

MIDAESS OCI MITIGATION PLAN REVIEW CHECKLIST

Contractor:	Contract/Solicitation Number:
MiDAESS Functional Capability Group:	
Date of OCI Mitigation Plan:	
Instructions for reviewer: Indicate in which line or page of the mitigation plan the contractor has addressed the items listed below. If not addressed, explain in the comments section below (or in an attachment) whether the omission is acceptable or whether the Contracting Officer should require a revision to the mitigation plan. You may take into consideration that small business concerns are more likely to have less comprehensive corporate procedures for managing OCI issues.	
	Page/Line
1.0 General Considerations	
1.1 Clear statement of corporate understanding of and commitment to comply with the OCI clause and MDA's OCI Policy Statement for this acquisition.	
1.2 Clear statement that the Plan discloses all relevant information regarding any actual or potential OCI, which may result in a conflict.	
1.3 Clear statement of corporate commitment to obtain written concurrence from the Contracting Officer before participating in other MDA-funded contracts.	
1.4 Plan requires Contracting Officer notification of the contractor's intent to acquire other contractors doing business with the Agency or of the contractor being acquired by another company.	
2.0 Definitions	
2.1 Definitions of all terms and acronyms used.	
3.0. Description of the OCI Situation	
3.1 Description of the actual or potential OCI situation, with a detailed explanation of any factors placing the contractor in an OCI situation.	
3.2 Description of actual or potential OCI issues regarding subcontracts or teaming, if applicable.	
3.3 Plan addresses potential impact upon quality of performance caused by a team member's inability to perform due to any actual or potential OCIs.	
3.4 Documentation of the business case for any requested waivers.	
3.5 Plan provides clear statement acknowledging the contractor's continuing obligation (per the OCI clause) to fully disclose any new actual or potential OCIs during contract performance.	
3.5.1 Plan requires Contracting Officer notification upon learning of any actual or potential conflict due to the company's intention to bid as a prime contractor or a subcontractor on a solicitation.	
3.6 Detailed description of the approach to be used to mitigate, neutralize, or avoid actual and potential OCI situations.	
3.7 Description of affiliates or other business relationships is clear and, if appropriate, depicted in organizational charts.	
3.8 Plan is signed by a senior corporate official with authority to bind the company. The plan must state that the person signing it has authority to bind the company.	
4.0 Management of the Mitigation Plan	
4.1 Plan identifies individual responsible for oversight and administration of the plan.	
4.2 Documentation is maintained and easily available for review by the Contracting Officer and auditor.	
4.3 Company processes are documented and in place to effectively execute the Plan.	
4.3.1 Written corporate operating procedures are in place for management of proprietary and nonpublic information and document control. If not, the plan explains why.	
4.3.2 Written corporate operating procedures are in place for management of subcontractors and other vendors requiring access to OCI-related materials. If not, the plan explains why.	
4.3.3 Plan includes copies of referenced corporate policies and plans as attachments.	
4.4 Plan identifies mitigation tools and describes how the contractor will implement them.	

MIDAESS OCI MITIGATION PLAN REVIEW CHECKLIST

	Page/Line
4.4.1 Plan describes how the contractor will use physical performance separation as an OCI mitigation tool, both within the organization and between team members, if applicable.	
4.4.2 Data separation and protection processes are in place.	
4.4.2.1 Contractor will establish separate computers and networks with adequate firewalls to preclude access of nonpublic or proprietary data by individuals from outside program/project channels.	
4.5 Contractor requires all employees supporting the contract with OCI considerations to read the Plan in its entirety and sign non-disclosure agreements (NDA) or similar legal instruments to acknowledge their OCI mitigation responsibilities.	
4.6 Plan states that the contractor will repeat the NDA signature process with each significant Plan update.	
4.7 Plan describes document marking and control procedures to protect nonpublic and proprietary information.	
4.8 Storage containers and procedures are in place for safeguarding nonpublic and proprietary information.	
5.0 Management of Personnel	
5.1 Plan identifies personnel policies to mitigate rotation of personnel on new tasks to avoid biased judgment and the inadvertent flow of nonpublic or proprietary information.	
5.2 Plan addresses personal and financial conflicts of interest in a manner that maintains satisfactory standards for employee conduct and integrity.	
5.3 Plan states that the restrictions in the nondisclosure agreements for disclosure of nonpublic and proprietary information are indefinite unless the Contracting Officer otherwise approves a specific exception in writing.	
5.4 Plan states that contractor provides OCI training and awareness briefings no later than upon award of a task order, and every time the contractor assigns new personnel to the contract.	
5.5 Plan provides for obtaining consent from other contractors prior to obtaining access to their proprietary information for legitimate contract purposes.	
6.0 OCI Mitigation Plan Reviews	
6.1 Plan provides for corporate oversight and audit of OCI procedures.	
6.2 Plan specifies the frequency of the corporate audits.	
6.3 Plan requires annual review and verification of compliance with the terms of the Plan, signed by a senior corporate official.	
Comments:	
Mitigation Plan reviewed by:	Date: