

DEPARTMENT OF DEFENSE
HEADQUARTERS, UNITED STATES MILITARY ENTRANCE PROCESSING COMMAND
2834 GREEN BAY ROAD, NORTH CHICAGO, ILLINOIS 60064-3091

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No. 715-6

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Procurement
Acquisition Planning/Contract Management

FOR THE COMMANDER:

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Deputy Commander/Chief of Staff

DISTRIBUTION:

Unlimited. This Regulation is approved for public release.

Executive Summary. This regulation prescribes procedures for acquisition planning and contract management within the United States Military Entrance Processing Command (USMEPCOM).

Applicability. This regulation applies to all elements of USMEPCOM with a responsibility to satisfy a supply or service requirement. Services embedded in supply or production contracts are subject to this regulation. Refer to Army Regulation (AR) 70-13, Management and Oversight of Service Acquisitions for excluded services, or services that may require additional reviews and approvals.

Supplementation. Supplementation of this regulation is prohibited without prior approval from Headquarters, United States Military Entrance Processing Command (HQ USMEPCOM), ATTN: J-4/MEFA, 2834 Green Bay Road, North Chicago, IL 60064-3091.

Suggested Improvements. Users are encouraged to send comments and suggested improvements on Department of the Army (DA) Form 2028 (Recommended Changes to Publications and Blank Forms) or by memorandum to HQ USMEPCOM, ATTN: J-4/MEFA, 2834 Green Bay Road, North Chicago, IL 60064-3091.

Internal Control Process. This regulation contains internal control provisions and provides an Internal Controls Evaluation Checklist for Contracting Officer's Representative management, in Appendix B, for use in conducting internal controls.

*This regulation supersedes USMEPCOM Regulation 715-6, February 1, 2015.

This regulation contains a number of major revisions and must be reviewed in its entirety to have a clear understanding of all revisions.

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Chapter 1 General

1-1. Purpose

This regulation establishes policies and procedures for USMEPCOM to meet the acquisition planning and contract management responsibilities specified in the Federal Acquisition Regulation (FAR), Defense Federal Acquisition Regulation Supplement (DFARS), Army Federal Acquisition Regulation Supplement (AFARS), and Army Regulation (AR) 70-13, Management and Oversight of Service Acquisitions. It also establishes an internal control plan for Contracting Officer's Representative (COR) management. The focus on acquisition planning and contract management defined in this regulation assists in validating USMEPCOM contract requirements and enhances management controls over the acquisition process. The framework within this regulation will assist Directorates, Special Staff Offices, Sectors, Battalions, and MEPS with meeting their requirements for supplies and services in an efficient, economical, and timely manner.

a. This regulation defines the process to contract for supplies and services. A contract is necessary when requirements exceed micro-purchase threshold levels for supplies and services. A 12-month period, and the estimated cost of the known requirement, will be used to determine whether a contract is required. A contract is required when the estimated cost of the requirement exceeds the micro-purchase limit of \$2K for minor construction project, \$2.5K for services, or \$5K for supplies. However, the Government Purchase Card (GPC) purchase for utilities, repair, maintenance, and/or installation, the single-purchase limit is \$5K in accordance with the exemption from the Service Contract Act. The Command also has a \$25K credit card capability to purchase requirements in situations where they are available through government awarded contracts. That is General Services Administration contract vehicles, Veteran's Administration contract vehicles, or Blanket Purchase Agreements to name a few.

b. Splitting requirements into smaller parts to keep the known requirement under the micro-purchase threshold to avoid formal contracting procedures is prohibited.

1-2. References

Guidance within this regulation directs users to references within the [FAR](#), DFARS, AFARS, DoD regulations/guides, and ARs, which govern acquisition processes.

a. The three primary references used in conjunction with this regulation are AR 70-13, The Department of Defense (DoD) Guidebook for the Acquisition of Services, and the Defense Acquisition Guidebook.

(1) AR 70-13, Management and Oversight of Service Acquisitions: This regulation outlines the management structure, prescribes policies and responsibilities at various levels with respect to service acquisitions. It describes pre-award activities and documents support service contract acquisitions from advance planning and Request for Service Contract Approval (RSCA) to contract award.

(2) DoD Guidebook for the Acquisition of Services: This guidebook prescribes a disciplined seven-step process for a Program/Project Manager (PM), Action Officer, (hereafter referred to as leads), or acquisition team to follow to complete the acquisition process. Acquisition teams must be methodical in addressing each step in the requirements development process. Adequate planning is necessary to properly develop, prepare, and process Acquisition Requirements Packages (ARP) in a timely manner. The Service Acquisition Mall website is located at <https://www.dau.edu/tools/Documents/SAM/home.html>. It provides good audiovisual instruction on each step in the process.

[TOC](#)

(3) Defense Acquisition Guidebook: DoD uses this guide to acquire major systems, programs, and products such as Major Automated Information Systems (MAIS). DoD Directive 5000.01, The Defense Acquisition System, provides the policies and procedures that govern defense acquisition. [DoD Instruction 5000.02, Operation of the Defense Acquisition System](#) establishes the management framework that implements these policies and procedures.

b. To obtain procurement guidance for the requirements below, refer to their respective regulations or source as noted:

(1) Government Purchase Card (GPC): For requirements at or below the micro-purchase thresholds of \$2.5K for services and \$5K for supplies regardless of the business size or minor construction (\$2K), refer to the Department of the Army (DA) GPC Operating Procedures and USMEPCOM Regulation (UMR) 700-3, Consolidated Logistics Support

(2) Meals, Lodging, Transportation, and Noon Meals: UMR 715-4, Applicant Meals and Lodging Program.

(3) Facilities Engineering: USMEPCOM Pamphlet (UMP) 420-3-1, USMEPCOM Facilities Relocation.

(4) Major Construction: Contact the J-4/Facilities and Acquisition Directorate for reimbursable work order authorization procurement support.

(5) Information Mission Element Need Statement (IMENS) Process: UMR 25-1, Managing Information Technology Resources.

c. Additional References are listed in Appendix A.

1-3. Abbreviations and Terms

Abbreviations and terms used in this regulation are listed in Appendix C.

1-4. Responsibilities

The acquisition management and line of business responsibility for contracting and acquisitions resides with J-4/Facilities and Acquisitions Directorate (J-4/MEFA). Acquisition planning and management oversight of contracts requires accountability at all levels. Organizational structure and functional responsibilities assigned to elements within the command determine acquisition roles and responsibilities. USMEPCOM has the responsibility to perform requiring activity tasks, which include Resource Management (RM), Manpower, and Legal functions as prescribed in AR 70-13, Chapter 2. The primary roles and responsibilities within the command to contract for supplies and services are as follows:

a. Commander, USMEPCOM: The Commander approves strategic and operational plans designed to meet mission objectives. The acquisition of supplies and services by contract is a critical support function in achieving those objectives. Acquisition planning, requirements development, acquisition requirements processing, service contract management, and contract surveillance are key elements that have a profound effect on the level of success. A coordinated team approach is also essential to creating the synergy necessary to maximize the use of multifunctional expertise to achieve the desired results. The Commander will set the tone to meet organizational needs through the following actions:

(1) Establish a command climate that reflects an awareness of the importance of senior leadership's personal involvement in the stewardship of contract and fiscal resources and the integrity of the

procurement process.

(2) Establish procurement procedures that foster an efficient and economical acquisition environment compliant with applicable DoD and Army regulations.

(3) Mandate the use of a Multifunctional Integrated Process Team (MFIPT) approach to develop service requirements with a total contract value in excess of \$1M (cost of base and all option years).

(4) Complete acquisition planning prior to the beginning of each Fiscal Year (FY).

(5) Chairperson of Commander Decision Boards (CDB) to make timely decisions about contract requirements to effectively direct budget execution.

(6) Meet contract requirements in the most effective manner by exercising ethical judgment and sound decision-making.

(7) Ensure compliance with federal laws and statutes governing contract administration. Administrative Contracting Officers (ACO) ultimately determine(s) the best way to resolve contract problems, after coordination with the command through CORs. CORs will document and report unresolved problems as required. They cannot take any action outside of their delegated authority.

(8) Review COR appointments with senior leaders (Directors, Subordinate Commanders and Special Staff Officers) to ensure employees are not monitoring more contracts than can be properly handled. Compliance checks will include workload assessment reviews and internal control checks during inspection.

(9) Coordinate with the Director of Accessions Policy, to review and approve Request for Service Contract Approval (RSCA) forms for service requirements less than \$100K (AFARS Subpart 5107.503(e)).

(10) Ensure the designated Army G-1, General Officer (GO), or Senior Executive Services (SES) civilian reviews and approves RSCA requests of \$100K or above for service requirements. USMEPCOM Commander or Chief of Staff will complete the initial review and approval of the Army G-1, Contract Action Justification (CAJ) forms and sign them before they are sent to Army-G-1.

(11) Commission a comprehensive, independent program evaluation of the Command's acquisition and contracting lines of business no less than once every five years.

b. Senior leaders will ensure they have adequate resources to include, but not limited to, personnel to lead acquisition efforts and funds appropriate to procure the required supplies or services. They will also perform the following responsibilities:

(1) Develop a plan (in accordance with (IAW) Paragraph 3-2) to forecast contract requirements to support acquisition planning during the fourth quarter of each FY.

(2) Provide a Point of Contact (POC) to participate in Contract Review Working Group (CRWG) meetings as required. Report the status of contract actions to oversee contract management and COR resources as required (IAW Paragraph 3-3).

(3) Plan acquisitions to ensure supplies and services are available when required.

(4) Sign (or ensure designated representatives' sign) Purchase Request (PR) memorandums to approve funds expenditures from their spend plans at the HQ level. At the Sector level and below, designated representatives will coordinate with J-8/Resource Management Directorate, Field Support Branch (J-8/MERM-BDF) on the status of funds for contract requirements. J-8/MERM-BDF will prepare a Standard Procurement System Data Sheet and send the request to J-4/MEFA-CD. A bona-fide need must exist for requirements in the current FY prior to 30 September. Subject to the Availability of Funds (SAF) determinations will be made by J-8/MERM-BD, as appropriate.

(5) Ensure immediate supervisors coordinate with designated CORs to submit nomination packages in Contracting Officer Representative Tracking (CORT) Tool for service requirements, as necessary.

(6) Perform a workload assessment of available human resources with first line supervisors to ensure balance between an employee's workload and other duties as assigned. Factors such as complexity, total dollar value, relative knowledge of the service, on-site support, and available time will be considered when nominating a COR, Alternate COR (ACOR), or surveillance support personnel. The USMEPCOM Commander may review an element's methodology for COR nominations at any time.

c. Command Elements (Directorates, Special Staff Offices, Sectors, Battalions, and MEPS hereafter referred as elements) with a requirement that requires a contract have the following responsibilities:

(1) Identify and define their contract requirements and provide technical support to other elements when necessary by participating on acquisition teams or reviewing documentation to provide feedback.

(2) Designate leads and CORs to perform technical documentation and contract surveillance responsibilities for services from requirements development through contract closeout.

(3) Determine the size and membership of the acquisition team necessary to shape requirements. After considering the nature, complexity, and impact the resulting contract may have on other elements and/or external partners. Elements will request participation from other elements responsible for significant aspects of the acquisition as necessary. A MFIPT approach is required to develop service requirements with a total contract value in excess of \$1M (cost of base and all option years).

(4) Develop Performance Work Statement (PWS) and Quality Assurance Surveillance Plans (QASP) that accurately reflect requirements and measureable performance standards and metrics to monitor contractor performance.

(5) A summary of actions in the process may include the following:

(a) Documenting market research for the requirement.

(b) Preparing the PWS, Statement of Objectives (SOO) or Statement of Work (SOW), Performance Requirements Summary (PRS) (if applicable), QASP, and the Independent Government Cost Estimate (IGCE).

(c) Working with J-4/MEFA-CD, and supporting contracting office personnel to finalize ARP documents as required.

