

**ORANGE COUNTY FIRE AUTHORITY**  
**SINGLE AUDIT REPORT**  
**FOR THE YEAR ENDED JUNE 30, 2018**

# ORANGE COUNTY FIRE AUTHORITY

## FOR THE YEAR ENDED JUNE 30, 2018

### TABLE OF CONTENTS

	<b>PAGE</b>
Independent Auditors' Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with <i>Government Auditing Standards</i>	1
Independent Auditors' Report on Compliance for Each Major Federal Program; Report on Internal Control Over Compliance; and Report on the Schedule of Expenditures of Federal Awards Required by the Uniform Guidance	3
Schedule of Expenditures of Federal Awards	6
Notes to Schedule of Expenditures of Federal Awards	7
Schedule of Findings and Questioned Costs	
I. Summary of Auditors' Results	8
II. Financial Statement Findings	9
III. Federal Award Findings and Questioned Costs	10
Schedule of Prior Year Audit Findings and Recommendations	12



**VAVRINEK, TRINE, DAY & CO., LLP**  
Certified Public Accountants

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**INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS**

To the Board of Directors  
Orange County Fire Authority  
Irvine, California

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the governmental activities, the discretely presented component unit, each major fund and aggregate remaining fund information of the Orange County Fire Authority (Authority), as of and for the year ended June 30, 2018, and the related notes to the financial statements, which collectively comprise the Authority's basic financial statements and have issued our report thereon dated October 15, 2018. Our report includes an emphasis of matter regarding the Authority's adoption of Governmental Accounting Standards Board (GASB) Statements, No.74, *Financial Reporting for Postemployment Benefit Plans Other Than Pension Plans*, No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions*, and No. 85, *Omnibus 2017*, effective July 1, 2017.

**Internal Control over Financial Reporting**

In planning and performing our audit of the financial statements, we considered the Authority's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinions on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Authority's internal control. Accordingly, we do not express an opinion on the effectiveness of the Authority's internal control.

*A deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. *A material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. *A significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

## **Compliance and Other Matters**

As part of obtaining reasonable assurance about whether the Authority's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

## **Purpose of this Report**

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Authority's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



Laguna Hills, California  
October 15, 2018



**INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR EACH MAJOR FEDERAL PROGRAM; REPORT ON INTERNAL CONTROL OVER COMPLIANCE; AND REPORT ON THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS REQUIRED BY THE UNIFORM GUIDANCE**

To the Board of Directors  
Orange County Fire Authority  
Irvine, California

**Report on Compliance for Each Major Federal Program**

We have audited the Orange County Fire Authority's (Authority) compliance with the types of compliance requirements described in the *OMB Compliance Supplement* that could have a direct and material effect on each of the Authority's major federal programs for the year ended June 30, 2018. The Authority's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

***Management's Responsibility***

Management is responsible for compliance with federal statutes, regulations, and the terms and conditions of its federal awards applicable to its federal programs.

***Auditors' Responsibility***

Our responsibility is to express an opinion on compliance for each of the Authority's major federal programs based on our audit of the types of compliance requirements referred to above. We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Those standards and the Uniform Guidance require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Authority's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances.

We believe that our audit provides a reasonable basis for our opinion on compliance for each major federal program. However, our audit does not provide a legal determination of the Authority's compliance.

***Opinion on Each Major Federal Program***

In our opinion, the Authority complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2018.

## ***Other Matters***

The results of our auditing procedures disclosed an instance of noncompliance which is required to be reported in accordance with the Uniform Guidance and which is described in the accompanying schedule of findings and questioned costs as item 2018-001. Our opinion on each major federal program is not modified with respect to this matter.

The Authority's response to the noncompliance findings identified in our audit is described in the accompanying schedule of findings and questioned costs and the Authority's separate corrective action plan. The Authority's response was not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

## **Report on Internal Control over Compliance**

Management of the Authority is responsible for establishing and maintaining effective internal control over compliance with the types of compliance requirements referred to above. In planning and performing our audit of compliance, we considered the Authority's internal control over compliance with the types of requirements that could have a direct and material effect on each major federal program to determine the auditing procedures that are appropriate in the circumstances for the purpose of expressing an opinion on compliance for each major federal program and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Authority's internal control over compliance.

