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**COMMERCE ACQUISITION MANUAL
1307.1**

DEPARTMENT OF COMMERCE
ACQUISITION PLANNING

COMMERCE ACQUISITION MANUAL 1307.1

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ACQUISITION PLANNING

SECTION 1 – OVERVIEW

1.1 Background

Federal agencies are relying increasingly on contractors to deliver goods and services to assist in performing their mission. With billions of tax dollars spent each year in government contracting, it is essential that Federal acquisitions are managed in an effective, efficient and accountable manner.

Acquisition planning is critical to successful acquisitions in order to deliver the right solutions, at the best value, on time, and within budget. Therefore, by improving acquisition planning processes and disciplines, the value delivered for the taxpayer's dollar also improves. Adequate planning as soon as the requirement becomes known can eliminate potential problems at time of award and during contract performance and administration, thereby shortening procurement administrative lead-times and improving customer satisfaction.

Federal Acquisition Regulation (FAR) part 7, "Acquisition Planning", requires acquisition planning and market research for all acquisitions in order to promote and provide for acquisition of commercial products or commercial services; full and open competition; selection of appropriate contract type; and appropriate consideration of the use of pre-existing contracts.

1.2 Purpose

This Commerce Acquisition Manual (CAM) chapter provides policy and guidance to effectively conduct acquisition planning and develop acquisition plans.

1.3 Applicability

The requirements of this chapter are applicable to all relevant acquisitions within the Department of Commerce (DOC, Department) and its Operating Units.

1.4 Policy

In accordance with FAR 7.102(a), acquisition planning is required for all acquisitions and should be the first step in any acquisition, beginning as early in the program life-cycle as possible. Acquisitions at or exceeding \$10M require a detailed strategy identifying the acquisition objectives, market research findings, procurement method, milestones and other such considerations documented in the form of a written acquisition plan.

1.5 Objectives

The primary objective of this CAM chapter is to improve acquisition planning and market research processes and disciplines throughout the Department of Commerce in order to:

- Promote the use of commercial items;
- Enhance full and open competition;
- Enhance the use of performance-based acquisition;
- Promote strategic sourcing and category management;
- Ensure the appropriate use of high-risk contracting authorities;
- Provide maximum practicable contracting opportunities to small business and socioeconomic business concerns;

- Facilitate the effective allocation and use of resources; and
- Encourage innovative procurement and program management practices.

1.6 Describing Agency Need

The Program Official serving as the “planner” will begin the process by developing a full understanding of the needs of their program and considerations for accomplishing the planned acquisition. The Program Official must discuss with the servicing acquisition office, topics ranging from defining the need, market research strategy and results, potential sources, small business considerations, expected delivery or period of performance, and an appropriate acquisition strategy to meet the procurement goals. These discussions will culminate in a written acquisition plan, when required, to accompany the complete acquisition package when it is submitted to the servicing acquisition office.

1.7 Market Research

In accordance with FAR part 10, market research is required to determine the most suitable approach to acquiring, distributing, and supporting supplies and services. Market research must be conducted to the fullest extent practicable during acquisition planning and involves obtaining and analyzing information and knowledge specific to the requirement and determining if the Government’s needs can be satisfied in the commercial marketplace. Adequate market research can identify sources, commercial practices, pricing information, availability of products or services, and small business opportunities.

The extent of market research should align with the nature of the acquisition considering the complexity, dollar value and urgency of the requirement. The Contracting Officer may use market research conducted within 18 months before the award of any task/delivery order to meet this requirement if the information is still current, accurate, and relevant; if older than 18 months, new market research must be conducted.

1.7.1 Delivery/Task Orders

Market research is required prior to awarding a task/delivery order under an IDIQ contract (including multi-agency contracts (MACs), Governmentwide acquisition contracts (GWACs), and agency-issued contracts for non-commercial items at or above the simplified acquisition threshold (SAT).

1.8 Acquisition Planning Levels

The Department of Commerce has identified three acquisition planning levels, each requiring a different degree of detail and formality. The extent of acquisition planning is contingent upon a variety of factors such as the dollar value of the action, mission criticality, risk level, visibility and project complexity. These factors will determine the applicable acquisition planning requirements for the acquisition.

1.8.1 Advanced Acquisition Forecast

Advanced acquisition forecasts apply to acquisitions (including orders) where total life-cycle cost is expected to exceed the SAT; or acquisitions where life-cycle cost is expected to be below the SAT when simplified acquisition methods are not used. Forecasts involve the identification of planned acquisitions during the budget formulation process and should commence before the fiscal year begins in order to provide information to small businesses about expected contracts, increase small business participation in market research and solicitations, identify opportunities to target small business contracting goals, improve vendor engagement, and enhance contracting competition.

