

## PROPOSAL RECEIPT CHECKLIST (11/03/10)

*[The following checklist is typical for many Requests for Proposals (RFPs). However, the checklist should be tailored to each RFP's provisions. Certain specific RFP requirements that are shown in the checklist below (e.g., 8 1/2"X11" page size, 12 point font size in either Times New Roman or Arial type, etc.) are used for illustrative purposes and are typical of many RFPs. Certain RFP requirements of a minor nature (e.g., name of offeror and solicitation number on each page, three-ringed loose-leaf binders) have not been included in this model checklist, but this type of requirements may be included as desired. Words in italics and brackets are either instructional notes or are intended to be deleted and substituted with the actual requirements from the RFP.]*

### Offeror

### Reviewer(s)

Name:	Title:	Date:
Name:	Title:	Date:

Proposal Preparation Instructions - General				
#	RFP Provision	Requirement	IAW RFP Yes/No	Comment
1.	L.XX	<u>Proposal Due Date/Time</u> - <i>[Insert date/time required]</i> Method of proposal submission: <i>[mail, electronic, hand carry, courier, etc.]</i> Proposal received by: <i>[name]</i> on <i>[date/time]</i> .		
2.	L.XX	<u>Proposal Submission Media Required</u> - <i>[paper, electronic via FedConnect, facsimile, etc.]</i>		
3.	L.XX	<u>Language and Currency</u> : <i>[English and U.S. dollars]</i>		
4.	L.XX	<u>Offer Expiration</u> - <i>[minimum time required by RFP]</i> Offered expiration time or date:		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

5.	L.XX	<p><u>Restriction on Disclosure and Use of Data</u> - Proposal is marked with the following legend for those proposal pages the offeror does not wish to disclose to the public or are to be used by the Government for evaluation purposes only:</p> <p>1. Mark the title page with the following legend:</p> <p>“This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed—in whole or in part—for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of—or in connection with—the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets <i>[insert numbers or other identification of sheets]</i>.”</p> <p>2. Mark each sheet of data it wishes to restrict with the following legend:</p> <p>“Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.”</p>		
6.	L.XX	<p><u>Electronic Proposal Files</u> – Electronic files are formatted correctly <u>[Adobe Acrobat 6.0 (PDF) or higher/Word 2003 or higher/Excel 2003 or higher/PowerPoint 2003 or higher]</u></p>		
7.	L.XX	<p><u>Proposal Volumes and Number of Copies</u></p> <p>Volume I - Offer and Other Documents: <i>[number originals/ number copies/ number CD-ROM]</i></p> <p>Volume II - Technical Proposal: <i>[number originals/ number copies/ number CD-ROM]</i></p>		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

		Volume III - Cost and Fee Proposal: <i>[number originals/ number copies/ number CD-ROM]</i>		
8.	L.XX	<u>Page Size</u> - Page size is 8.5 x 11 inches, not including foldouts.		
9.	L.XX	<u>Page Margins</u> - Page margins shall be a minimum of one inch at the top, bottom and each side. Two columns of text per page and use of bold-faced type are acceptable.		
10.	L.XX	<u>Type Size and Font</u> - Graphs, tables and spreadsheets, where necessary, must be 10 point or larger Arial or Times New Roman font type. All other text must be 12 point (or larger), single-spaced, and using Arial or Times New Roman font type.		
11.	L.XX	<u>Foldouts</u> - Foldouts may only be used for large tables, charts, graphs, diagrams and other schematics, and not for pages of text. Foldouts of charts, tables, diagrams or design drawings shall not exceed 11 x 17 inches. Foldout pages must fold entirely within the volume. Foldout pages count as two pages.		
12.	L.XX	<u>Cross-Reference Matrix</u> - A Cross-Reference Matrix which correlates the proposal by page and paragraph number to Sections C, L, and M must be included.		

### **Volume I – Offer and Other Documents**

*[Any aspect of the proposal that is a part of the contractually binding offer should be included in this checklist section, in addition to certain other documents provided by the offeror in Volume I. All contract clauses where the offeror is to fill-in information that will be included in any resulting contract should also be included in this section of the checklist. These clauses will mainly be in Sections B-H, but may also be in Section I. In addition, this section of the checklist should include any documents that are to be included with the offer and that will become a part of the contract either by physical incorporation in Section J (e.g., Small Business Subcontracting Plan) or incorporated by reference (e.g., representations and certifications), as applicable.]*