(d) If a formal source selection evaluation is part of the acquisition strategy, technical representatives may be designated to serve on a Source Selection Evaluation Board (SSEB).

d. Contracting Officer's Representative: CORs serve as the "eyes and ears" of the Contracting Officer (KO)/Administrative Contracting Officer (ACO) by performing the duties outlined in their appointment letter. They are responsible for the technical administration of their contracts and they represent the government for the technical aspects of the work. CORs are responsible for validation of contractor invoices, receiving reports in Wide Area Workflow (WAWF), and Contractor Manpower Reporting Application (CMRA) reporting. The responsible element for the service contract requirement will nominate a COR to perform contract surveillance duties when requested by the supporting contracting office (e.g. Mission and Installation Contracting Command, Fort Knox (MICC-FT. Knox). Other contracting offices will require CORs for complex service requirements in excess of the Simplified Acquisition Threshold (SAT) of \$250K, or as determined by the procuring KO. When an element receives service through a base contract from contracting agencies on military installations it will provide the primary COR's contact information to J-4/MEFA-CD. The Commander of the element will designate an on-site POC IAW Paragraph f, to monitor service performance. An example of this type of contract arrangement is custodial services.

(1) The nominated COR must complete training requirements and initiate the self-nomination process in CORT before contract award. The COR's supervisor will receive a notice from the procuring KO to access CORT and certify the COR's training. Elements will provide an electronic copy of COR nomination letters and training certificates for J-4/MEFA-CD to submit to Army, G-1 with RSCA packages.

(2) AR 70-13, Chapter 4, describes various aspects of the COR responsibility.

(a) J-4/MEFA-CD will perform the COR and acceptor role in WAWF for service and supply contracts, under the SAT. This will be a coordinated effort between J-4/MEFA-CD and the element's POC.

(b) Elements will identify a POC to verify the receipt of services and supplies when received for transactions under the SAT. The receipt of supply items will be coordinated with J-4/MEFA- LD. Elements will provide a COR for all other service contract requirements, to include supply and installation services, when the service is incidental to installation, as necessary.

e. Alternate Contracting Officer's Representative (ACOR): A KO may also require an ACOR, in addition to a COR on a contract. ACORs will only perform COR duties in the absence of the COR. Acceptable absences are leave, sick leave, temporary duty, or off-site training in another location. COR duties cannot be delegated to anyone other than the ACOR appointed for the contract by the KO. ACORs are also required to use the self-nomination process described in Paragraph 1-4d (1).

f. Additional Surveillance Personnel: Additional personnel may be necessary to support CORs by performing on-site contract surveillance. This support may be necessary at any level within the command. AR 70-13, Paragraph 2-6, states the KO may appoint an individual to assist the COR in monitoring a contractor's performance. The command will designate additional surveillance support personnel as necessary to assist CORs that monitor centralized programs at the HQ's level with on-site monitoring and evaluation of contractors' performance. Directors and subordinate Commanders will designate subordinate personnel, in writing, that support on-site contract surveillance. When an element receives service through a base contract with contracting agencies on military installations, the Commander of the element will designate an on-site surveillance person in writing to monitor contractor performance. An example of this type of contract arrangement is custodial services. If additional personnel are formally appointed by a KO, they must complete the same training as the COR and be appointed in the CORT system.

g. MEPS POCs: Personnel identified as MEPS POCs are additional surveillance personnel. Guidance on the appointment level and assigned tasks will be taken from the responsible KO/ACO.

h. J-8/Resource Management Directorate (J-8/MERM): J-8/MERM supports the acquisition process in many ways. J-8/MERM, Budget Division (J-8/MERM-BD) determines the appropriate use and availability of funds for acquisition requirements. This includes determining whether it is appropriate to submit a requirement for processing SAF. Some of their other responsibilities in the process include:

(1) Military Interdepartmental Purchase Requests (MIPR) certification of funds and processing.

(2) Reporting service contract data to DoD and Headquarters Department of the Army (HQDA) to meet annual reporting requirements.

(3) J-8/MERM-BD will track requirements funded by MIPRs in the General Funds Enterprise Business System (GFESB) that result in a contract. This applies to all service contract requirements sent to a contracting office other than the Mission Installation Contracting Command, Ft. Knox (MICC-FT Knox) for processing.

(4) J-8/MERM, Field Support Branch (J-8/MERM-BDF) supports the Sector level, and below, with determining the status of funds and submitting Standard Procurement System Data Sheets to J-4/MEFA-CD for approved contract requirements.

(5) J-8/MERM, Headquarters Support Branch (J-8/MERM-BDH) supports the Headquarters level. They prepare the Management Decision Evaluation Package (MDEP), for the USMEPCOM Commander to prioritize the Command's Contracts Portfolio List for the next FY. J-4/MEFA-CD will use the contract requirements information collected during this process to report to Army, G-1, MICC-Fort Knox, and Health Readiness Contracting Office (HRCO) as required.

i. J-6/Information Technology Directorate (J-6/MEIT): J-6/MEIT is responsible for the review and approval of IT requirements, and when appropriate coordinates with J-staff through the USMEPCOM governance process. This includes obtaining Investment Review Board (IRB), Information Technology Approval System (ITAS), and other approvals through the appropriate authority in a timely manner. J-6/MEIT, will respond to follow-up questions from Technology Business Architecture and Integration Directorate (TBAI) representatives. J-6/MEIT will adhere to the IT acquisition strategies identified in [AR 25-1, Army Information Technology, Chapters 3 and 4](#), and Army Information Technology Implementation Instructions [DA PAM 25-1-1, Army Information Technology Implementation Instructions, Chapters 2-7](#), and the requirement in [AFARS 5139.101](#) to use Computer Hardware, Enterprise Software and Solutions (CHESS) contract vehicles to leverage DoD buying power.

j. J-5/Strategic Planning & Transformation Directorate (J-5/MEPT): J-5/MEPT assists with the preparation and submission of documentation, which underpins Defense Business Systems (DBS) modernization efforts.

k. J-4/MEFA is USMEPCOM's chief component and business advisor for Acquisition, Logistics and Technology (AL&T) policies, procedures and methodologies. It is the line of business owner for contract acquisitions. The J-4 Director is responsible for advising the USMEPCOM Commander and coordinating responses to higher HQs as appropriate on all USMEPCOM AL&T matters, with the exception of DBS. The J-4 Deputy Director chairs the CRWG to assess whether contract requirements are on time, within budget, and within Procurement Administrative Lead Times (PALT) of supporting contracting agencies

and report at risk contract actions to the Senior Leaders Council (SLC) for the CDB. J-4/MEFA is the liaison with executive level management of supporting contracting agencies.

1. J-4/MEFA, Contracting Division (J-4/MEFA-CD) serves as the resident expert for the USMEPCOM Commander in the area of contracting. J-4/MEFA-CD initiates, develops and recommends contracting policies, procedures, and guidance for the command, as well as oversees program execution. J-4/MEFA-CD keeps the J-4 Director and Deputy Director informed of any issues or problems and monitors the status of contract requirements. This office will also develop and provide customer centric acquisition training. J-4/MEFA-CD reviews contract requirements for compliance with regulatory guidance, and provides acquisition advice to command elements. Other responsibilities of this office include the following:

- (1) Conduct liaison activity with supporting contracting offices.
- (2) Assist element leads with their preparation of requirement documents.
- (3) Ensure the CMRA is included in every PWS IAW Army regulations.
- (4) Receive reviews and submits ARPs.
- (5) Submit RSCA packages for review and approval and tracks the status of packages submitted.
- (6) Oversee contract management for reporting after contract award.
- (7) Perform GFEBs spending chain functions to include PR entry for contract actions.
- (8) Approve general administrative access to the DoD Procurement Integrated Enterprise Environment (PIEE) system for the command.
- (9) Coordinate and submit responses to contract data calls from Army, G-1 and other contracting agencies as required.
- (10) Provide contract status reports for the CRWG and CDB as required.
- (11) Prepare and distribute the annual Internal Tasker for Directorates, Special Staff Offices, and Sectors to submit a spreadsheet that meets the objectives of Paragraph 3-2.

m. J-4/MEFA, Logistics Division (J-4/MEFA-LD) collaborates with J-4/MEFA-CD to review PR memorandums and PWS documents to determine, if non-expendable property is part of the requirement. The Property Book Officer assigns a non-expendable document number for property that requires property book accounting. If property book items are a part of the requirement, J-4/MEFA-LD receives a GFEBs PR through the workflow process to complete L3 approval in the system. The receipt and inspection of supplies and equipment procured by contract is a function of J-4/MEFA-LD, prior to invoice acceptance by J-4/MEFA-CD.

n. J-1/Human Resources Directorate, Programs Division (J-1/MEHR-PR) Antiterrorism Officer (ATO), or Operations Security (OPSEC) Officer will conduct an antiterrorism review for all requirements, identified through the web link in Paragraph 4-4a(7)(c), those under GPC micro-purchase thresholds, and supply requirements up to the SAT. ATO and OPSEC Officers will review PWS documents to ensure they contain security provisions appropriate for the requirement and prepare Antiterrorism/OPSEC Review

cover sheets complete with signatures and dates to document their reviews.

o. J-1/MEHR, Services Division, Manpower Branch (J-1/MEHR-SD-MP) will evaluate whether the acquisition of services through contract is the appropriate method to accomplish work; support validation of requirements in scope and size; and document the Table of Distribution and Allowances based on CMRA; ensure the command complies with DoD workforce policies; and track and report Contract Manpower Equivalents (CME) to meet the annual reporting requirement. J-1/MEHR-SD-MP will review requirements to ensure that inherently governmental functions (FAR Subpart 7.5) or closely associated inherently governmental functions (FAR Section 7.503) are not included in service requirements. This includes the responsibility to perform workload assessments to verify the need for contract services, if necessary.

p. The Staff Judge Advocate (MEJA) will provide legal counsel in reference to the acquisition process as necessary. This includes, but is not limited to, the following:

(1) Serve as the USMEPCOM Commander's principal advisor on the legality of acquisition efforts.

(2) Review service contract requirements subject to RSCA IAW [AFARS Subpart 5107.503\(e\)](#), at or in excess of \$2,500.00 for compliance with HQDA policy regarding inherently governmental functions. Document and sign the legal review required by Army G-1 to ensure these service requirements do not contain unauthorized personal services or work that is inherently governmental or closely associated with inherently governmental functions.

(3) The Legal Office for the supporting contracting organization has primary responsibility for reviewing contract related funding and acquisition documentation for completeness, coherence, and compliance with applicable acquisition and fiscal law, regulation, and policy. MEJA will provide advice and assistance as needed and requested.

(4) Serve as a member of the CRWG.

q. Senior Leaders Council (SLC). The Chief of Staff will review contract issues and determine if they should be elevated to the USMEPCOM Commander's level for a decision.

Chapter 2

Acquisition Planning Regulatory Requirements

2-1. Federal Acquisition Regulation, Acquisition Planning Policy

[FAR, Subpart 7.102](#) requires agencies to perform acquisition planning and conduct market research (IAW [FAR, Part 10](#)) for all acquisitions in order to promote and provide for:

- a. The acquisition of commercial items to meet agency needs, or to determine the extent to which they are not available and non-developmental items to the maximum extent practical.
- b. Full and open competition pursuant to [FAR, Part 6](#) or, when full and open competition is not required IAW Part 6, to obtain competition to the maximum extent practicable, with due regard to the nature of the supplies or services to be acquired.
- c. Selection of appropriate contract type in accordance with [FAR, Part 16](#), and appropriate consideration of the use of existing contracts to fulfill the requirement before awarding new contracts.

2-2. Army Federal Acquisition Regulation Supplement, Acquisition Strategy Policy

[Army Federal Acquisition Regulation Supplement \(AFARS\) 5137-590-2](#) identifies the shared responsibility of service acquisition oversight between the requiring activity, (USMEPCOM elements), supporting contracting offices, and the Assistant Secretary of the Army (ASA), Acquisition Logistics and Technology (AL&T). An acquisition strategy is required for all acquisition of services, except for those specifically excluded by the AFARS reference. Personnel in supporting contracting offices coordinate all document reviews and approvals with higher-level approval authorities.

- a. Refer to [AFARS 5137.590-4](#) to find the review thresholds for non-IT and IT services.
- b. Refer to [AFARS 5117.7802](#) to find policy on the proper use of non-DoD Contracts.
- c. Refer to [AFARS 5137.590-7](#) to learn about the content of an acquisition strategy.

2-3. Defense Federal Acquisition Regulation Supplement, Acquisition Plan Policy

DFARS 207.1 establishes policy for acquisition plans.

- a. Refer to DFARS 207.105, FAR Subpart 7.105, and DFARS, Procedures Guidance Instruction (PGI) 207.105 to learn about the contents of a written acquisition plan.
- b. Refer to DFARS 207.106 to learn about the additional requirements for major systems.