1.8.2 Streamlined Acquisition Plan

Streamlined acquisition plans identify all significant technical, cost and business issues of a requirement and provide specific solutions to address any critical issues in the proposed acquisition but require fewer narrative descriptions. Streamlined acquisition plans only apply to:

Fixed-price acquisitions where anticipated total life-cycle cost is expected to be at least \$10M but less than \$75M.

1.8.3 Formal Acquisition Plan

Formal acquisition plans identify all significant technical, cost and business issues of a requirement and provide specific solutions to address any critical issues in the proposed acquisition. Formal acquisition plans apply to:

- a. Fixed-price acquisitions where anticipated total life-cycle cost is expected to be \$75M or above; and
- b. Non-fixed price (including hybrid) acquisitions where anticipated total life-cycle cost (excluding any contract line item numbers (CLINs) for travel or Other Direct Costs (ODCs)) is expected to be \$10M or above.

Please note: Cost reimbursement CLINs solely for travel or ODCs on an otherwise fixed-price acquisition, will be considered fixed-price rather than hybrid.

1.8.4 Acquisition Plan Exclusion

An acquisition plan (streamlined or formal) is not required for the following:

- a. Fixed-price task/delivery orders placed under any DOC issued indefinite-delivery vehicle (e.g. indefinite-delivery indefinite-quantity (IDIQ) contracts, requirements contracts, blanket purchase agreements (BPAs));
- b. Real property leasehold agreements;
- c. Acquisitions for utility services under 41.103 authorities;
- d. Interagency Acquisitions (IAA) where DOC is the requesting agency (a copy of the IAA and supporting documents must be submitted to OAM);
- e. Unsolicited proposals deemed innovative and unique in accordance with FAR subpart 15.6; and
- f. Emergency acquisitions (i.e., when the need for the supplies/services is of such an unusual and compelling urgency that the Government would be seriously injured if the supplies/services were not immediately acquired). Poor planning or failure to timely initiate the acquisition process by the program and/or acquisition office does not constitute an emergency or unusual and compelling urgency. This exclusion requires SPE prior approval.

1.9 Protection of Procurement Sensitive Information

Streamlined and formal acquisition plans contain advance information on proposed acquisitions which could give prospective contractors an unfair advantage. Therefore, acquisition plans and supporting documentation are considered procurement sensitive. Individuals who participate directly or indirectly in any stage of the acquisition process must not publicize, discuss or release any information regarding streamlined or formal acquisition plans, supporting documents, or other details regarding proposed acquisitions outside DOC or to prospective contractors, except as provided in the FAR. Participants on the acquisition team may be required to complete confidentiality and conflict of interest certifications.

END OF SECTION 1

SECTION 2 – Roles and Responsibilities

2.1 Senior Procurement Executive (SPE)

The Senior Procurement Executive has overall responsibility for the following:

- a. Planning, developing and implementing policies and procedures for acquisitions throughout the Department of Commerce;
- b. Overseeing the acquisition planning process through oversight reviews of acquisition offices;
- c. Participating on Bureau-level Acquisition Review Boards for non-fixed price acquisitions with estimated values at \$50M or above, and those designated as “special interest”;
- d. Approving acquisition plans for all acquisitions valued at \$75M or above;
- e. Waiving written acquisition plan requirements;
- f. Serving as Chair of the Department-level Acquisition Review Board;
- g. Approving Determination and Findings for consolidating or bundling an acquisition with a total value exceeding \$2M in accordance with FAR subpart 7.107-2(a);
- h. Approving Determination and Findings to proceed with a single-award BPA with an estimated value exceeding \$100 million;
- i. Approving Justifications and Approvals for sole-source 8(a) contracts that exceed \$25 million;
- j. Providing concurrence on public notifications for bundled requirements; and
- k. Encouraging the use of innovative program management and procurement techniques when beneficial to the mission.

2.2 Deputy Secretary

The Deputy Secretary is responsible for:

Making a determination to issue a solicitation for consolidation or bundling where the substantial benefit threshold is not met but the benefits to the Government are mission critical and provides for maximum practicable participation by small business concerns.