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

#	RFP Provision	Requirement	IAW RFP Yes/No	Comment
13.	L.XX	<u>Cover Letter</u> - The cover letter includes the following: <ol style="list-style-type: none"> <li>1. Solicitation number.</li> <li>2. Formal name and address of the offeror; proposed subcontractors, all joint venture members, and all limited liability company members, as applicable; and Dun &amp; Bradstreet LTD number for each of the above entities.</li> <li>3. Names, addresses, titles, telephone and facsimile numbers, and e-mails of persons authorized to sign the offer and negotiate on behalf of the offeror in connection with this solicitation.</li> <li>4. A statement that the offeror grants to the Department of Energy (DOE) and its authorized representatives the right to examine, for purposes of verifying the information submitted, those books, records, documents, and other supporting data that will permit adequate evaluation.</li> </ol>		
14.	L.XX	<u>Standard Form (SF) 33, Solicitation Offer and Award</u> - The SF 33 is fully completed including: <ol style="list-style-type: none"> <li>1. Acknowledge RFP Amendments – [number amendments issued.]</li> <li>2. Signature - Executed by an authorized representative of the offeror.</li> </ol>		
15.	L.XX B.XX	<u>Cost/Fee/Price</u> - Estimated cost/fee/price proposed for each period of performance/transition period/line item/option. <i>[Specify which apply.]</i>		
16.	L.XX G.XX	<u>Payment Address</u> - Contractor payment address provided, if different from the offeror's address on the SF 33.		
17.	L.XX H.XX	<u>Key Personnel</u> <ol style="list-style-type: none"> <li>1. Designated individuals subject to the key personnel clause.</li> <li>2. Designated specific positions required by the RFP, if applicable.</li> </ol>		
18.	L.XX H.XX	<u>Performance Guarantee</u> <ol style="list-style-type: none"> <li>1. Performance guarantee provided in accordance with form in RFP.</li> <li>2. Guarantee provided either by offeror's parent(s), each joint venture</li> </ol>		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

		member, or each member of a limited liability company (LLC) or other similar entity. 3. Signed by authorized official.		
19.	L.XX H.XX	<u>Small Business Subcontracting Plan</u> (only required for large businesses) 1. Complete Small Business Plan submitted following the guidance in the RFP. 2. Goals provided for all required categories. 3. Goals equal or exceed any minimum goals required by the RFP.		
20.	L.XX H.XX	<u>Critical Subcontracts</u> – Subcontractors identified in the proposal and considered a part of the selection and award of any contract are listed.		
21.	L.XX H.XX	<u>Responsible Corporate Official</u> - Individual designated that is the responsible corporate official.		
22.	L.XX H.XX	<u>Recognition of Performing Entity</u> - All entities designated that are proposed to perform work under the contract that are a part of the proposal upon which any contract award would be based, including subcontractors, joint venture members, parent(s), and LLC members.		
23.	L.XX I.XX	<u>Earned Value Management System</u> - Documentation submitted showing either compliance or a plan for compliance as required by the Section L clause, FAR 52.234-3 entitled, “Notice of Earned Value Management System – Post-Award IBR.”		
24.	L.XX H.XX Section K	<u>Representations and Certifications</u> 1. Complete and current annual representations and certifications available at the Online Representations Application (ORCA) website at <a href="http://orca.bpn.gov">http://orca.bpn.gov</a> . 2. Complete representations, certifications and other statements of the offeror, submitted and signed by an authorized representative of the offeror, including the following major areas: a. Organizational Conflicts of Interest (OCI) i. Offeror represented it did not have any OCI, or ii. Offeror disclosed it did have a potential OCI and disclosed the nature of the OCI.		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

		<p><i>[Note: The representation of any potential OCI by the offeror will require review by Counsel and the Contracting Officer. In addition, the Contracting Officer must consider any other potential OCI information available outside the proposal, not disclosed by the offeror.]</i></p> <p>b. Facility Clearance - Offeror provided its DOE Facility Code or its Department of Defense (DOD) commercial and government entity (CAGE) code, if one has been assigned.</p> <p>c. Certificate Pertaining to Foreign Interests/Foreign Ownership, Control, or Influence (FOCI) - Offeror does not have a DOE or DOD CAGE code; and therefore, the offeror provided the information related to FOCI on SF 328.</p> <p><i>[Note: The information contained in this representation and certification can be extensive depending on the degree of foreign interests related to the offeror. This submission should be initially reviewed by a specialized advisor to assure sufficient information is included in order to perform the necessary FOCI review.]</i></p> <p>3. Do any of the offeror's representations and certifications, from either the on-line representations/certifications, or the representations/certifications submitted with the RFP, require any action by the Contracting Officer?</p>		
25.	L.XX	<p><u>Exceptions and Deviations</u></p> <p>1. No exceptions or deviations to the terms of the contract or the RFP provisions.</p> <p>2. If the offeror took exceptions to the terms of the contract, the exceptions are explained.</p>		
26.	L.XX	<p><u>Corporate Board of Directors</u> - The offeror identified the Board of Directors and its role in providing corporate oversight.</p>		
27.	L.XX	<p><u>Teaming Agreement</u> - If the offeror is a part of a teaming arrangement (joint venture, LLC or other type teaming arrangement) the teaming agreement(s) was provided with the proposal?</p>		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

## Volume II – Technical Proposal

*[The checklist for Volume II should be specifically developed based on the RFP requirements for the technical proposal. This is particularly true for the technical approach portion of the technical proposal which is specifically based on the statement of work. Certain areas have been included below which are similar in most all RFPs, e.g., key personnel, experience, and past performance. In addition, the purpose of the initial review of proposals needs to be considered when developing the checklist for the technical proposal. The initial review of the proposal determines whether the offeror has provided sufficient information in the required RFP areas to allow the Government to perform an evaluation of the technical proposal. Certain checklist items are very objective and allow a more definitive review of whether the proposal meets the RFP requirements, e.g., page limitations. Other areas are very subjective and require a judgmental assessment of whether the offeror has provided information in accordance with the RFP instructions, e.g., addressing the various aspects of the technical approach to perform the work. However, the initial review is not for the purpose of performing an evaluation of the technical proposal.]*

#	RFP Provision	Requirement	IAW RFP Yes/No	Comment
28.	L.XX	<u>Page Limitations</u> 1. Overall Volume II limitation: <i>[List page limit and portions or documents excluded from the limitation. If specified areas within the technical approach have page limitations, specify the limitation for each area.]</i> Actual pages submitted: _____ 2. Key personnel resume limitation: <i>[List page limitation.]</i> Actual pages submitted: _____		
29.	L.XX	<u>Cost Data</u> - Cost data is to be excluded from the technical proposal. Labor hours may be addressed in the technical proposal, but the cost of the labor hours should be addressed in Volume III, Cost. Has cost data been excluded from the technical proposal?		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

30.	L.XX	<u>Technical Approach</u> 1. Does the proposal address each of the areas of the technical approach required by the RFP? <i>[List areas required.]</i> 2. Does the proposal address each area of the statement of work as required by the RFP? <i>[List areas required.]</i> 3. Does the proposal contain a schedule for performance of the work? 4. Does the proposal contain a work breakdown structure (WBS) to the level required by the RFP?		
31.	L.XX	<u>Organization</u> - Does the proposal address each of the areas required by the RFP? <i>[List areas required. For examples, see below:]</i> 1. Organizational chart; 2. Listing of subcontractors; 3. Listing of other entities that will perform the work, e.g., LLC members; 4. Identification of areas of work to be performed by each entity; 5. Roles and responsibilities; 6. Full-time equivalents by organization and skill mix; 7. Contractual relationship between the offeror and each entity proposed; and 8. Use of small business in performance of the work.		
32.	L.XX	<u>Key Personnel</u> - Does the proposal provide the information required by the RFP? <i>[List areas required. For examples, see below:]</i> 1. Are resumes for all proposed key personnel provided? 2. Are the resumes in the required format? 3. Are key personnel proposed for all positions required by the RFP? <i>[List required key personnel positions.]</i> 4. If the RFP imposed a limit on the number of key personnel <i>[specify number]</i> , did the offeror comply with this limitation? 5. Are the key personnel proposed in Volume II consistent with those in Volume I, Offer? 6. Are the required number of references <i>[specify number]</i> provided for all key personnel?		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104