*A deficiency in internal control over compliance* exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies and therefore, material weaknesses or significant deficiencies may exist that have not been identified. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses. However, we did identify a certain deficiency in internal control over compliance, described in the accompanying schedule of findings and questioned costs as item 2018-001, that we consider to be a significant deficiency.

The Authority's response to the internal control over compliance findings identified in our audit is described in the accompanying schedule of findings and questioned costs and the Authority's separate corrective action plan. The Authority's response was not subjected to the auditing procedures applied in the audit of compliance and, accordingly, we express no opinion on the response.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.

## Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of the governmental activities, the discretely presented component unit, each major fund and aggregate remaining fund information of the Authority, as of and for the year ended June 30, 2018, and the related notes to the financial statements, which collectively comprise the Authority's basic financial statements. We issued our report thereon dated October 15, 2018, which contained unmodified opinions on those financial statements. Our report included an emphasis of matter regarding the Authority's adoption of Governmental Accounting Standards Board (GASB) Statements, No. 74, *Financial Reporting for Postemployment Benefit Plans Other Than Pension Plans*, No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions*, and No. 85, *Omnibus 2017*, effective July 1, 2017. Our audit was conducted for the purpose of forming opinions on the financial statements that collectively comprise the basic financial statements. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance and is not a required part of the basic financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the basic financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the basic financial statements as a whole.



Laguna Hills, California  
October 15, 2018

**ORANGE COUNTY FIRE AUTHORITY  
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
FOR THE FISCAL YEAR ENDED JUNE 30, 2018**

<b>FEDERAL GRANTOR/PASS-THROUGH AGENCY/ PROGRAM OR CLUSTER TITLE</b>	<b>FEDERAL CFDA NUMBER</b>	<b>DIRECT OR PASS-THROUGH ENTITY IDENTIFYING NUMBER</b>	<b>FEDERAL EXPENDITURES</b>
<b><u>DEPARTMENT OF HOMELAND SECURITY:</u></b>			
Federal Emergency Management Agency			
National Urban Search and Rescue (US&R) Response System			
2016 Cooperative Agreement	97.025	EMW-2016-CA-00013	\$ 343,482
2017 Cooperative Agreement	97.025	EMW-2017-CA-00039	693,157
<b>Subtotal - CFDA 97.025</b>			<b>1,036,639</b>
Staffing for Adequate Fire and Emergency Response (SAFER)	97.083	EMW-2016-FH-00565	293,635
Passed through the City of Anaheim:			
Homeland Security Grant Program			
2016 Urban Areas Security Initiative (UASI) Conference	97.067	DHS 2016-SS-00102	2,862
Passed through the Orange County Sheriff's Department:			
Homeland Security Grant Program			
2016 Orange County Intelligence Assessment Center	97.067	DHS 2016-SS-00102	140,736
2017 Orange County Intelligence Assessment Center	97.067	DHS 2017-SS-00083	12,509
AHIMT Association Symposium	97.067	DHS 2016-SS-00102	907
<b>Subtotal - CFDA 97.067</b>			<b>157,014</b>
Total Department of Homeland Security			<b>1,487,288</b>
<b>Total Expenditures of Federal Awards</b>			<b>\$ 1,487,288</b>

See accompanying notes to Schedule of Expenditures of Federal Awards



**ORANGE COUNTY FIRE AUTHORITY  
NOTES TO SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS  
FOR THE FISCAL YEAR ENDED JUNE 30, 2018**

***NOTE #1 – SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES***

**A. General**

The accompanying Schedule of Expenditures of Federal Awards presents the activity of federal award programs of the Orange County Fire Authority (Authority). The information in this schedule is presented in accordance with the requirements of Title 2 U.S. Code of Federal Regulations Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance). Because this schedule presents only a selected portion of the operations of the Authority, it is not intended to and does not present the financial position, changes in position, or cash flows of the Authority. All financial assistance received directly from the Federal agencies as well as Federal financial assistance passed through other government agencies to the Authority is included in the accompanying schedule. The Authority's reporting entity is defined in Note 1 of the notes to the Authority's basic financial statements.

**B. Basis of Accounting**

The accompanying Schedule of Expenditures of Federal Awards is presented using the modified accrual basis of accounting, which is described in Note 1 of the Authority's Financial Statements. The Authority has elected not to use the 10-percent de minimis cost rate as allowed under the Uniform Guidance.