2.3 Senior Bureau Procurement Official (BPO)

The Senior Bureau Procurement Official must ensure that acquisition planning is effectively implemented, used and updated, as needed. The BPO is responsible for the following:

- a. Determining the need for higher-level review and approval or additional concurrences for acquisition plans within their servicing Operating Unit;
- b. Establishing Bureau-level Acquisition Review Boards to review acquisition plans below \$75M;
- c. Serving as the final approver of acquisition plans for all procurements estimated below \$75M;
- d. Providing the Office of Acquisition Management (OAM), fully signed written acquisition plans (streamlined and formal);

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- e. Recommending the waiver of a written acquisition plan to the SPE, for programs and classes of contracts or task/delivery orders when it is determined that the service or staff office already has a detailed system in place that addresses the elements of the acquisition plan;
 - f. Issuing guidance to identify types of acquisitions that are appropriate, within the requirements and thresholds of this guidance, for all acquisition plans;
 - g. Authorizing the development of standard templates for use in programs or task/delivery orders that are repetitive and noncomplex;
 - h. Determining appropriate coordination and concurrences for acquisition plans;
 - i. Ensuring all planned acquisition forecasts requirements above the SAT within their servicing Operating Unit are entered into the PRISM Advanced Acquisition Planning (AAP) Module;
 - j. Coordinating, reviewing and ensuring acquisition forecasts are accurate and complete;
 - k. Working with the Bureau Small Business Specialist to identify forecasted opportunities that are amenable to being set-aside for small businesses, cannot be set-aside for small businesses or require additional research to make a set-aside determination;
 - l. Providing OAM a copy of internal acquisition planning guidance and any modifications to the established policy;
 - m. Serving as a principal member of the Department-level Acquisition Review Board;
 - n. Providing concurrence on Determination and Findings for consolidating or bundling an acquisition;
 - o. Validating the accuracy of data in the Federal Procurement Data System;
 - p. Reporting on bundling and consolidation requirements;
 - q. Approving Determination and Findings that no other contract type is suitable for non-fixed price acquisitions at or above \$10 million (delegable only below \$10M); and
 - r. Encouraging the use of innovative program management and procurement techniques when beneficial to the mission.

2.4 Program Official

The Program Official serves as the “planner” in the acquisition planning process as defined in FAR 7.101, with the advice and assistance of the Contracting Officer, and is responsible for the following:

- a. Identifying, entering, continually monitoring and updating quarterly, as needed, the acquisition forecasts in the PRISM AAP to reflect Departmental and the Office of Management Budget (OMB) budgetary decisions and reprogramming, correction of errors, or emergency requirements;
- b. Preparing and, when necessary, modifying acquisition plans;
- c. Preparing justifications for limiting sources under FAR 8.405-6, sole source or brand name justifications under FAR 13.106-1 and FAR subpart 13.5, justifications for an exception to fair opportunity under FAR 16.505, and justifications for other than full and open competition under FAR 6.303 (using the format prescribed in FAR 6.303-2), when applicable;
- d. Obtaining and documenting all necessary concurrences and approvals;
- e. Coordinating with the acquisition team for advice and assistance;
- f. Complying with the acquisition planning requirements identified in FAR Part 7, Department Administrative Order (DAO) 208-15 and the policy and guidance provided herein;
- g. Coordinating with the Bureau Small Business Specialist and Office of Small and Disadvantaged Business Utilization (OSDBU), when applicable;
- h. Coordinating with Operating Unit representatives of the Chief Financial Officer and Budget Officer;
- i. Coordinating with Operating Unit representatives of the Chief Information Officer on acquisitions requiring capital planning and investment control requirements as identified in 40 U.S.C. 11312, OMB Circular A-130, OMB Circular A-11 and Federal Information Technology Acquisition Reform Act (FITARA) provisions;
- j. Ensuring, when applicable, at least one qualified and certified Contracting Officer’s Representative (COR) is nominated as early as practicable and identified in the acquisition plan;
- k. Nominating, when applicable, a qualified and certified Project Manager as early as practicable and ensuring they are identified in the acquisition plan;
- l. Modifying the acquisition plan for major changes, both before and after contract award, and obtaining new coordination, concurrences and approval;
- m. Considering the use of innovative program management and procurement techniques when beneficial to the mission; and
- n. Developing a contract type Transition Plan in collaboration with the acquisition team, at least 18 months prior to the expiration of a contract using high-risk contracting authorities when applicable.