Chapter 3 Acquisition Planning Development

3-1. Acquisition Planning

Acquisition planning is the process by which the efforts of all personnel responsible for an acquisition coordinate and integrate through a comprehensive plan to fulfill agency needs in a timely manner at a reasonable cost. This process should begin as soon as elements identify the need; preferably well in advance of the FY in which order placement or contract award is necessary. This regulation serves as the overall strategy for managing acquisitions.

a. [AR 70-13, Paragraph 3-1](#), provides guidance on how to achieve this end. Effective advance planning reduces the need for urgent/emergency acquisition efforts that usually result in higher costs.

b. A focused effort on planning to meet PALTs for MICC FT. Knox, Medical Command (MEDCOM), Health Readiness Contracting Office (HRCO), and other supporting contracting agencies will have a positive effect on timeliness and reduce the need to take the actions below:

- (1) Offload requirements to other contracting agencies.
- (2) Pay for fee-for-service contracting support.

c. Acquisition is a process that often requires reviews and approvals by higher echelons. These echelons establish the minimum time needed to review, approve, and return required documents. Therefore, it is incumbent on senior leaders to be diligent in forecasting and working requirements, so that requests for expeditious processing are few.

3-2. Forecast Contract Requirements (Stage 1)

J-4/MEFA-CD will forecast contract requirements for the next FY through a collaborative effort with the Directorates, Special Staff Offices, Sectors, and J-8/MERM-BD during the fourth quarter of the FY. J-4/MEFA-CD will work through the designated CRWG members and their leadership to request a review of recurring contract needs and to identify the anticipated need for new contract requirements. J-4/MEFA-CD will consolidate a list into a Command 1 to N Contracts List (spreadsheet). This list will only contain requirements that will likely be funded within applicable FY. J-8/MERM-BD will document the USMEPCOM Commander's final priority of requirements within the command. Requirements owner will contact J-8 for guidance on unfunded requirements. J-4 will coordinate a face-to-face or telephonic acquisition strategy meeting with the various contracting support organizations to confirm the list as required.

a. Directors, Special Staff Officers, and Sectors, will establish a process and/or policy to meet this annual requirement. The final product will be a spreadsheet by Directorate, Special Staff Office or Sector that reflects recurring and new contract requirements for all subordinate commands/elements. J-4/MEFA-CD will ensure the internal tasker coordination effort meets the following objectives:

(1) Verify the need to exercise available option years on recurring service contracts or to re-compete the requirement, annual renewal of services (e.g. software & hardware maintenance), one-year contract services (e.g. gym services), and other types of service contracts in the next FY.

(2) Provide information on new contract requirements that exceed \$2.5K for services, and \$5K for supplies when purchased from small business sources. Provide a brief description of the requirement, required delivery dates for supplies or equipment or contract start dates for services, an estimated cost, and

the duration in years and/or months for services.

(3) PMs and CORs at the HQ's level will report the status of their centrally managed service contracts within their spreadsheet for review and concurrence by their Directorates/Special Staff Officers/Sectors (e.g. the J-7/MEMD spreadsheet would include J-7 centrally managed service contracts in Paragraph b).

b. Exceptions: Special Staff Offices and Sectors will not report the contract services below in their spreadsheets.

- (1) Medical Consults – J-7/Medical Plans & Policy COR
- (2) Regulated Medical Waste – J-4 COR
- (3) Meals Lodging & Transportation – J-4 PM
- (4) Noon Meals – J-4 PM
- (5) Telephone Services – J-6 COR

Note: Do not report local transportation agreements or centrally billed accounts. They are not contracts.

3-3. Contract Review Working Group

The J-4 Deputy Director is the chair of the CRWGs. Senior leaders, or their designated POCs, with contracts actions at the Directorate, Special Staff Office, or Sector levels will review the status of contracts under their authority down to the lowest level prior to the scheduled CRWGs. The responsible HQ's program management Directorate is responsible for the status of contracts identified in 'Exceptions' in Paragraph 3-2b. The CRWG convenes bi-weekly with MICC FT. Knox and monthly with HRCO to discuss the status of contract actions.

a. The CRWG will give senior leaders the information they need to oversee the status of their contracts and manage COR resources. This will help them perform the following contract management responsibilities:

- (1) Prepare to report the status of their contract requirements
- (2) Monitor contract execution and satisfaction with contractor performance
- (3) Identify service contracts pending expiration in the next FY
- (4) Determine whether services are still required
- (5) Ensure new and follow-on contract efforts are planned and/or underway
- (6) Establish the need to notify CORs of the intent to exercise available options or provide documentation to support the rationale for not exercising them. CORs will consult with the appropriate KO/ACO who will check the validity of the rationale with federal regulations. J-4/MEFA-CD is available to advise elements on this matter and participate in communications, if necessary to clarify understanding.
- (7) Identify the status of personnel performing service contract surveillance and nominate (CORs

or ACORs), or designate (MEPS POCS etc.) replacement personnel for those projected to leave in the next 90 days, to ensure there is no lapse in quality assurance monitoring.

(8) Ensure closeout actions begin when contracts are completed and no longer required

(9) Prepare to forecast contract requirements during the fourth quarter

(10) Senior leaders at the Directorate, Special Staff, and MEPS level have the responsibility to identify and define the need for contract requirements.

b. Senior leaders will ensure that the planning aspects below receive consideration in the decision making process:

(1) Ensure contract requirements are available on time, within budget, and within the PALT of the supporting contracting agency.

(2) Validate requirements

(a) Validate the work is necessary and not duplicated in other contracts

(b) Verify that insourcing was considered

c. Senior leaders or their designated representatives will be prepared to discuss the status and answer questions about their requirements. Elements will request acquisition team support in this forum. They should have a general idea of the subject matter and/or functional expertise they require to support the effort. J-4/MEFA-CD will submit a request for acquisition team support to the SLC for a response.

d. The CRWG will review the following:

(1) The status of USMEPCOM contracts

(2) Exercise of available option years on recurring service contract requirements:

(a) Leaders will notify CORs within 60 days of contract expiration.

(b) CORs will notify ACOs and initiate actions with J-8/MERM for funding and J-4/MEFA-CD for RSCA approval.

(3) Renewal of annual software and hardware, gym memberships, and other one-year requirements:

(a) Senior leaders notify COR or element POC within 60 days of contract expiration

(b) Honolulu MEPS deployment requirements 60 days prior to scheduled deployments

(c) CORs or element POCs will initiate actions with J-8/MERM and J-4/MEFA-CD

(4) New requirements:

(a) Performance start date for a service or required delivery date for a supply/product

(b) The complexity, estimated dollar value, and anticipated contract vehicle determines how much lead-time contracting agencies require to award a contract for new requirements. PALT times identifies the number of days from receipt of a complete ARP to the supporting contracting office to contract award. Published cut-off dates for PRs will be distributed each FY through internal information messages. For planning purposes, J-4/MEFA-CD will add the time estimated to complete internal reviews and approvals to estimate the acquisition processing time for the various types of acquisitions within the command.

(c) Contracting agencies do not operate by the same PALT schedule. CORs will make sure they are familiar with the schedule of their supporting contracting office to ensure actions are timely.

Note: Commanders, Directors, CORs, additional surveillance personnel, and employees must be careful not to engage in activity that causes contractors to believe that they have authority to enter into contracts or agreements on behalf of the government. Only warranted KOs within the limits of their authority can legally bind the government through a contract. USMEPCOM personnel do not have warrant authority.

3-4. Senior Leaders Council

J-4 leadership will elevate at risk requirements through the Senior Leaders Council (SLC). These and other issues will be submitted through the Governance Structure for a decision by the USMEPCOM Commander. The SLC convenes every two weeks or as determined. A chart of the structure is located at the end of this regulation.

3-5. Commander's Decision Board

The USMEPCOM Commander uses a Commander's Decision Board (CDB) to establish control over acquisition efforts to ensure the efficient use of funds. Decisions about acquisition efforts planned, pending, or projected are made in this forum to identify efficiencies, cost savings, and cost avoidance that ultimately improve the efficiency of operations. CDBs are called at the request of Commander or Deputy Commander.

3-6. Coordination (Stage 2)

J-4/MEFA-CD will submit the MDEP Contracts Portfolio List to Army G-1, MICC-FT. Knox, and other contracting agencies (as required) to initiate the coordination effort. This information exchange helps these agencies plan their workload. Contracting personnel work with element leads to determine the best acquisition strategy to meet requirements. Acquisition strategy plans with high estimated costs are subject to more scrutiny before approval. The Under Secretary of Defense Memorandum "[Implementation Directive for Better Buying Power 3.0](#)", emphasizes the importance of leveraging buying power to realize savings and increase innovation. DoD portfolio managers assist contracting agencies with the development of strategies and plans to acquire supplies and services. Contracting personnel are responsible for coordinating actions with small business specialists, as well as other offices involved in the acquisition process, and will advise USMEPCOM accordingly. Productive coordination has a direct effect on results. It is important to meet PALTs, so this type of coordination can take place.

3-7. Contracting Agency Support

MICC-FT. Knox provides primary contracting support to USMEPCOM. Some MEPS receive contract support from military installation contracting offices through Inter-service Support Agreements (ISSA); the extent of the support available varies by installation. MEDCOM, HRCO provides contracting support for major medical services, and a few other DoD and non-DoD agencies provide contracting support on a fee-for-service basis. Contracting offices use a MFIPT approach to acquisition planning.

- a. For internal control, J-4/MEFA-CD will vet all contract requirements, to include those supported

through ISSAs. J-4/MEFA-CD will contact supporting contracting agencies and coordinate with local command POCs for the requirement. At a minimum, J-4/MEFA-CD representatives and element leads will be POCs for ARPs. Designated POCs will receive all communications reference the status of their ARPs for visibility. This measure also ensures all parties receive a copy of contract awards.

b. MICC-FT. Knox is the first option to meet a majority of the command's contracting needs; it has offload approval authority for USMEPCOM contract requirements. The Director of Contracting at MICC FT. Knox must approve the offload of any contract requirements to agencies outside of DoD. Exceptions to using MICC-FT. Knox as the first option are for medical requirements supported by MEDCOM and contracting support available through approved ISSAs for MEPS located on or near military installations.

c. Supporting contracting offices review ARPs and conduct follow-up activities with element leads/POCs to refine documents. Contracting personnel guide them through step 5, (Acquisition Strategy), and step 6, (Execute Strategy) of the seven-step model in the [DoD Services Acquisition Guidebook](#) (see Paragraph I-1). This includes planning interactions with industry, proposal receipt, and source selection activities such as the evaluation method. The procuring KO makes an independent determination after reviewing all evaluations and ratings from the SSEB. Offeror debriefings, notice of contract award to successful offerors, and pre-orientation meetings are other activities that take place after contract award.

3-8. Timeliness

External and internal timelines and priority determinations affect ARP processing. Use the information below during the planning process:

a. J-4/MEFA-CD will distribute MICC-FT. Knox's PR submittal dates schedule and information for MEDCOM each FY through information messages. Historically, the submittal dates for ARPs have changed very little. Use information from the previous year for planning purposes in the next FY, until the new schedule is distributed.

b. Elements will meet PALT timelines to ensure contracting office personnel have adequate time to advise them on acquisition strategies and plans that may reduce costs and improve service quality.

(1) Develop and prepare requirements of the highest priority first with the earliest delivery date (supplies) or performance start date (services).

(2) Complex contract requirements may require a year to 18 months to develop, prepare, solicit, and award. An effort to re-compete a contract may also take a year to complete; therefore, it is important to work the requirement and track the acquisition team's progress by milestones.

(3) J-4/MEFA-CD will request milestone schedules for all requirements to track the status of requirements in the acquisition process.

c. SAF is a funding status that suggests there is a reasonable expectation that funds will become available during the FY to make purchases. Contracting offices routinely work these actions to the point of contract award. Liberal use of this option will improve the command's ability to award contracts in the fourth quarter, if funds become available.

d. Review Times for ARPs:

(1) J-4/MEFA-CD will have 20 working days (30 calendar) in conjunction with MICC FT. Knox and other supporting contracting offices, as appropriate to review and comment on PWS, SOO, SOW,

QASP, PRS (if applicable), and Independent Government Cost Estimate (IGCE) documents submitted for ARPs. Review time stops when element leads/POCs receive feedback on their documents; the time starts again when revisions are completed. When J-4/MEFA-CD participates in an acquisition team effort, the standard is 30 calendar days for the team to have the PWS, SOO, SOW, QASP, IGCE, and RSCA package prepared.