**C. Relationship to Federal Financial Reports**

Amounts reported in the accompanying Schedule of Expenditures of Federal Awards agree with the amounts reported in the related federal financial reports. However, certain federal financial reports are filed based on cash expenditures. As such, certain timing differences may exist in the recognition of revenues and expenditures between the Schedule of Expenditures of Federal Awards and the federal financial reports.

**ORANGE COUNTY FIRE AUTHORITY  
 SCHEDULE OF FINDINGS AND QUESTIONED COSTS  
 FOR THE FISCAL YEAR ENDED JUNE 30, 2018**

**I. SUMMARY OF AUDITORS' RESULTS**

**FINANCIAL STATEMENTS**

Type of auditors' report issued on whether the financial statements audited were prepared in accordance with GAAP:	<u>Unmodified</u>
Internal control over financial reporting:	
Material Weaknesses identified?	<u>No</u>
Significant Deficiencies identified?	<u>None reported</u>
Noncompliance material to financial statements noted?	<u>No</u>

**FEDERAL AWARDS**

Internal control over major federal programs:	
Material Weaknesses identified?	<u>No</u>
Significant Deficiencies identified?	<u>Yes</u>
Type of auditors' report issued on compliance for major federal programs:	<u>Unmodified</u>
Any audit findings disclosed that are required to be reported in accordance with 2 CFR Section 200.516(a)?	
Identification of major federal programs:	<u>Yes</u>

<u>CFDA Number</u>	<u>Name of Federal Program or Cluster</u>
<u>97.025</u>	<u>National Urban Search and Rescue (US&amp;R) Response System</u>

Dollar threshold used to distinguish between Type A and Type B programs:	<u>\$ 750,000</u>
Auditee qualified as low-risk auditee?	<u>No</u>

**ORANGE COUNTY FIRE AUTHORITY  
SCHEDULE OF FINDINGS AND QUESTIONED COSTS  
FOR THE FISCAL YEAR ENDED JUNE 30, 2018**

**II. FINANCIAL STATEMENT FINDINGS**

None noted.

**ORANGE COUNTY FIRE AUTHORITY  
SCHEDULE OF FINDINGS AND QUESTIONED COSTS  
FOR THE YEAR ENDED JUNE 30, 2018**

**III. FEDERAL AWARD FINDINGS AND QUESTIONED COSTS**

**Finding 2018-001**

**Program:** Urban Search and Rescue (USAR) Response System  
**CFDA No:** 97.025  
**Federal Agency:** Department of Homeland Security  
**Passed-through:** N/A  
**Award No. and Year:** EMW-2017-CA-0039, 2017  
**Compliance Requirement:** Procurement and Suspension and Debarment

**Criteria:**

The *2018 OMB Compliance Supplement* states that when a non-federal entity enters into a covered transaction with an entity at a lower tier, the non-federal entity must verify that the entity, as defined in 2 CFR section 180.995 and agency adopting regulations, is not suspended or debarred or otherwise excluded from participating in the transaction. This verification may be accomplished by (1) checking the *Excluded Parties List System (EPLS)* maintained by the General Services Administration (GSA) and available at <https://www.sam.gov/portal/public/SAM/>, (2) collecting a certification from the entity, or (3) adding a clause or condition to the covered transaction with that entity (2 CFR section 180.300).

**Condition Found:**

*Significant Deficiency, Instance of Noncompliance* – As a result of our audit procedures, we noted four out of the eight contracts selected for testing did not have documentation on file to evidence that the Authority verified the vendors were not on the Excluded Parties List System (EPLS) at the time of entering into a covered transaction. Management reproduced the EPLS check during the audit fieldwork and verified that the vendors were not suspended or debarred.

**Questioned Costs:**

None noted.

**Context:**

The condition noted above was identified during our testing of the procurement and suspension and debarment requirements of the program.

**Effect:**

As a result of the condition noted, there were instances of non-compliance with procurement, suspension, and debarment requirements.

**Cause:**

The Authority did not maintain policies and procedures to ensure that verification of vendor suspension and debarment was performed and documented in the vendor files prior to execution of procurement contracts.

**ORANGE COUNTY FIRE AUTHORITY  
SCHEDULE OF FINDINGS AND QUESTIONED COSTS  
FOR THE YEAR ENDED JUNE 30, 2018**

**Recommendation:**

We recommend that the Authority strengthen its procedures over verification of an entity's suspended and debarred status.

**Views of Responsible Officials and Planned Corrective Actions:**

See separate Corrective Action Plan.

**ORANGE COUNTY FIRE AUTHORITY  
SCHEDULE OF PRIOR YEAR AUDIT FINDINGS AND RECOMMENDATIONS  
FOR THE FISCAL YEAR ENDED JUNE 30, 2018**

None noted.

**ORANGE COUNTY FIRE AUTHORITY**

Corrective Action Plan

Year ended June 30, 2018



Compiled by: Finance Division

**ORANGE COUNTY FIRE AUTHORITY**

Corrective Action Plan

Year ended June 30, 2018

**I. FINANCIAL STATEMENT FINDINGS**

None reported.



**ORANGE COUNTY FIRE AUTHORITY**

Corrective Action Plan

Year ended June 30, 2018

**II. FEDERAL AWARD FINDINGS AND QUESTIONED COSTS**

**FINDING 2018-001**

**Program:** Urban Search and Rescue (USAR) Response System

**CFDA No.:** 97.025

**Federal Agency:** Department of Homeland Security

**Passed-through:** N/A

**Award No. and Year:** EMW-2017-CA-0039, 2017

**Compliance Requirement:** Procurement and Suspension and Debarment

**Management's or Department's Response:**

We concur.

**Views of Responsible Officials and Corrective Action:**

Although our practice in Procurement has always included checking the Excluded Parties List System (EPLS) through the System for Award Management (SAM) at the time of issuing the Purchase Order (PO), some of the procurement files reviewed during the audit did not include a print-out of the verification. For those contracts, the SAM verification was reproduced and none of the vendors were suspended or debarred.

The timing of this finding is fortuitous as it coincides with, and has been incorporated into, efforts underway to ensure compliance with new federal regulations. On May 24, 2018, the Procurement Policy Manual was presented to the OCFA Board of Directors. The Policy Manual, which became effective July 1, 2018, includes a section which specifically addresses federally-funded procurements, as required by the Code of Federal Regulations. In order to maintain compliance with the new regulations, Management has created a form (see Attachment A) that will be utilized for all federally funded procurement contracts. The form serves as a checklist for documenting that all federal procurement requirements are met. Verification that the EPLS print-out is attached to procurement file is included on this form.

Name of Responsible Person: Debbie Casper, Purchasing Manager

Implementation/Projected Implementation Date: July 1, 2018



## Executive Summary – Federal Grant Funded Procurement

Complete and include with procurement file. Items in **red** are prohibited. See Federal Procurement Handbook for additional information.

