personnel are required to obtain 80 Continuous Learning Points (CLPs) every 2 years after certification or recertification to maintain certification. Acquisition workforce members are encouraged to set a goal of achieving 40 CLPs within a 12 month period so that attaining the required 80 CLPs is achievable within the two-year window.

If personal property workforce members perform a mix of property contract management, continuous learning should include both functional areas; however, this requirement should be reviewed as a complement to the property management requirements, therefore total training hours would not have to exceed 80 hours every 2 years.

Professional improvement is continuous. It includes certification training and the full range of continuous learning activities that serve to increase the performance capabilities as an acquisition professional. Individual goals that support continuous learning may include:

- Learning about new acquisition, technology and initiatives
- Staying current on changes in a career field
- Completing training for higher certification levels
- Learning something about, or becoming certified, in other career fields
- Completing a degree program
- Broadening experience and expanding technical expertise
- Developing new leadership and management skills

Most workforce members will participate in a combination of continuous learning activities. These activities can be characterized as either:

- Training
- Educational
- Experience
- Professional

Sample sources for CLPs include, but are not limited to, the desired courses listed in Section III and the following:

- Special Project Assignments
- Participation in workshops
- Participation in professional association
- Publication of professional articles
- Reading and documenting summaries of professional publications
- Attending Personal Property Management Conferences
- Attending National Education Seminar
- Attending National Property Management Association training, etc.
- Professional Examination, License or Certificate
- Attending or presenting Property Management-related presentation

For additional information on CL, please refer to Section I of this Handbook

Members must complete and report their own CLPs; a worksheet is available from the ACM for that purpose. Every two years, members must submit to ACMP through the Site Acquisition Career Manager (SACM) a completed worksheet signed by their supervisor and the SACM to request re-certification.

Waivers

Waivers to the Personal Property Management Certification requirements will be granted on a case-by-case basis by the DOE Senior Property Executive, or for NNSA employees, by the NNSA Senior Procurement Executive. Waivers will be the exception and not the norm. Waiver packages should include adequate justifications.

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VIII. Certified Realty Specialist Program

Background

“Certified Realty Specialist” (CRS) is defined in DOE O 430.1B and a CRS must review and approve all real estate actions to acquire, manage and dispose of real property assets. DOE Order 430.1B states that the process for becoming a CRS is found in the *DOE Real Property Process - a Desk Guide for Real Estate Personnel* (Real Estate Desk Guide). However, pursuant to DOE O 361.1B, the CRS program requirements and procedures are now found in this Handbook, and this chapter replaces chapter 10 of the Real Estate Desk Guide.

Certification is available in three specialty areas of real estate:

- Acquisition
- Leasing
- Land management and disposal

Eligibility

Realty Specialists in the GS-1170 Series are eligible for certification.

Certification Levels

Certification is available in one of three levels based on the individual’s experience, education and training:

- (1) Level I is entry level, available in each specialty area to applicants at grade 5/7/9 and above, and limited to transactions at or below the Simplified Acquisition Threshold as defined in the Federal Acquisition Regulation (FAR) 2.101 (<https://www.acquisition.gov/far/current/html/Subpart%202.1.html#wp1145507>). As of March 1, 2013, the Simplified Acquisition Threshold was \$150,000 (average net annual rent for leases).
- (2) Level II is journeyman level, available in each specialty area to applicants at grade 11/12 and above, and limited to transactions at or below \$500,000 (average net annual rent for leases)
- (3) Level III is a master level, available in each specialty area to applicants at grade 13 and above, with no limit on transaction value.

Note: for disposal actions, a CRSs authority shall be limited to the fair market value (FMV) of the real property, or real property interest conveyed, or the replacement plant value (RPV) of improvements, and not to the dollar value of the transaction.

Should entry into the GS-1170 series occur at a higher grade level, the incumbent must acquire training and experience necessary to sequentially ascend to the higher certification level.

Special appointments are also available, are executive level, and are reserved for DOE Headquarters.

Requirements

Experience Standard

For all certification levels, creditable years are years of experience as a Federal GS-1170 Realty Specialist (1 year of credit for each year of experience) or number of years experience as an active state-licensed real estate salesperson or broker (1 year of credit for every 2 years of experience). For example, to qualify at Level II, the applicant will require 3 years of experience as an 1170, or 2 year as an 1170, and 2 years as a licensed salesperson or broker. Other experience, such as state and/or local government experience will be evaluated for its applicability to the Realty Specialist field and credited on a full or partial basis as determined by the Certification Committee.

Level I: A minimum of two (2) years of creditable experience in the real estate field, at least one (1) year which is Federal (GS-1170) at the GS-5/7/9 level or above with one (1) other creditable year of real estate experience in the requested specialty area of certification.

Level II: A minimum of three (3) years of creditable experience in the real estate field, at least one (1) year of which is Federal (GS-1170) at the GS-11 level or above with two (2) other creditable years total real estate experience in the requested specialty area of certification.

Level III: A minimum of six (6) years of creditable experience in the real estate field, at least two (2) years of which is Federal (GS-1170) and at least one (1) year at the GS-13 or above level, with four (4) other creditable years total real estate experience in the requested specialty area of certification.