(2) J-1/MEHR-PR will have five working days (seven calendar) to review PWS security language, resolve issues, prepare, sign, and date the ATO/OPSEC Review cover sheet. J-4/MEFA-CD will coordinate this review with J-1/MEHR-PR. The element lead will provide basic information on the requirement to help J-1/MEHR-PR determine which provisions are applicable.

(3) J-1/MEHR-SD-MP will have five working days (seven calendar) to complete aforementioned responsibilities in Paragraph 1-4, which includes review of service contract requirement documents to ensure command compliance with DoD workforce policies. J-4/MEFA-CD will send the PWS, SOO or SOW, QASP, IGCE, and RSCA package, consisting of the RSCA form (for all applicable service contract requirements above \$2.5K) and Army G-1, Contract Action Justification (CAJ) form (requirements at or above \$100K) to review. J-1/MEHR-SD-MP will conduct and document the review by sending a reply email once completed.

(4) J-5/MEPT will review and concur with all DBS Investment management documentation. J-5/MEPT will have 10 working days (12 calendar) to review DBS requirements to ensure alignment with IRB certification approval documentation. J-6/MEIT-PRO will coordinate this review and provide approval verification to J-4/MEFA-CD. J-4/MEFA-CD will not accept a requirement for processing without concurrence.

(5) J-6/MEIT-PRO will review and approve IT supply and service contract requirements, and obtain all approvals required to support requirements. Requirement processing is subject to the following timelines:

(a) Simple requirements above GPC micro-purchase thresholds but below \$250K require five working days (seven calendar).

(b) Moderate requirements up to \$250K require 15 working days (21 calendar)

(c) Complex requirements with an estimated cost in excess of \$250K require 20 working days (28 calendar). Requirements can be extremely varied and complex to specify exact timelines.

(d) An ITAS Waiver is required for Commercial-Off-The-Shelf (COTS) IT requirements from alternative sources. ITAS waivers take a minimum of two weeks (20 calendar). Depending on requirements an ITAS waiver may take several months.

(6) MEJA will have five working days (seven calendar) to review ARPs and sign a legal review of inherently governmental services for each package as required by Army G-1.

(7) The USMEPCOM Commander or Chief of Staff will review and coordinate the approval of RSCA forms with the first SES in the chain of command for contract service requirements less than \$100K. They will also review and sign Army G-1, CAJ forms for service requirements at and above \$100K. Two working days (four calendar) are required to complete these actions. A link to the RSCA Form is located in Appendix A, Section II, of this regulation. J-4/MEFA- CD will post the latest version of the Army G-1 and CAJ forms on SPEAR.

(8) TBAI review and approval is required for IT service requirements at \$100K and above. This process takes 10 working days (14 calendar).

(9) Army G-1, Management Support Office requires at least 28 calendar days to review the Army G-1, CAJ and RSCA forms for requirements at \$100K or above. RSCA approval documents are required on time to prevent contract award delays.

(a) MICC FT. Knox will not post a solicitation to the Federal Business Opportunities, Single Face to Industry website without RSCA approval.

(b) MEDCOM, HRCO will not process an ARP without RSCA approval.

(10) Army G-1, Designated General Officer Approval requires 5 calendar days. The Designated Final Reviewer for Army G-1 completes the ARP review and coordinates getting the RSCA document signed by the designated General Officer.

(11) Element leads/POCs will respond to general follow-up requests for information from J-4/MEFA-CD or contracting office POCs within two working days. This standard does not apply to requests for revised documents or additional requirement documents. Processing time does not start for contracting offices until they acknowledge receipt of a complete ARP.

3-9. Higher Level Review and Approval

The HQDA, Army Services Strategy Panel (ASSP) reviews service acquisitions that require USD (AT&L), USD (NII), or DASA (P) review and approval as prescribed in AR 70-13, and Paragraph 3-1c, of this UMR. Personnel from the supporting contracting offices coordinate these review and approval actions.

Chapter 4 Acquisition

4-1. Acquisition Process

Acquisition begins at the point when command needs are established. The process includes notice for advanced planning, a description of requirements to satisfy command needs, internal and external coordination with acquisition team members, reviews and approvals, solicitation, evaluation, selection of sources, contract award, pre-performance orientation meetings, contract performance, contract administration, and technical and management functions directly related to the process of meeting requirements by contract. The flow charts in Figures [4-1](#) and [4-2](#) (next page) provide an overview of supply and service processes:

Figure 4-1. Acquisition Process Flow, Supply

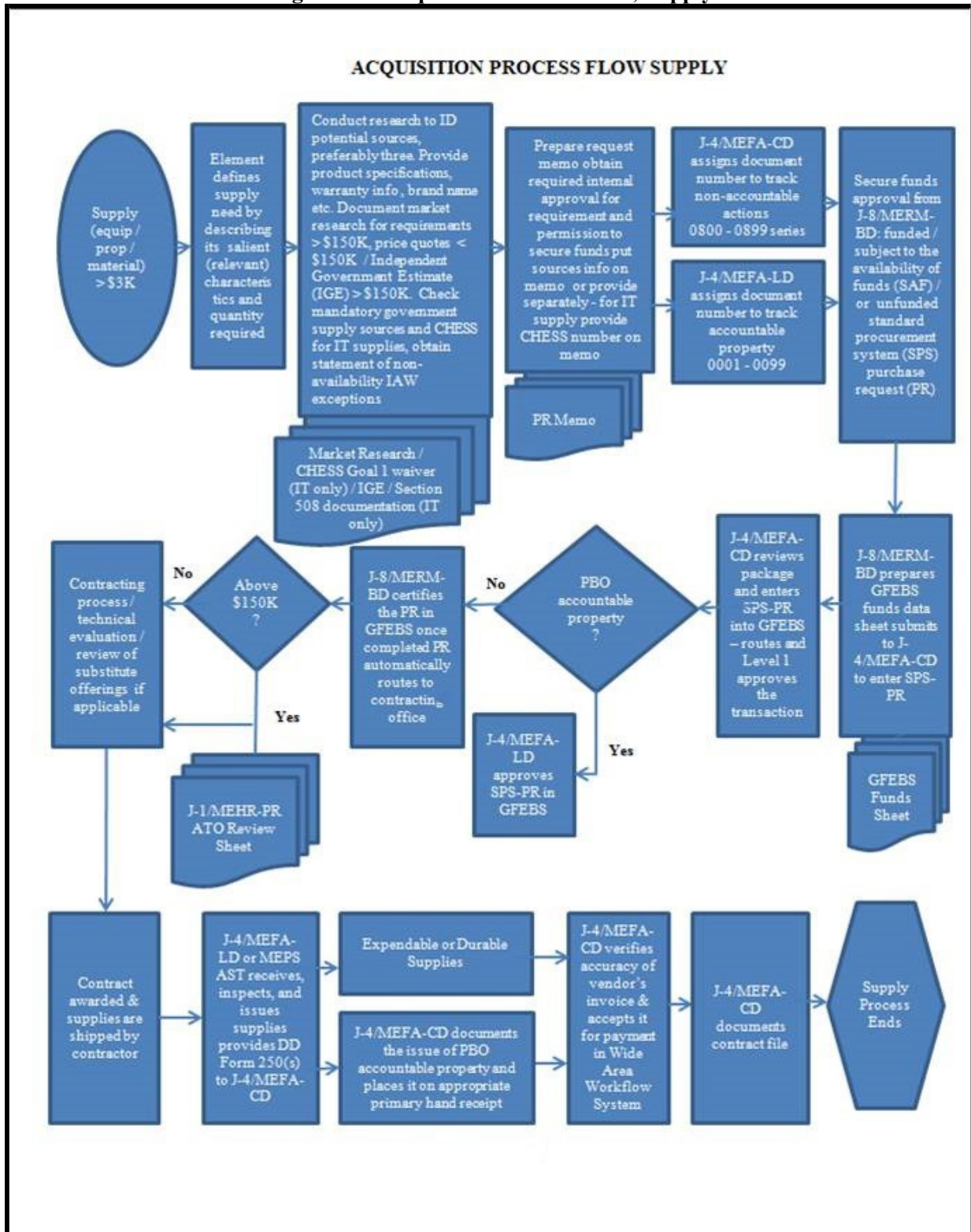


Figure 4-1. Acquisition Process Flow, Supply

Figure 4-2. Acquisition Process Flow, Service

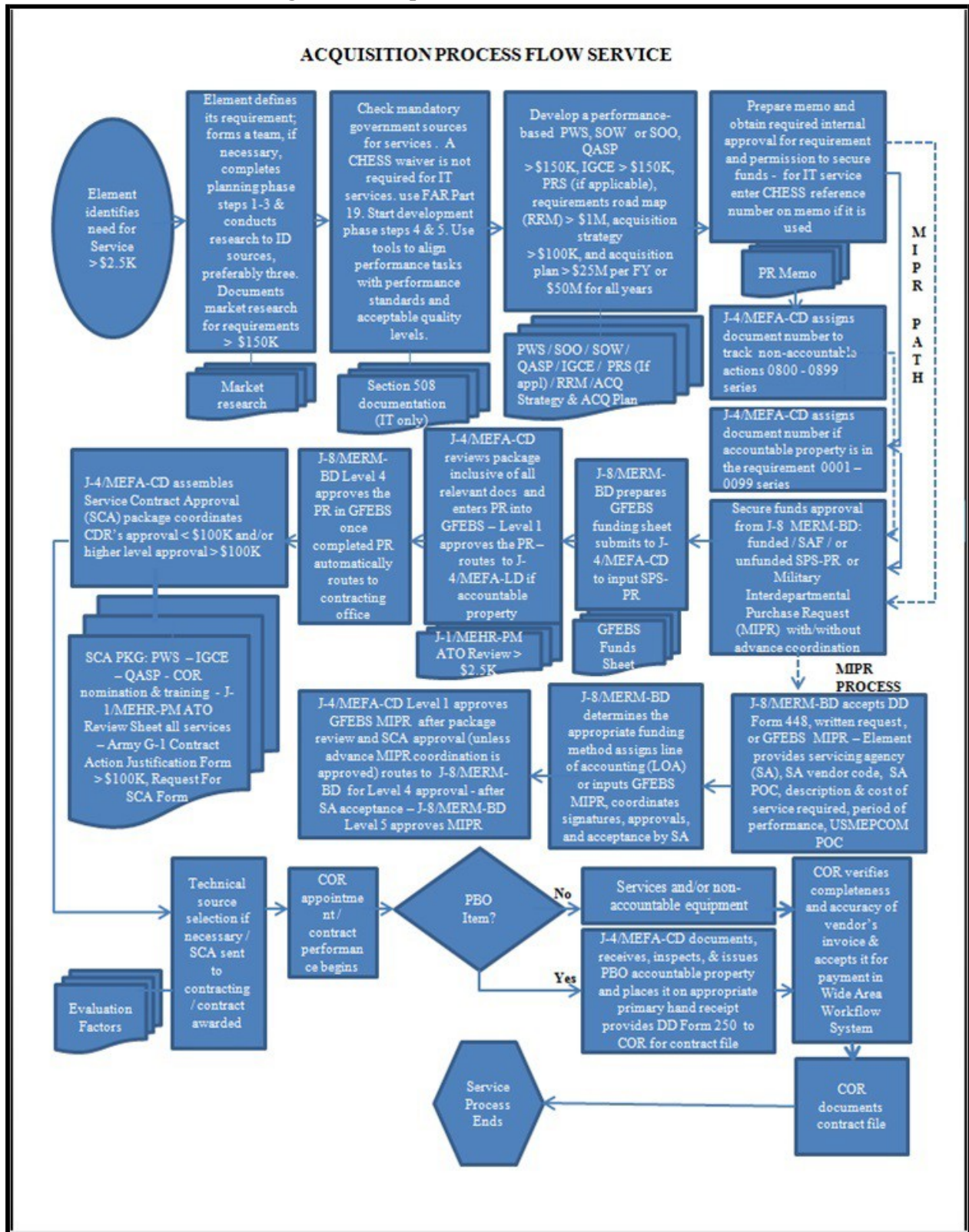


Figure 4-2. Acquisition Process Flow, Service

4-2. Acquisition Team

USMEPCOM will use a MFIPT approach to develop contract requirements. Acquisition team members may be senior leaders, supervisory employees, or non-supervisory employees (military or civilian). Members may serve as Leads, Technical Representatives, CORs, SSEB members, SSEB Chairpersons, or subject matter experts in their career field.

a. Internal Members: At a minimum, consider using subject matter expertise from J-4/MEFA-CD, J-5/MEPT for DBS Programs, J-8/MERM-BD, MEJA, and other technical representatives when developing requirements.

b. External Members: External members that refine requirements are KOs, Contract Specialists, Contract Attorneys, Portfolio Managers, and Contractors in a limited role. Contractors may provide information about market conditions, customary practices, and pricing aspects associated with cost estimates, if they are not currently under contract with the command.

c. Contractor personnel cannot serve as a member of an acquisition team for USMEPCOM. Contractor participation will prohibit the contractor from competing for the contract.

4-3. Element Lead Activities

Responsible elements designate a lead/POC to work the technical aspects of the ARP for supplies or services. This individual defines and develops a PWS, SOO or SOW, QASP, and PRS (if applicable) into written and actionable documents for contract award that can be managed by monitoring measurable outcomes throughout the life of the contract. These documents along with the IGCE are the core documents of the acquisition. Element leads will also provide notice to other command elements that will receive supplies, services, or equipment from a resulting contract. This is to ensure information about the delivery and receipt of items or the performance start date for services flows up and down communication channels.

a. FAR, Part 8 identifies the priority in which to use required sources for supplies and services. The priorities established by FAR Subparts 8.002 (a) (1), (2) and FAR Subparts 8.003 apply to all requirements, except office supplies and IT requirements. Request office supplies through the Federal Strategic Sourcing Initiative (FSSI), blanket purchase agreement, small business vendors, using GSA Advantage, or the DoD Electronic Mall website. The Army policy is not to use large business vendors available on these websites. IT requirements are exempt from using these sources by capital planning, investment control requirements in 40 United State Code (U.S.C.) 11312, Office of Management, and Budget Circular A-130. The requirement to use these sources in the order of priority is to support small disadvantage businesses when practical. Elements should use the websites listed below to begin their market research effort. If requirements are available through one of the sources, element leads should note it on the PR memorandum, as the suggested source. **Note:** Elements must not initiate any procurement action through the websites:

(1) Federal Prison Industries Inc. (FPI) (<http://www.unicor.gov>). Check this website to see if it has products that meet the supply requirement.

(2) The AbilityOne Program consists of a central non-profit agency, SourceAmerica. Check this website for supplies and services. It applies to all requirements, with the exception of those excluded in Paragraph 4-3(a), above. If the supplies or services required are available on the procurement list, the Government must purchase them through the AbilityOne Program, as long as a requirement exists, per FAR Subparts 8.0 and FAR Subparts 8.7. The procurement list is located at <http://www.abilityone.gov/index.html>.

(3) [General Services Administration \(GSA\), Federal Supply Schedule \(FSS\)](#). Click on the menu

to the left “List of GSA Schedules” and then select a list to conduct market research for the required supplies and/or services.

b. The [Army CHESST IT E-Mart](#) is the primary source to purchase COTS IT hardware, software, and services (CAC authentication is required). J-6/MEIT-PRO will determine or validate technical specifications for IT requirements and obtain the necessary approvals for command requirements. The CHESST website provides flow charts for software, hardware, services and other useful references about the CHESST procurement process.

(1) J-6/MEIT-PRO will initiate a CHESST Statement of Non-availability request prior to submitting ARPs for COTS IT hardware or software. Requests take approximately a week to process. CHESST provides a Statement of Non-Availability if the item is not under a CHESST or Enterprise Software Initiative (ESI) contract vehicle or the item is available through another source that is less expensive.

(2) Commercial-off-the-shelf (COTS) IT Products: An Information Technology Approval System (ITAS) Waiver is required regardless if the item is under a CHESST or ESI contract vehicle, if it meets the following criteria:

(a) Hardware and software for data servers and centers.

(b) Use non-IT programmed funds, even if the purchase is through CHESST:

1. Operation and Maintenance Army funds for a requirement \$25K or above.

2. Research development test and evaluation requirements at \$100K and above.

(c) J-6/MEIT-PRO will initiate an ITAS Waiver request prior to submitting an ARP for COTS IT hardware or software. The waiver process takes approximately two weeks.

(3) IT Services: An ITAS Waiver is not required for IT services. However, when procuring services, elements must consider setting the requirements aside for small businesses IAW FAR Part 19. KOs must solicit these requirements under FAR Part 19, when market research suggests there are at least two responsible small businesses with the capability to meet the requirements. DA has a statutory goal to have Service-Disabled Veteran-Owned Small Business (SDVOSB) participation in all prime and subcontract awards. The use of non-DoD contract vehicles like GSAs, Government-wide Acquisition Contracts is also a viable option to meet command needs. If no small business capability exists, CHESST contract vehicles are the preferred method to meet IT service requirements. The regulatory reference is [AFARS 5139.101\(S-90\) \(b\)](#).

(4) Server, storage, and networking products are available under Information Technology Enterprise Solutions 2 - Hardware (ITES-2H). Army organizations purchasing desktop or notebook computers etc. will use the Consolidated Buy (CB) contract vehicle. CB purchase timeframes occur twice a year, January through March and June through September. Purchase requests for ITES-2H outside of these timeframes requires a CB exception memo. Another option is to use the Army Desktop and Mobile Computing-2 (ADMC-2) contract vehicle, if the items are available. IT ordering guides vary, so additional documents may be required to complete ARPs.

4-4. Acquisition Requirements Package

The content of ARPs for supplies and services vary based on the type of acquisition and other factors. Responsible elements will prepare and submit [USMEPCOM Form 715-6-1, ARP Checklist](#) for contract requirements.

a. Supporting documents (as required):

(1) PR memorandum approved by the element's senior leadership or designated representatives. J-8/MERM-BD will certify funds or identify the request as SAF. If funding the contract requirement through a MIPR with an agency outside of HQDA, J-8/MERM-BD will provide a hard copy for the file.

(2) PWS, SOO or SOW, QASP, and PRS (if applicable): See the [Glossary](#) for an explanation of these terms. These documents are normally required for a service requirement. A SOW may be required in some circumstances for a supply requirement. Use product specifications and their salient characteristics to describe supply requirements. Supply contracts are satisfied when the government completes receipt and inspection of supplies or equipment, and accepts the invoice for payment.

(3) Market research documentation is required for supply and service requirements at the SAT. Market research appropriate to the circumstances must be conducted IAW FAR, PART 10 to determine if the service is commercially available and to identify industry interest and capabilities to be included in the document. When contacting potential vendors, leads must explain upfront that they have no authority to bind the government and they are only requesting information for market research at this time. It is imperative not to provide detailed information about the potential requirement, and it is equally important to provide the same information to each potential source. Requested information should not be more than 18 months old.

(4) Quotes are required for supplies and services above their respective GPC micro-purchase thresholds that do not exceed the SAT. Three quotes are preferred but two is sufficient to conduct a price comparison.

(5) IGCE is applicable to all requirements above the SAT. MICC FT. Knox uses the Army Contracting Command's Contract File Internal Control Requirements for Independent Government Cost Estimates (IGCE) Desk Book to review IGCEs. IAW PARC Policy Chief Alert 12-26 the person that prepares the IGCE and the immediate supervisor must both sign the IGCE document. For requirements above the SAT, the objective is to request information about the service from industry sources that will be useful in developing an IGCE.

(6) Requirements Road Map document will be prepared and submitted to J-4/MEFA-CD for service requirements in excess of \$1M. This will help element leads align the PWS with the QASP. This tool will help acquisition teams focus on the critical tasks that shape requirements and result in the development of meaningful metrics to monitor performance. Quality development of these core documents will reduce the time it takes to finalize them. The [Service Acquisition Mall](#) website offers Microsoft Excel and Word versions of the form, with instructions on how to prepare them.

(7) HQDA requires a RSCA for all service contracts above \$2.5K. J-4/MEFA-CD coordinates the initiation of the documents with element leads; assembles, submits, and tracks the status of submissions through appropriate channels.

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(a) J-4/MEFA-CD will advise contracting agencies outside of HQDA that they cannot, under any circumstances, award a contract without an approved RSCA.

(b) An RSCA is required for the following:

1. Before new solicitations or contracts are issued.
2. Before available option years are exercised.
3. Before contracts are modified (change of scope, cost, number of CMEs, or period of performance).
4. When each task order/delivery order is issued.
5. When funds are added (except when funds are added for incremental funding).
6. When Army funds are used to buy contractor labor, regardless of which organization is awarding or administering the contract.
7. When Army is the executive agent of the requiring activity requesting services.
8. When Army funds are transferred to contracts outside of the DoD.
9. This form is required for all service contracts, regardless of whether the contracts are enduring, temporary, about to end, funded in the base budget, or funded under Overseas Contingency Operations.

(c) Exceptions: Refer to latest version of the form to find the exceptions located at [Service Contract Requirement Approval Resources](#).

1. Manufacturing/production contract
2. Utilities
3. Subscriptions
4. Off-the-shelf software
5. Construction projects funded using Military Construction Army Funds (however, repairs, maintenance, construction, and demolition projects that utilize capital operations and Maintenance funds do require the form);
6. Help desk and customer service support incidental to equipment or off-the-shelf software purchases;
7. Software licensing agreements and updates (customized software development maintenance, and upgrades, however, are considered service);
8. Foreign Military sales/services;

9. Manufacturer's warranties (extended maintenance/repair beyond the standard manufacturer's warranty, however, it is considered a service)

10. Delivery service incidental to a supply purchase

(d) A RSCA package may consist of the following documents:

1. PWS, SOO, and SOW

2. QASP

3. IGCE (signed by the preparer and immediate supervisor)

4. COR nomination letter (above SAT \$250K)

5. COR training certificates

6. ATO/OPSEC Review cover sheet (signed by ATO or OPSEC Officer)

7. Army G-1 CAJ form for service (at \$100K or above)

8. RSCA form for service requirements above \$2.5K

(8) Requirements that limit competition require approval and documentation:

(a) Non-competitive action under FAR Subpart 6.301.

(b) Limited source justification and approval FAR Subpart 8.405-6.

(c) Exception to fair and equal opportunity when multiple award contracts are the suggested contract vehicle (FAR Subpart 16.505).

(9) A COR is required for all contract service requirements (see Paragraph 1-4d).

(10) ATO/OPSEC Review cover sheet for service and supply requirements (see Paragraph 1-4n).

b. If any of the conditions below are applicable to requirements, element leads/POCs will provide the forms, information (serial numbers etc.), documented approvals, or waiver requests as required for submission in ARPs.

(1) Any special instructions, i.e. [Department of Defense \(DD\) Form 254, Contract Security Classification Specification](#) (if applicable).

(2) Serial numbers and locations of equipment (maintenance and lease services only).

(3) Conference approval by Administrative Assistant to the Secretary of the Army for HQDA sponsored conferences. FPI, Inc. waiver for supplies, is required if FPI Inc.'s offer is not acceptable and an exception in FAR Subpart 8.604 applies.

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(4) SourceAmerica waiver for procurement list comparable supplies or services that are unacceptable and an exception in FAR Subpart 8.706 applies.

c. IT services.

(1) Electronic and Information Technology (EIT): Prepare document to record effort to comply with Section 508 of the Rehabilitation Act of 1973 for EIT IAW 36 Code of Federal Regulations (CFR) part 1194. KOs require documentation for their contract file (FAR Subparts 39.203 and FAR Subparts 39.204), in most cases, while some will accept the required statement in the PWS. J-6/MEIT-PRO will meet this requirement per the procuring KO's instructions.

(2) Consolidated Buy Exception Memo: An IT supply memo requires the signature of an O6, GS-15, or above, for individual exceptions. Blanket exceptions for organizations require the signature of the Army, Chief Information Officer (CIO), G-6. See 'exceptions' on the [CHESS website](#).

(3) TBAI package for IT services in excess of \$150K include the following documents:

- (a) Executive Summary (EXSUM)
- (b) RSCA
- (c) IGCE (Signed by preparer and supervisor)
- (d) PWS, SOO, or SOW
- (e) Status of Funds
- (f) Information Technology Approval System (ITAS) waiver
- (g) Statement of Non Availability (SoNA)

d. Legal Review Memorandum.

(1) A legal review memorandum is required for all ARPs to ensure no inherently governmental services are being requested as a part of the requirement.

(2) J-4 will complete this coordination with MEJA.

Chapter 5 Defense Business Systems

5-1. Defense Business Systems

A DBS is an information system, other than a national security system, operated by, for, or on behalf of the DoD. It includes financial systems, mixed systems, financial data feeder systems, and IT and information assurance infrastructure used to support business activities, such as acquisition, financial management, logistics, strategic planning and budgeting, installations and environment, and human RM.