Section 1. Pre-Solicitation			
Item eligible for grant funds:	Y <input type="checkbox"/> N <input type="checkbox"/>	Item unnecessary or duplicative:	Y <input type="checkbox"/> N <input type="checkbox"/>
Can item(s) be consolidated/broken out?	Y <input type="checkbox"/> N <input type="checkbox"/>	Intergovernmental agreement opportunity:	Y <input type="checkbox"/> N <input type="checkbox"/>
Federal excess/surplus property options:	Y <input type="checkbox"/> N <input type="checkbox"/>	Lease vs. purchase options analyzed:	Y <input type="checkbox"/> NA <input type="checkbox"/>
For items below \$50,000: Estimate showing Total Cost < \$50,000 completed:			Y <input type="checkbox"/> N <input type="checkbox"/>
For items over \$50,000: Cost or price analysis completed:			Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
Procurement Method Used:	<input type="checkbox"/> Micro-Purchase <input type="checkbox"/> Small Purchase <input type="checkbox"/> Sealed Bids <input type="checkbox"/> Sealed Proposals <input type="checkbox"/> Noncompetitive Proposals (complete §5d)		
Rationale for Procurement Method Used:	Click here to enter text.		
Contract Type Used:	<input type="checkbox"/> Lump Sum <input type="checkbox"/> Unit Price <input type="checkbox"/> Cost Plus Fixed Fee <input type="checkbox"/> Retainer <input type="checkbox"/> Intergovernmental Agreement <input type="checkbox"/> Time & Materials (complete §5c)		
Rationale for Contract Type:	Click here to enter text.		
Section 2. Affirmative Steps – Small, Minority and Women’s Business Enterprises (SMWBE)			
Is it feasible to divide requirement or modify delivery schedule to encourage SMWBE participation?	Y <input type="checkbox"/> N <input type="checkbox"/>		
List or attach the SMWBEs solicited:	Click here to enter text.		
Section 3. Micro-Purchases (below \$10,000)			NA <input type="checkbox"/>
Determination that price is reasonable:	Click here to enter text.		
SAM.gov record reviewed?	Y <input type="checkbox"/> N <input type="checkbox"/>	Vendor suspended or debarred:	Y <input type="checkbox"/> N <input type="checkbox"/>
Section 4. Small and Formal Purchases (over \$10,000)			NA <input type="checkbox"/>
Non-restrictive, clear description and/or “Brand Name or Equivalent” specified?	Y <input type="checkbox"/> N <input type="checkbox"/>	Number of sources solicited:	Click here to enter text.
List or attach all sources solicited:	Click here to enter text.		
Section 4(a). Solicitation Document (as applicable)			NA <input type="checkbox"/>
Federally-funded clauses included:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	Solicitation publicly advertised:	Y <input type="checkbox"/> NA <input type="checkbox"/>
Submittal requirements identified:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	Award/evaluation criteria identified:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
Geographic preferences:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	Excess qualifications/experience required:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
Unnecessary bonding:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	Improper pre-qualification:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
Section 4(a)(i). Two-Step Solicitations Only			NA <input type="checkbox"/>
Identify step currently being solicited:	<input type="checkbox"/> One <input type="checkbox"/> Two	Step Two – Price included in bid:	Y <input type="checkbox"/> N <input type="checkbox"/>
		Step Two – Minimum three solicited:	Y <input type="checkbox"/> N <input type="checkbox"/>
Section 4(a)(ii). Construction Solicitations Only			NA <input type="checkbox"/>
<input type="checkbox"/> Design-Bid-Build <input type="checkbox"/> Design-Build <input type="checkbox"/> Architectural & Engineering <input type="checkbox"/> Construction Manager at Risk			
Value Engineering clause included:	Y <input type="checkbox"/> N <input type="checkbox"/>	DB: Procurement type determined by value:	Y <input type="checkbox"/> N <input type="checkbox"/>
A&E: Procured by competitive proposal:	Y <input type="checkbox"/> N <input type="checkbox"/>	A&E: Price an evaluation factor:	Y <input type="checkbox"/> N <input type="checkbox"/>
<input type="checkbox"/> Bid <input type="checkbox"/> Performance or <input type="checkbox"/> Payment bonds <u>required</u> or <input type="checkbox"/> Bonding is not required		<input type="checkbox"/> Bid <input type="checkbox"/> Performance or <input type="checkbox"/> Payment bonds <u>received</u> or <input type="checkbox"/> NA	
Section 4(b). Pricing Evaluation (all)			
Number of offers received (If one complete §5d):		Click here to enter text.	
Vendor:	Click here to enter text.	Total:	Click here to enter text.
Determination of Responsiveness:	Click here to enter text.		
Determination of Responsibility:	Click here to enter text.		
Reason for selection or rejection:	Click here to enter text.		
Vendor:	Click here to enter text.	Total:	Click here to enter text.
Determination of Responsiveness:	Click here to enter text.		