Note: Experience logs, describing transactions handled by the applicant, should be prepared and presented in support of an application. In a case where an experience log is not available, the application should state the reasons such a log is not available. Experience logs may contain less-detailed information, including estimates and approximations, when describing work performed in the past.

Education Standard

Education and training may be substituted for one year of required experience, but not for the required experience in the GS-1170 series. Completion of any six (6) approved courses, or equivalent classroom hours of state-certified or college real estate courses, will be equivalent to one (1) year of experience towards the relevant specialty area. ***The required courses for leasing certification (see “Training Requirements”, below) cannot be substituted for experience.*** A list of courses will be maintained by the Office of Property Management, Real Estate Division (MA-651), and will be made available upon request or on Powerpedia: https://powerpedia.energy.gov/wiki/Real_Estate.

Training Standard

The following training courses are required prior to appointment as a CRS at the specified level and specialty area:

Standard	Realty Specialist Level I	Specialty Area	Training Provider
	GS-1170- 05/07/09		
Training	Federal Real Property Leasing	Leasing	Management Concepts, Inc.
	Techniques of Negotiating Federal Real Property Leases	Leasing	Management Concepts, Inc.
	Federal Real Property Utilization and Disposal, 24 classroom hours	Disposal and Land Management	GSA
Standard	Realty Specialist Level II		Training Provider
	GS-1170-11/12		
Training	Federal Real Property Lease Law	Leasing	Management Concepts, Inc.
	Cost and Price Analysis of Lease Proposals	Leasing	Management Concepts, Inc.
	Basic Appraisal Principles	Leasing	The Appraisal Institute

The required training for certification in leasing is based on the General Services Administration Acquisition Manual 501.603-2 Selection, Figure 501-1 Warrant Course Requirements (<https://www.acquisition.gov/gsam/current/html/Part501.html#wp1858604>)

Applying for Certification

(1) CRS applications are submitted to the Certification Committee (Committee) by the applicant, with a cover letter requesting certification from the Site Manager or equivalent. Applications for certification must contain the following:

- A cover letter, as noted above
- A resume showing the applicant’s background
- A completed “Certified Realty Specialist Biography”
- Specialty areas and levels requested for certification
- Outline of education and training, with reference to the Level I, II or III requirements
- Discussion of specific personal experience with reference to the, Level I, II or III requirements, including experience logs describing transactions handled by the applicant.

Application forms can be obtained from the Office of Property Management, Real Estate Division (MA-651) or on Powerpedia: https://powerpedia.energy.gov/wiki/Real_Estate.

(2) Within thirty (30) days after receipt, the Committee must convene a meeting to consider the application and vote to approve, disapprove or request additional information. If the applicant’s application package demonstrates he or she possesses the skill set and experience required for the requested Certification, then the Committee will recommend approval. The Committee’s evaluation will include both education and experience and will be documented

when an application is rejected. When an applicant fails to fully meet the required levels and skills, the request will be returned to the applicant with an explanation as to the deficiencies.

- (3) The Certification Committee has five members:
- DOE Senior Realty Officer (SRO), chair
 - NNSA CRS, co-chair
 - 3 DOE CRSs

The NNSA CRS serving as co-chair is appointed by NNSA, and the other three committee members serve by invitation of the Committee.

(4) Committee actions involving NNSA applicants require the NNSA co-chair to be in attendance. Committee actions require a unanimous vote. If the Committee cannot obtain a unanimous vote within thirty (30) days of an initial vote, the DOE SRO and NNSA CRS will discuss the application and attempt to overcome any objections. If they are unable to reach agreement, the matter will be forwarded to the SRPO, or NNSA management for actions involving NNSA, for a final decision. Actions by the Committee are subject to review and override by the SRPO, or by NNSA management for actions involving NNSA.

(5) The Director, Office of Property Management, serving as the DOE Senior Real Property Officer (SRPO), with countersigning by the appropriate NNSA official for NNSA employees, will issue certificates of appointment to approved applicants.

Continuous Learning/Continuous Education

In order to maintain currency for all Certifications issued, the CRS must attend three real estate-related or approved courses during a consecutive five-year period, and must complete the annual agency required Ethics Training Program. Attendance at a DOE-sponsored Real Estate Workshop may be substituted for one of the real estate-related approved courses during the five-year period. Every 5 years from the date of issuance of each Certification, the CRS will provide a list of courses attended in compliance with the currency requirements to the Certification Committee. Courses used to substitute for the creditable years experience requirements may not be used to meet the currency requirement. Failure to maintain currency will result in a suspension of all Certificates held by that CRS until the requirements have been met. With written justification, the SRPO can extend the deadline date for submission of the currency requirements for a DOE CRS. With written justification and the concurrence of NNSA management, such waivers can be granted to NNSA employees.

IX. Certifications for Program and Project Managers

Project Management Career Development Program

DOE elements with line-management responsibility for one or more Capital Asset Projects (CAPs) must ensure that those individuals responsible and accountable for CAPs with a total project cost (TPC) greater than \$20 million are certified through the Project Management Career Development Program (PMCDP).

For federal project directors (FPDs), each level of responsibility has specific certification requirements in training and work/developmental activities that must be addressed to certify at the requisite level. General requirements for certification are outlined in the Certification Equivalency Guide (CEG), issued by the PMCDP.

Program Managers

A certification program for program managers is under development.

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