5-2. Business Capability Acquisition Cycle

Business Capability Acquisition Cycle (BCAC) as defined in DOD 5000.75 is the overarching framework for the planning, design, acquisition, deployment, operations, maintenance, and modernization of DBS, IAW [Title 10 U.S.C. section 2222](#).

5-3. Business Capability Definition for Modernization

a. Business Capability Definition (BCD) Phase of BCAC requires creation of the problem statement portion of the business case to analyze a perceived business problem, capability gap, or opportunity. Anyone throughout the DoD enterprise may identify a perceived business need. A business need and its associated analysis does not assume or reference any particular solution. It is the responsibility of the functional sponsor Office of the Under Secretary of Defense Personnel and Readiness to ensure that analysis is conducted that:

- (1) Determines the problem to be solved and its root cause and context.
- (2) Identifies boundaries and constraints across functional responsibilities.
- (3) Describes potential impacts within the Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, Facilities, and Policy (DOTMLPF-P) framework, to include desired high-level outcomes, potential benefits, and risks.
- (4) Adequately re-engineers applicable business processes and describes the “to-be” business process to enable an effective Analysis of Alternatives (AoA) study to be conducted.
- (5) Identifies measures of effectiveness to be used to validate outcomes to ensure the business need is satisfied and the necessary investment is justified.
- (6) Offers recommendations: The results of this analysis shall be summarized in a Problem Statement.
- (7) Identifies the potential lifecycle of the information system IAW [Part 1236 of Title 36 U.S.C.](#) and Office of Management and Budget Circular A-130.

b. The Problem Statement is submitted to the Defense Business Council (DBC) Chair who, with the advice of DBC members and stakeholders, shall review and determine whether to approve the Problem Statement. The Director, Cost Analysis and Program Evaluation (DCAPE) shall submit AoA Study Guidance to the DBC Chair. The Functional Sponsor shall develop and submit an AoA Study Plan in coordination with the DBC and approved within 30 calendar days by the DCAPE, or the appropriate DoD Component official for DBS that do not meet the MAIS threshold. The BCD Phase ends when the DBC

Chair approves the Problem Statement and an approved AoA Study Guidance and AoA Study Plan is submitted to the DBC Chair.

5-4. Investment Management for Defense Business System Modernization

a. The Investment Management (IM) Phase of BCAC for modernization of a DBS begins at the Materiel Development Decision (MDD) made by the Milestone Decision Authority (MDA). The MDD will be documented in an Acquisition Decision Memorandum (ADM), to which the approved AoA Study Guidance and AoA Study Plan shall be attached. Activities during the IM Phase of BCL will produce an AoA and a complete business case.

b. IM Phase activities shall include the analysis necessary to describe the requirements for the materiel solution, the solution scope, objectives, business outcomes, outcome-based performance measures, constraints, and dependencies; the program justification, including assumptions, DOTMLPF-P impact, critical success factors, risks, detailed cost and benefits (including return on investment analysis), funding profile, and delivery schedule; and an acquisition and contracting approach. Functional Sponsors shall be responsible and accountable for achieving the DOTMLPF-P solution specified in the Business Case and for conducting Business Process Reengineering (BPR) in order to meet the objectives outlined in [Title 10 U.S.C. section 2222](#).

c. A PM shall be assigned for each acquisition program early in the IM Phase.

(1) The IM Phase analysis shall be summarized in a Business Case developed and signed by the Functional Sponsor and the PM. The Business Case shall include the Problem Statement and the results of the IM Phase analysis, and shall serve as the foundation for all BCL efforts and decisions. It shall be an evolving, executive-level document that reflects program planning and includes summaries of the information required to be developed based upon the Business Case Template available through the Office of the Deputy Chief Management Officer.

(2) The IM Phase ends with a Milestone A decision made by the MDA, allowing entry into the Execution Phase of BCAC, which is managed by the PM.

(3) A Milestone A decision is expected to occur no later than 12 months from the date of the ADM. If IM Phase activities exceed 12 months from the signature date of the MDD ADM, the DBC Chair shall review the business need and advise the MDA whether the IM Phase activities should be continued or cancelled.

5-5. Investment Management for Defense Business System Sustainment

[Title 10 U.S.C. section 2222](#) requires the certification of all covered DBS programs regardless of fund source for acquisition, modernization, or sustainment expected to have a total amount of budget authority, over the period of the current future-years defense program submitted to Congress under [section 221 of this title](#), in excess of \$50M. In the DoD Business Mission Area, the IRB is the Defense Business Council (DBC). Certification approval documentation is submitted through the Pre-Certification Authority (PCA) to the DBC. The PCA is designated from the organization responsible for the IT portfolio within which the DBS resides.

Chapter 6 Service Contract Performance Management

6-1. Oversight and Surveillance

Pertinent information about COR duties is available in [AR 70-13 Chapter 4](#), Oversight and Surveillance of Service, Paragraphs 4-1 through 4-5. It addresses all activities from contract award through past performance assessments. Contract performance is the point where government representatives ensure the command actually receives supplies and services IAW the terms and conditions of the contracts. Useful guides are located on the VCE website of most supporting contracting agencies. The DoD COR Handbook reference is located at http://www.atsc.army.mil/tcmlive/srp/downloads/COR_Handbook.pdf.

a. Access to VCE guides and other resources for MICC FT. Knox and MEDCOM Center for Health Care Contracting (CHCC) can be found on their websites.

b. To see the resources go to [MICC FT. Knox's website](#), click on Local Guidance, Forms, and POCs in the menu on the top left; then click on the Contracting Command dropdown arrow – select MICC; and then click on the Contracting Site dropdown arrow – select MICC-Fort Knox.

c. To see the resources go to MEDCOM, Health Care Acquisition Activity's (HCAA) website. Follow instructions in the Paragraph above until you get to the Contracting Command dropdown arrow – select HCAA, then click on the Contracting Site dropdown arrow – select CHCC.

6-2. Contracting Officer's Representative Appointment & Training Requirements

A COR is an individual designated IAW DFARS subsection 201.602-2 who is appointed in writing by a KO to perform specific administrative functions (DFAR Clause 252.201-7000). An ACOR is required to complete the same training as a COR and is appointed by a KO as well. A Task Order Manager performs a role similar to that of a COR. For the sake of simplicity, the term COR refers to all of the terms in this Paragraph. The basic requirements to be a COR are as follows:

a. Personnel must be government employees (Military or Civilian)

b. Designated individuals must have the training and experience commensurate with the responsibilities to be delegated IAW department or agency guidelines. The various complexities of acquisitions are as follows:

(1) Type A: Fixed-price requirements without incentives, low performance risk.

(2) Type B: Other than fixed-price requirements without incentives, low performance risk.

(3) Type C: Unique contract requirements that necessitate a professional license, higher education, or specialized training beyond the Type B requirements.

c. Training Requirements: Specific COR training requirements for MICC FT. Knox and MEDCOM CHCC are located on the VCE website referenced in Paragraph 6-1. If another contracting agency supports the command that is not in VCE, the procuring KO will identify the requirements. Individuals nominated to perform COR duties on these contracts will meet the specified training requirements thereof, upon acceptance of the ARP.

(1) Refer to Army Contracting Command (ACC) Pamphlet 70-1 at the MICC FT. Knox VCE website to access the Interim ACC COR Policy Guide. This policy applies to both MICC FT. Knox and

MEDCOM, CHCC. The training requirement to become a COR for these agencies begins at Paragraph 8.

(2) MEDCOM, CHCC, COR certification has an additional “competency” certification requirement identified in the HCAA E-Alert Jun 121 Highlight resource document located on the VCE website. DoD has determined that dental and medical contracts fall under category type “C” contracts. HCAA requires CORs to complete Health Insurance Portability and Accountability Act (HIPAA) certification training to satisfy the certification requirement.

6-3. Additional Surveillance Personnel

Additional surveillance personnel, such as MEPS POCs are required to complete the online training identified below. They are not required to register in Contracting Officer’s Technical Representatives (COTR) or VCE. All contract management entries will be made by the COR or ACOR into the systems as appropriate.

- a. Defense Acquisition University (DAU) Course - CLM 003, Ethics for AT&L Workforce
- b. DAU - CLC 106, COR with Mission Focus
- c. Combating Trafficking of Persons Course
- d. MEDCOM, CHCC contracts competency certification of HIPAA certification

6-4. Management Plan

Elements will use the management control measures below to maintain oversight of contract surveillance personnel and service contracts:

- a. Senior leaders will nominate CORs during the submission of ARPs for contract requirements IAW Paragraph 1-4d.
- b. Senior leaders will conduct a complete review of contracts and advise CORs of the action to take on present and future contracts as appropriate (see Paragraph 3-3).
- c. CORs will be able to observe and inspect the services or supplies themselves or with the assistance of on-site support through POCs or surveillance support personnel by another name.
- d. CORs and ACORs will notify their supervisors and J-4/MEFA-CD when they are within 90-days of leaving the command or know when they will no longer serve in that capacity on assigned contracts.
- e. MEPS POCs and other surveillance personnel will notify their appointing authority (Director or Commander) and COR, when they are within 90-days of leaving the command. Notice is also required, when they will no longer serve in that capacity on assigned contracts.
- f. Elements will use lessons learned from contract surveillance to help shape the follow-on contract effort, if continued service is required.
- g. Senior leaders and supervisors will not give CORs more contracts than they can properly monitor and still perform their primary job.
- h. CORs will document and report non-conforming services delivered by the contractor as required during the specified interval in the QASP.

i. CORs will notify J-4/MEFA-CD and ACOs of their contracts at least 60-days out about their senior leader's intent to exercise or not exercise a service contract option.

j. J-8/MERM-BD, J-4/MEFA-CD, requiring elements, as well as CORs and their supervisors will determine how to track contracts funded through MIPRs, to ensure that management oversight is established.

k. CMRA Reporting Requirements:

(1) CORs with the assistance of ACOs will ensure contractors complete CMRA requirements on time. Reporting will be for a period of performance not to exceed 12 months ending 30 September of each FY and must be reported by 31 October of each calendar year. The user's guide is located at <https://www.ecmra.mil/help/help.html>.

(2) J-4/MEFA-CD will send an information message to remind all CORs to have contractors complete this requirement. This data collection feeds into the CMRA system that J-8/MERM uses to verify annual reporting data.

l. If required, CORs will document contractor performance annually in the government past performance database. When necessary, enter a fair and objective performance assessment into the Contractor Performance Assessment Reporting System. In some situations, KOs may ask for input from CORs and make the entries themselves.

m. Supervisors will rate their COR's duty performance and include it in annual appraisals for civilians or military evaluation reports for service members. Supervisors will rate the COR's performance of duties, not the level of satisfaction management has with the contract the COR monitored. Supervisors are encouraged to reach out to the KO or ACO of the contract for input on the COR's duty performance.

n. Supervisors will complete and document their annual review of COR contract files for accuracy and completeness IAW DFARS, PGI 201.602-2d (vii).

o. Modifications: On behalf of the government, only KOs and ACOs acting within the scope of their authority can approve contract modifications. New service arrangements are not effective until the contracting office completes the modification document.

6-5. Wide Area Workflow

a. The 2001 Defense Authorization Act requires electronic processing of contract invoices. DoD uses Wide Area Workflow (WAWF) to meet that requirement. The WAWF system is a secure, web-based system for government contractors and authorized DoD users to generate, capture, and process receipt and payment documents. It enables electronic submission of contractor invoices and government inspection and acceptance of the documents.

b. The WAWF system creates a virtual folder to combine the three documents required to pay a contractor, a contract, invoice, and a receiving report. Authorized DoD users are notified of pending actions by e-mail and they are able to access the documents required to process the action. WAWF is the single DoD system for contractor invoicing and government acceptance actions.

c. Prior approval is required to access and use the [WAWF](#). The website provides training for users on

the system. It is important that users take the responsibility to perform actions in the system seriously. Request permission to access the system from the General Administrative Manager located in J-4/MEFA-CD.