Determination of Responsibility:	Click here to enter text.		
Reason for selection or rejection:	Click here to enter text.		
<b>Vendor:</b>	Click here to enter text.	<b>Total:</b>	Click here to enter text.
Determination of Responsiveness:	Click here to enter text.		
Determination of Responsibility:	Click here to enter text.		
Reason for selection or rejection:	Click here to enter text.		
<b>Section 4(c). Award (all)</b>			
Awarded vendor:	Click here to enter text.		
Reasonability of price determination:	Click here to enter text.		
SAM.gov record reviewed	Y <input type="checkbox"/> N <input type="checkbox"/>	Vendor suspended or debarred:	Y <input type="checkbox"/> N <input type="checkbox"/>
<b>Section 5. Contracts</b>			
<b>Section 5(a). Required Banner Clauses (as applicable)</b>			
Clause 23 – Fed. Grant Funded Purchases (all purchases):	Y <input type="checkbox"/> N <input type="checkbox"/>	Clause 29 - Contract Work Hours & Safety Standards (laborers over \$100,000):	Y <input type="checkbox"/> NA <input type="checkbox"/>
Clause 25 – Procurement of Recovered Materials (\$10,000):	Y <input type="checkbox"/> NA <input type="checkbox"/>	Clause 30 - Clean Air and Federal Water Pollution Control (\$150,000):	Y <input type="checkbox"/> NA <input type="checkbox"/>
Clause 26 – Termination (\$10,000):	Y <input type="checkbox"/> NA <input type="checkbox"/>	Clause 31 – Equal Employment Opp. (construction):	Y <input type="checkbox"/> NA <input type="checkbox"/>
Clause 27 – Remedies (\$150,000):	Y <input type="checkbox"/> NA <input type="checkbox"/>	Clause 32 – Davis Bacon & Copeland (construction over \$2,000):	Y <input type="checkbox"/> NA <input type="checkbox"/>
Clause 28 - Byrd Anti-Lobbying (\$100,000):	Y <input type="checkbox"/> NA <input type="checkbox"/>	Clause 33 - Rights to Inventions (developmental contracts):	Y <input type="checkbox"/> NA <input type="checkbox"/>
<b>Section 5(b). Change Orders Only – Complete §5(d)</b>			NA <input type="checkbox"/>
Cardinal Change (major change to SOW):	Y <input type="checkbox"/> N <input type="checkbox"/>	Total exceeds \$50,000 / 15% (up to \$150,000):	Y <input type="checkbox"/> N <input type="checkbox"/>
<b>Section 5(c). Time &amp; Materials Contracts Only</b>			NA <input type="checkbox"/>
Determination that other contract types are unsuitable:			
Will there be a high degree of oversight?	Y <input type="checkbox"/> N <input type="checkbox"/>	Ceiling price included in the contract:	Y <input type="checkbox"/> N <input type="checkbox"/>
Clause indicating that the contractor exceeds the ceiling price at his/her own risk included:			Y <input type="checkbox"/> N <input type="checkbox"/>
<b>Section 5(d) Noncompetitive Proposals Only</b>			NA <input type="checkbox"/>
<input type="checkbox"/> Sole Source <input type="checkbox"/> Emergency/Exigency <input type="checkbox"/> Competition Inadequate <input type="checkbox"/> Change Order			
Justification for contract type:	Click here to enter text.		
Approval from FEMA obtained:	Y <input type="checkbox"/> N <input type="checkbox"/>	Profit negotiated as a separate element:	Y <input type="checkbox"/> N <input type="checkbox"/>
<b>Section 6. Procurement File Attachments (as applicable)</b>			
<b>Section 6(a). Purchase Order File</b>			
1) Purchase Order and Requisition:	Y <input type="checkbox"/> N <input type="checkbox"/>	4) Vendor quote/offer	Y <input type="checkbox"/> N <input type="checkbox"/>
2) Executive Summary:	Y <input type="checkbox"/> N <input type="checkbox"/>	5) Independent Cost Estimate:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
3) SAM.gov record:	Y <input type="checkbox"/> N <input type="checkbox"/>	6) Analysis of Lease vs. Purchase Options:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
<b>Section 6(b). Solicitation Folder - Small and Formal Purchases (over \$10,000)</b>			NA <input type="checkbox"/>
<b>Left</b>		<b>Right</b>	
Independent cost/price estimate:	Y <input type="checkbox"/> N <input type="checkbox"/>	Solicitation, addenda, all published docs:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
Cost/Price analysis for Items > \$50,000:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	All vendor quotes or offers:	Y <input type="checkbox"/> N <input type="checkbox"/>
Analysis of Lease vs. Purchase Options:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	Record of protests or disputes:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
Planning/pre-solicitation documents:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	Notice to unsuccessful offerors:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
Vendors solicited (note the SMWBEs):	Y <input type="checkbox"/> N <input type="checkbox"/>	Notice of award:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
FEMA approval for no competition:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>	Bond, insurance and lobbying documents	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>
Executive Summary	Y <input type="checkbox"/> N <input type="checkbox"/>	Notice to proceed:	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/>