		7. Has a letter of commitment for each key personnel member been provided and signed for the minimum number of years? <i>[List number of years commitment required.]</i>		
33.	L.XX	<p><u>Experience</u> – <i>[List information required to be provided by offeror. See below for examples. If specific areas are listed for experience, in addition to referencing relevant experience, list those areas.]</i></p> <ol style="list-style-type: none"> <li>1. Did the offeror provide experience for each entity proposed to perform work, e.g., prime, subcontracts, LLC members, etc?</li> <li>2. Did the offeror relate the experience to the work to be performed under the contract by that entity?</li> <li>3. Did the offeror provide experience on <i>[Insert required number.]</i> contracts?</li> <li>4. If the offeror is a newly formed entity without any experience, did the offeror provide experience for the parent(s) or LLC members?</li> </ol>		
34.	L.XX	<p><u>Past Performance</u> – <i>[List information required to be provided by offeror. See below for examples.]</i></p> <ol style="list-style-type: none"> <li>1. Did the offeror provide a complete Past Performance Information Form for each entity proposed to perform work, e.g., prime, subcontracts, LLC members, etc?</li> <li>2. Did the offeror provide past performance on the same contracts that are provided under experience?</li> <li>3. Did the offeror provide the safety performance data for each performing entity?</li> <li>4. Did the offeror provide small business performance accomplishments?</li> <li>5. Did the offeror transmit the Past Performance Questionnaire to the client references for submission directly to DOE?</li> <li>6. For Government contracts, did the offeror provide the Past Performance Questionnaire to both the technical contact and the Contracting Officer?</li> </ol>		
35.	L.XX	<u>Oral Presentations</u> – If oral presentations are to be held, did the offeror submit all materials required to be submitted with the proposal?		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

### Volume III – Cost and Fee Proposal

*[Because of the voluminous information that may be required to be included in the cost proposal, the cost analyst may need to perform the initial review of Volume III in coordination with the Contracting Officer.]*

#	RFP Provision	Requirement	IAW RFP Yes/No	Comment
36.	L.XX	<u>Format</u> - Has the offeror provided costs in the format required by the RFP, including any cost templates, schedules, exhibits, worksheets, etc?		
37.	L.XX	<u>Electronic Media</u> - Has the offeror provided the cost information in the required electronic media, including any required computational programs, e.g., Microsoft Excel?		
38.	L.XX	<u>Consistency with Section B</u> - Are the total proposed costs in Volume III consistent with the offer in Section B, including costs for each period of performance/transition period/line item/option?		
39.	L.XX	<u>Year Cost</u> - Are costs provided as required by the RFP in <i>[Specify actual year or fixed year.]</i> year costs?		
40.	L.XX	<u>WBS</u> - Are costs broken out by WBS element corresponding to the WBS in Volume II, including any RFP required WBS?		
41.	L.XX	<u>Cost Elements</u> - Are costs broken out into cost elements, e.g., labor, indirect rates, subcontract costs, other direct costs, etc.?		
42.	L.XX	<u>Escalation</u> - Are escalation rates proposed in accordance with any RFP required rates?		
43.	L.XX	<u>Contingency</u> - Are contingency costs <i>[included/excluded]</i> in accordance with the RFP instructions?		
44.	L.XX	<u>Government Provided Costs</u> - Are all required Government-provided costs used in the cost proposal, rather than the offeror's own proposed cost?		
45.	L.XX	<u>Funding Profile</u> - Are proposed costs compared to any RFP-provided funding profile?		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

46.	L.XX	<u>Basis of Estimate</u> - Has the offeror provided its basis of estimate, including assumptions, estimating methods, etc.		
47.	L.XX	<u>Key Personnel Costs</u> - Did the offeror breakout key personnel costs, if required?		
48.	L.XX	<u>Home Office Costs</u> 1. Are any proposed home office expenses allowed by the RFP? 2. Did the offeror propose a home office expense ceiling, if required by the RFP?		
49.	L.XX	<u>Fee</u> 1. Is the proposed fee within any limitations specified in the RFP, e.g., maximum fee percentage, prohibition on any separate fee to subcontractors/teaming members? <i>[Specify limitations.]</i> 2. Is the proposed fee in Volume III consistent with the offer in Section B, including the fee for each <i>[period of performance/transition period/line item/option, as applicable]</i> ?		
50.	L.XX	<u>Supporting Documentation</u> - Has the offeror provided the location and point of contact for supporting documentation? <i>[Note: This is pertinent if an audit is to be performed.]</i>		
51.	L.XX	Defense Contract Audit Agency (DCAA) and Administrative Contracting Officer (ACO) - Has the offeror provided the name of the cognizant DCAA office and the ACO?		
52.	L.XX	<u>Approved Rates</u> - Did the offeror provide information as to any rates that have been approved by a Government agency?		
53.	L.XX	<u>Accounting System</u> - If required, did the offeror provide a description of the accounting system it proposes to use? Has the accounting system been determined acceptable by an independent auditor?		
54.	L.XX	<u>Disclosure Statement</u> - Did the offeror provide its cost accounting standards disclosure statement as a part of Section K?		
55.	L.XX	<u>Financial Statements</u> - Did the offeror provide the required financial statements? <i>[Note: This is typically used to determine financial responsibility.]</i>		

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104

Additional Comments:

SOURCE SELECTION INFORMATION – SEE FAR 2.101 and 3.104