6-6. Contracting Officer's Representative Contract File

a. The COR will maintain comprehensive contract files IAW the procedures specified by the supporting contracting agency. Files maintained in automated systems such as VCE are the official files of record. If the supporting contracting agency does not have an automated system to maintain contract files the COR will create a hardcopy official file upon receipt of a contract award. Establish and maintain a hardcopy file IAW the direction of the supporting KO or ACOR. If no direction is given, use the guidance in [ACC Pamphlet 70-1](#).

b. File Security: Secure and safeguard hardcopy contract files as appropriate.

c. Contract Closeout: When contracts expire, CORs coordinate with ACOs to complete closeout activities. ACOs will provide instructions reference files disposition IAW with applicable regulations.

6-7. Contracting Officer Remedies

Only the KO can take the remedial actions described below. The COR's key role with regard to remedies is monitoring of the contractor's performance. Heavy reliance is placed on the COR's observations and documentation. Without appropriate documentation of noncompliance or non-performance issues, the KO will not be able to take the necessary steps to address issues with the contractor. The COR must keep accurate and complete records and promptly notify the KO of any noncompliance issues.

a. Nonconformance occurs when the contractor presents a deliverable to the Government that does not conform to the contract requirements or terms and conditions.

b. Remedies for nonconformance include:

(1) Invoke the related contract clause (Stop Work, Cure Notice, Show Cause, Liquidated Damages, Warranty, or Termination).

(2) Withhold or reduce award and incentive fees.

(3) Invoke inspection clauses (reject the noncompliant work or allow rework).

(4) Suspend progress payments.

(5) Decline to extend the term of the contract (e.g., by not exercising an option).

(6) Modify the contract.

(7) Address claims or consideration.

(8) Take legal recourse.

(9) Use Alternative Dispute Resolution (ADR).

(10) Document the issue in the past performance database.

6-8. Unauthorized Commitments

a. Pursuant to [FAR 1.602-3\(a\)](#), an unauthorized commitment (UAC) is an agreement that is not binding solely because the Government representative that made it lacked the authority to enter into that agreement on behalf of the Government.

b. Ratification is the act of approving an UAC by an official who has that authority. [FAR 1.602-1](#) provides ratification contract authority only to an appointed/warranted KO within their delegated authority.

c. Personnel who do not have the authority to commit the Government must not make statements to a vendor that implies a commitment to commence work or to provide supplies or services. All ranks of Government employees whether civilian or military must abide by the same rules and assure only authorized personnel make financial commitments for the Government. Only a duly appointed KO, Ordering Officer, or GPC holder acting within his/her delegated authority may legally procure and obligate the government to pay for supplies and services. Common causes for UACs are as follows:

(1) An unauthorized individual does not take the time to submit a PR for a contract or follow GPC procedures.

(2) A hurried individual fails to ask questions about alternative support channels.

(3) Individuals believe asking for forgiveness is easier/faster than doing it right the first time.

(4) GPC holder makes a purchase that exceeds their authority.

(5) Vendor mistakes request for information as an order and ships the items. The receiver does not realize the items are an improper order and accepts them rather than rejecting and returning them.

(6) An unauthorized individual approves work above the scope of the existing contract.

Note: CORs do not have the authority to make contract changes without coordination with the appropriate KO/ACO. Sometimes KOs/ACOs use the contract “Disputes” clause to correct these unauthorized actions instead of the ratification process.

(7) A contractor continues to perform a service contract or provide leased/rented equipment after the expiration date of the contract. This frequently occurs on yearly services/maintenance/lease type contracts for which there is a continuing need.

d. USMEPCOM will adhere to [FAR 1.602-3 \(b\) \(c\) and \(d\)](#) in determining the course of action to correct UACs.

e. The UAC process is time consuming but necessary to ensure the government can pay contractors after determining if the action is ratifiable. USMEPCOM does not have the authority to ratify an UAC. These actions require review and approval by the supporting contracting offices within the authority of appointed/warranted KOs.

f. UAC documentation process is as follows:

(1) When a UAC occurs, the first consideration is to take corrective measures to reverse the

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improper action. If it is not possible to reverse the action without the government incurring a cost, the person performing, responsible for, or most knowledgeable about the unauthorized action will notify J-4/MEFA-CD.

(2) J-4/MEFA-CD will review the circumstances presented and send the matter to MEJA for an initial review. If necessary, J-4/MEFA-CD will consult with MICC FT. Knox or other contracting office supporting the command to determine whether the UAC process should be initiated.

(3) J-4/MEFA-CD will send an electronic [Request for Approval of Unauthorized Commitment](#), and supplemental instructions, to the Commander (Sector, BN, or MEPS) or Deputy Director of the individual involved in the UAC. The Commander or Deputy Director will coordinate review and approve actions with the appropriate higher-level authorities IAW the dollar thresholds and instructions on the form. The USMEPCOM Commander is the approval authority for all actions above \$10K. However, they are applicable to the same process for approval.

(4) Commanders and Deputy Directors have 15 calendar days to complete the process and return the completed form, including signatures of personnel providing statements (with the exception of the approval authority signature), to the POC in J-4/MEFA-CD.

(5) J-4/MEFA-CD will send the form to MEJA for final review. MEJA will take a reasonable amount of time to review depending on situation. MEJA will forward the document and provide legal advice to the approval authority.

(6) The approval authority will have two days to sign the form and return it to the POC from J-4/MEFA-CD, with a courtesy copy to MEJA.

(7) J-4/MEFA-CD will send the form to MICC FT. Knox for processing. Tracking will be coordinated with a POC at the contracting office, to ensure the action is completed.

(8) The appointed KO's determination will be shared with MEJA, J-4/MEFA, the applicable Commander or Deputy Director, individual, and select personnel in J-8/MERM-BD with a need to know to initiate corrective action(s). J-4/MEFA-CD will share the KO's determination by electronic mail.

(9) The office that completes the payment action will document the file. J-4/MEFA-CD will develop and maintain an automated UAC tracking spreadsheet and maintain UAC files for a minimum of 3 years.

g. Government employees who make UACs may face financial liability from the vendor if the government is unable to ratify the commitment.

**Appendix A
References**

Section I

Publications referenced in, or related to this publication

Army Contracting Command Contracting Officer's Representative (COR) Handbook

DoD COR Handbook

Army Federal Acquisition Regulation Supplement (AFARS) Army Regulation 25-1
Army Information Technology Defense Acquisition Resource Center

Defense Federal Acquisition Regulation Supplement (DFARS) DFARS Procedures Guidance and Information Website

Defense Business Systems (DBS) Acquisition

DoD Directive 5000.01
The Defense Acquisition System

DoD Instruction 5000.02
Operation of the Defense Acquisition System

DoD Instruction 5000.74
Defense Acquisition of Service

DoD Instruction 5000.75
Business Systems Requirements and Acquisition

Title 10, United States Code
Sections 186, 2222 (a)(1)(B), 2222(f), 2222(g), 2366(a), 2366(b), 2383, 2445(a) and 2445(c)

Office of Management and Budget Circular A-11
Part 7: Planning, Budgeting, and Acquisition of Capital Assets

Directive-Type Memorandum 11-009 Acquisition Policy for DBS

Deputy Chief Management Officer, DBS Investment Management Process Guidance

DoD Financial Management Regulation Federal Acquisition Regulation (FAR) Virtual Contracting Enterprise System

Section II

Forms referenced in or related to this publication

Requirements Road Map

https://www.dau.edu/tools/Documents/SAM/resources/Requirements_Roadmap.html

Request for Service Contract Approval Form

<http://www.asamra.army.mil/scra/documents/ServicesContractApprovalForm.pdf>

UMF 715-6-1

Acquisition Requirements Package Checklist

Appendix B

Internal Control Checklist

B-1. Function

This checklist addresses compliance with management and oversight of service acquisitions. It complements, in part, the Management Control Evaluation Checklist found in the [AFARS, Appendix BB](#).

B-2. Purpose

The purpose of this checklist is to provide a tool to help the USMEPCOM Commander assess compliance with oversight and management of service contracts. Senior leaders at all levels, with a responsibility to provide contract services, will use this checklist to evaluate compliance with these internal management controls.

B-3. Instructions

Answers must be based on the actual testing of key management controls (for example, document analysis, direct observation, sampling, simulation). Answers that indicate deficiencies must be explained and corrective action indicated in supporting documentation. These key management controls must be formally evaluated at least once every two years. Certification that this evaluation has been conducted must be accomplished on [DA Form 11-2, Internal Control Evaluation Certification](#).

B-4. Test Questions

- a. Are CORs and ACOs current in their training IAW Paragraph 6-2b?
- b. Are MEPS POCs or other additional surveillance personnel current in their training IAW Paragraph 6-4e?
- c. Does every COR and ACOR have a KO designation letter?
- d. Did the Commander appoint MEPS POCs or additional surveillance personnel in writing IAW Paragraph 1-4f, if they were not formally appointed by the KO/ACO?
- e. Does the annual performance record document COR performance, as required by USD (AT&L) guidance IAW Paragraph 6-4n?
- f. Did the COR's supervisor complete and document their annual review of COR files, IAW Paragraph 6-4n?
- g. Did CORs, ACORs, MEPS POCs, and other surveillance personnel notify his or her supervisor and J-4/MEFA-CD when he or she was 90-days out from leaving the command or was no longer designated to serve as a COR IAW Paragraphs 6-4d and 6-4e?
- h. Did senior leaders perform a workload assessment of human resources with supervisors to ensure balance between an employee's workload and other duties as assigned IAW Paragraph 1-4b (6)?
- i. Are non-conforming services or supplies delivered by the contractor documented and reported IAW the terms and conditions of the contract for supplies or during the specified interval in the QASP for services, IAW Paragraph 6-4h?

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j. Is J-4/MEFA-CP and the ACO for the contract notified at least 60-days out by the COR on behalf of the responsible element, of its intent to exercise a contract option, IAW Paragraph 6-4i?

k. Is the CMRA reporting requirement being met on time (31 Oct each year) through a collaborative effort between the contractor, the COR, and ACO, IAW Paragraph 6-4k (1)?

B-5. Comments

To make this checklist a more useful tool for evaluating management controls, submit comments to: HQ USMEPCOM, 2834 Green Bay Road, ATTN: J-4/MEFA-CD, North Chicago, Illinois, 60064-3091.

Appendix C
Glossary

Section I
Abbreviations

ACC

Army Contracting Command

ACO

Administrative Contracting Officer

ACOR

Alternate Contracting Officer's Representative

ADM

Acquisition Decision Memorandum

ADMC-2

Army Desktop and Mobile Computing-2

AQL

Acceptable Quality Level

AR

Army Regulation

ARP

Acquisition Requirements Package

ATO

Antiterrorism Officer

BCAC

Business Capability Acquisition Cycle

BCD

Business Capability Definition

BCL

Business Capability Lifecycle

BEA

Business Enterprise Architecture

BPR

Business Process Reengineering

CAJ

Contract Action Justification

CB

Consolidated Buy

CDB

Commander's Decision Board

CFR

Code of Federal Regulations

CHCC

Center for Health Care Contracting

CHESS

Computer Hardware Enterprise Software Solutions

CME

Contractor Manpower Equivalent

CMRA

Contractor Manpower Reporting Application

CONUS

Continental United States

COR

Contracting Officer's Representative

COTR

Contracting Officer's Technical Representative

COTS

Commercial off-the-Shelf

CPARS

Contractor Performance Assessment Reporting System

CRWG

Contract Review Working Group

DA

Department of the Army

DAU

Defense Acquisition University

DBS

Defense Business System

DCMA

Defense Contract Management Agency

DLA

Defense Logistics Agency

DFARS

Defense Federal Acquisition Regulation Supplement

DoD

Department of Defense

DPAP

Defense Procurement and Acquisition Policy

EIT

Electronic Information Technology

FAR

Federal Acquisition Regulation

FFP

Firm-Fixed-Price

FPI

Federal Prison Industries

FSS

Federal Supply Schedule

GFEBs

General Funds Enterprise Business System

GPC

Government Purchase Card

GSA

General Services Administration

GWAC

Government-Wide Acquisition Contract

HCAA

Health Care Acquisition Activity

HQ

Headquarters

HRCO

Health Readiness Contracting Office

IAW

In Accordance With

IC

Internal Control

IGCE (also known as or IGE)

Independent Government Cost Estimate

IMENS

Information Mission Elements Need Statement

IRB

Investment Review Board

ISSA

Inter-service Support Agreement

IT

Information Technology

ITAS

Information Technology Approval System

ITES-SB

Information Technology Services - Small Business

ITES-2H

Information Technology Enterprise Solutions - 2 Hardware

ITES-2S

Information Technology Enterprise Solutions - 2 Services

J-1/MEHR

J-1/Human Resources Directorate

J-4/MEFA

J-4/Facilities and Acquisitions Directorate

J-4/MEFA-CD

J-4, Contracting Division

J-4/MEFA-LD

J-4, Logistics Division

J-8/MERM

J-8/Resource Management Directorate

J-8/MERM-BDH

J-8, Resource Management, Headquarters Support Branch

J-8/MERM-BDF

J-8, Resource Management, Field Support Branch

J-1/MEHR-PR

J-1, Programs Division

J-1/MEHR-SD-MP

J-1, Manpower Division

J-5/MEPT

J-5, Strategic Planning & Transformation Directorate

KO

Contracting Officer

MDA

Milestone Decision Authority

MDEP

Management Decision Evaluation Package

MEDCOM

Medical Command

MEMO

Memorandum

MEPS

Military Entrance Processing Stations

MFIPT

Multifunctional Integrated Process Team

MICC

Mission and Installation Contracting Command

MICP

Managers' Internal Control Program

MIPR

Military Interdepartmental Purchase Request

NIB

National Industries for the Blind

OGE

Office of Government Ethics

OPSEC

Operations Security

PALT

Procurement Administrative Lead Time

PARC

Principal Assistant Responsible for Contracting

PBA

Performance-Based Acquisition

PIEE

Procurement Integrated Enterprise Environment

POC

Point of Contact

POM

Program Objective Memorandum

PM

Program Manager or Project Manager

PR

Purchase Request

PRS

Performance Requirement Summary

PWS

Performance Work Statement

QASP

Quality Assurance Surveillance Plan

QC

Quality Control

R&D

Research and Development

RSCA

Request for Service Contract Approval (also known as SCA)

SAF

Subject to the Availability of Funds

SAM

Service Acquisition Mall

SAT

Simplified Acquisition Threshold (\$250K)

SB

Small Business

SDVOSB

Service Disabled Veteran-Owned Small Businesses

SLC

Senior Leaders Council

SNaP-IT

Select & Native Programming Data Input System for Information Technology

SoNA

Statement of Non Availability

SOO

Statement of Objectives

SOW

Statement of Work

SSEB

Source Selection Evaluation Board

TBAI

Technology Business Architecture and Integration Directorate

UMR

USMEPCOM Regulation

USMEPCOM

United States Military Entrance Processing Command

WAWF

Wide Area Workflow

WBS

Work Breakdown Structure

Section II Terms

Acquisition

Purchasing by contract with appropriate funds for supplies and services to include construction by and for the use of the Federal Government through purchase or lease, whether the supplies or services are already in existence or must be created, developed, demonstrated, and evaluated. Acquisition begins at the point when agency needs are established and includes the description of requirements to satisfy agency needs, solicitation and selection of sources, award of contracts, contract financing, contract performance, contract administration, and those technical and management functions directly related to the process of fulfilling agency needs by contract.

Acquisition Planning

Means the process by which the efforts of all personnel responsible for an acquisition are coordinated and integrated through a comprehensive plan for fulfilling the agency need in a timely manner and at a reasonable cost. It includes developing the overall strategy for managing the acquisition.

Acquisition Streamlining

Means any effort that results in more efficient and effective use of resources to design and develop, or produce, quality systems.

AFARS

Army Federal Acquisition Regulation Supplement is the Army's supplemental guidance to the FAR and DFARS.

Anti-Deficiency

An organization is anti-deficient when it obligates more funds than are made available to the organization or when obligations are made before the organization actually gets the authority to obligate funds.

Bona Fide Need

The balance of an appropriation or fund limited for obligation to a definite period is available for payment of expenses properly incurred during the period of availability.

Contract Action Justification Form

Service contract requirements in excess of \$100K require approval at the designated General Officer/Senior Executive Service level. The USMEPCOM commander signifies completion of the initial review and approval of the requirement or Chief of Staff signing the form Army G-1 CAJ form before submission to Army G-1.

Contracting Officer's Representative

Is an individual designated IAW DFARS subsection 201.602-2 and authorized in writing by the KO to perform specific technical and administrative functions (DFAR Clause 252.201-7000). Alternates are also appointed in writing designating specific responsibilities, authorities, and limitations.

DoD FMR

The DoD FMR directs statutory and regulatory financial management requirements, systems, and functions for all appropriated and non-appropriated, working capital, revolving, and trust fund activities.

DFARS

Defense Federal Acquisition Regulation Supplement is the source for regulations, which include the implementation of statutes and DoD-wide contracting policies, authorities, and delegations.

DFARS Procedures Guidance and Information

DFARS PGI is a companion resource to the DFARS. The PGI is a web-based tool for simply and rapidly accessing guidance and information relevant to FAR and DFARS topics. The PGI contains both mandatory and non-mandatory internal DoD procedures, guidance, and supplemental information.

Elements

All Directorates, Special Staffs, Sectors, Battalions, MEPS, or offices subordinate to HQ USMEPCOM.

ESI

Enterprise Software Initiative

FAR

Federal Acquisition Regulation is the primary regulation that governs all federal acquisitions.

Government-wide Acquisition Contract

A GWAC is a type of Indefinite-delivery contract that has been awarded by another agency. The rules of FAR 16.505 apply. Other agencies can use the contract IAW its terms and conditions, but often a fee is associated with usage. If there are multiple awardees on the contract, they must be given a fair opportunity to be considered for the order. Proper Use of Non-DoD Agency documentation may be required depending on who awarded the contract.

Information Technology Services

Means the performance of any work related to IT and the operation of IT, including national security Systems. This includes work outsourced IT-based business processes, outsourced information technology, and outsourced information functions.

Internal Control

The organization policies and procedures that help program and financial managers achieve results and safeguard the integrity of their programs by reducing the risk of adverse activities. They are techniques and devices employed by managers to ensure that what should occur in their daily operations does occur on a continuing basis.

Leads

Person assigned by command elements to lead acquisition efforts and teams through the process. Some terms used to identify leads are PM, Action Officer, or End Users.

Managers' Internal Control Program

Managers Internal Control Program (MICP) serves as an overarching program under which the DoD complies with a host of laws and regulatory requirements with the primary three being the Federal Managers Financial Integrity Act of 1982, the Federal Financial Management Improvement Act of 1996, and the Government Performance and Results Act.

Market Research

Collecting and analyzing information about capabilities within a market to satisfy agency needs and comply with FAR requirements.

Milestone Decision Authority

This is the designated individual with overall responsibility for an acquisition program. The MDA has the authority to approve entry of an acquisition program into the next phase of the acquisition process and shall be accountable for cost, schedule, and performance reporting to higher authority, including congressional reporting.

Procurement Administrative Lead Time

The estimated amount of time required to award a contract action once a requirements package has been accepted by a supporting contracting agency. The standard PALT for contract actions reflects the amount of time generally required to process procurements in accordance with FAR, DFARS, AFARS and is affected by acquisition strategy, program dollar value, complexity, risk, and the authority level for approving acquisition documents.

Performance Requirements Summary

The document used to capture the desired outcomes, performance objectives, performance standards, and Acceptable Quality Levels (AQL) that measure contractor performance. The PRS serves as the baseline for the PWS. It should be brief and capture the critical elements of the requirement. In the actual PWS, the acquisition team will elaborate on and describe the requirement in detail. The ultimate goal is to describe the requirement in a way that allows an offer or to understand fully what will be necessary to accomplish it.

Personal Services

A personal service is characterized by the employer-employee relationship it creates between the government and the contractor's personnel. The government is normally required to obtain its employees by direct hire under competitive appointment or other procedures required by the civil service laws. Obtaining personal services by contract, rather than by direct hire, circumvents those laws unless Congress has specifically authorized acquisition of the services by contract as indicated in FAR 37.104. In a personal services contract, the contractor is considered to be, and is treated as, an employee of the government. In this type of relationship, a government officer or employee directly supervises and controls the contractor's personnel on a continuing basis. Personal service contracts require specific authorization.

Performance Work Statement

The PWS should state requirements in general terms of what (result) is to be done, rather than how (method) it is done. The PWS gives the contractor maximum flexibility to devise the best method to accomplish the required result. The PWS must ensure that all offerors can compete equally. The U.S. Government must remove any features that could restrict a potential offeror. However, the PWS must also be descriptive and specific enough to protect the interests of the U.S. Government and to promote competition. The clarity and explicitness of the requirements in the PWS will invariably enhance the quality of the proposals submitted. A definitive PWS is likely to produce definitive proposals, thus reducing the time needed to evaluate proposals.

Procurement Integrated Enterprise Environment

New name for Wide Area Workflow e-Business suite of programs.

Quality Assurance Surveillance Plan

The key Government-developed surveillance process document that is applied to Performance-Based Service Contracting (PBSC) and is used to manage contractor performance assessment by ensuring that systematic quality assurance methods are utilized to validate that the contractor's quality control efforts are timely, effective, and are delivering the results specified in the contract or task order. The QASP directly

corresponds to the performance objectives and standards (i.e., quality, quantity, timeliness) specified in the PWS and details how, when and by whom the Government will survey, observe, test, sample, evaluate, and document contractor performance results to determine whether the contractor has met the required standards for each objective in the PWS.

Request for Service Contract Approval

Army Federal Acquisition Regulation Supplement (AFARS) Subpart 5107.503(e) requires the completion of the Request for services Contract Approval (RSCA) form. Contracting officers must ensure that requiring officials provide a copy of a RSCA signed by an appropriate General Officer or member of the Senior Executive Service. Contracting officers shall not issue a solicitation for a service requirement or award any service contract or order, modify a service contract or order to add new work, or exercise an option under a service contract or order, without an approved certification. The contracting officer shall include the approval and completed worksheets in the official contract file. The general officer or senior executive may delegate certification authority for requirements valued less than \$100K in accordance with Command Policy. Contracting officers shall document the contract file with a copy of the Command Policy before accepting a service approval that has a signature below the General Officer/Senior Executive level. An RSCA is also referred to as a SCA.

Requiring Activity

The organization that receives the benefits of a goods or services contract, or the entity responsible for making contractual provisions for requirements in order to meet mission objectives.

Senior Leader

Individual assigned the primary responsibility of leading or directing a group (Directorate, Sector, Battalion, MEPS, or smaller units) by virtue of his or her position.

Services

For purposes of this regulation, the term "service" means the engagement of the time and effort of a contractor whose primary purpose is to perform an identifiable task, or tasks, rather than to furnish an end item of supply.

Select & Native Programming Data Input System for Information Technology

SNaP-IT is a DoD database used for publishing the DoD IT Budget Estimates IAW Circular A-11 Section 53 and Section 300 exhibits to OMB, and for monthly reporting to the OMB IT dashboard. Snap-IT is operated by the Assistant Secretary of Defense for Networks and Integration/DoD Chief Information Officer (ASD (NII)/DoD CIO). Additional Snap-IT guidance can be located within Management Regulation (7000.14-R, Volume 2B, Chapter 18) or within annual budget guidance issued by OUSD(C) NII/DoD CIO.

SourceAmerica

Non-profit agency that participates in the AbilityOne Program (formerly known as NISH).

Source Selection Evaluation Board

A group of military and/or government civilian personnel, representing functional and technical disciplines, that is charged with evaluating proposals and developing summary facts and findings during source selection.

Statement of Objectives

The Statement of Objectives is one part of a Request for Proposal from the U.S. Government. The Statement of Objectives is an alternative to a government prepared PWS or SOW. A SOO provides the Government's overall objectives and the offeror's required support to achieve the contractual objectives. Offerors use the SOO as a basis for preparing a SOW which is then included as an integral part of the proposal which the government evaluates during the source selection.

Statement of Work

For US government service contracts, the use of SOWs remains strong, although SOOs and PWSs have become increasingly popular due to their emphasis on performance-based concepts such as desired service outcomes and performance standards. SOWs are typically used when the task is well known and can be described in specific terms. They may be preferred when the government does not desire innovative approaches or considers any deviation in contractor processes a risk.

Supplies

Supplies mean all property except land or interest in land. It includes (but is not limited to) public works, buildings, and facilities; ships, floating equipment, and vessels of every character, type, and description, together with parts and accessories; aircraft and aircraft parts, accessories, and equipment; machine tools; and the alteration or installation of any of the foregoing.

Timely Manner

A timely manner means planning and initiating procurement requirements to ensure services and supplies are available when required to meet organizational needs. This requires backwards planning to factor in the time necessary to complete the internal process, and adhere to the procurement acquisition lead-time established by the supporting contracting agency.