2.5 Contracting Officer (CO)

The Contracting Officer is responsible for the following:

- a. Providing applicable input for adequate acquisition planning (e.g., determining contract type; advising on source selection criteria, conducting pre-proposal conferences, etc.);
- b. Preparing solicitations, CD-570 *Small Business Programs Review* forms, determination and findings, and other contract documents;
- c. Reviewing and providing concurrences on acquisition plans;
- d. Reviewing, concurring and, as appropriate, supplementing justifications for other than full and open competition;
- e. Conducting a Benefits Analysis for consolidating or bundling an acquisition;
- f. Notifying incumbent small business concern(s) of the Department's intent to bundle a requirement;
- g. Providing notification to the Small Business Administration (SBA) Procurement Center Representative (PCR) for any follow-on bundled or consolidated requirement;
- h. Considering the use of innovative procurement techniques when beneficial to the mission; and
- i. Developing a contract type Transition Plan in collaboration with the acquisition team, at least 18 months prior to the expiration of a contract using high-risk contracting authorities when applicable.

2.6 Office of General Counsel (OGC)

The Office of General Counsel, Contract Law Division is responsible for the following:

- a. Providing legal advice, counsel, review and concurrence of acquisition plans;
- b. Assessing risks from a legal perspective and determining whether the proposed acquisition strategy is legally permissible and sufficient; and
- c. Serving as an associate member of the Department-level Acquisition Review Board.

2.7 Competition Advocate

The Competition Advocate is responsible for reviewing acquisition plans before submission to the approving official when the use of restricted competition or non-competitive procedures are anticipated.

2.8 Small Business Administration Procurement Center Representative

The Small Business Administration Procurement Center Representative is responsible for:

- a. Reviewing proposed acquisition packages provided in accordance with FAR 19.202-1;
- b. Providing research tools, assistance and training to contracting staff and small businesses;
- c. Recommending alternate contracting methods to increase small business prime contracting and subcontracting opportunities;

- d. Reviewing solicitations that require subcontracting plans to submit advisory findings to the Contracting Officer prior to solicitation issuance;
- e. Reviewing proposed contracts that require a subcontracting plan along with the accompanying subcontracting plan and supporting documents; and
- f. Reviewing any bundled or consolidated solicitation or contract and advocating against the unjustified consolidation or bundling of requirements.

2.9 Office of Small and Disadvantaged Business Utilization (OSDBU)

The Office of Small and Disadvantaged Business Utilization is responsible for the following:

- a. Assisting with coordinating CD-570, small business reviews between the acquisition team and the SBA PCR;
- b. Collaborating with the acquisition team to maximize small business participation in prime and subcontracting opportunities;
- c. Serving as an associate member of the Department-level Acquisition Review Board;
- d. Reviewing proposed solicitations that involve consolidating or bundling of requirements and working with the Bureau acquisition office and PCR to revise the acquisition strategies to increase the probability of small business participation as prime contractors, or to facilitate small business participation as subcontractors and suppliers if a solicitation for a bundled contract is to be issued; and
- e. Providing concurrence on public notifications for bundled requirements.

2.10 Bureau Small Business Specialist (SBS)

The Bureau Small Business Specialist is responsible for:

- a. Collaborating with the acquisition team to devise acquisition strategies in compliance with the Small Business Program;
- b. Working collaboratively with the OSDBU to coordinate participation in small business outreach events and conferences;
- c. Reviewing and continually monitoring bureau-level acquisition forecasts submitted in the PRISM AAP Module;
- d. Working with the BPO to identify forecasted opportunities that are amenable to being set-aside for small businesses, cannot be set-aside for small businesses or require additional research for the Contracting Officer to make a set-aside determination;
- e. Notifying the OSDBU if an acquisition strategy involves substantial bundling;
- f. Providing concurrence on public notifications for bundled requirements; and
- g. In coordination with the Contracting Officer, providing notification to the SBA PCR for any follow-on bundled or consolidated requirement.

2.11 Bureau Chief Information Officer

The Bureau Chief Information Officer is responsible for the following:

- a. Performing responsibilities as outlined in the Office of Chief Information Officer (OCIO) Information Technology Review (ITR) Program Charter related to acquisition planning; and
- b. Reviewing and providing concurrences on all written acquisition plans.

2.12 Chief Information Officer (CIO)

The Chief Information Officer is responsible for (or delegating to the Bureau CIO) the following:

- a. Serving as Chair of the Commerce Information Technology Review Board (CITRB) that reviews all major information technology (IT) investments;
- b. Participating in Department-level Acquisition Review Board sessions;
- c. Ensuring IT contract actions are consistent with CIO-approved plans and strategies;
- d. Reviewing and approving the IT Compliance Checklist for all acquisitions (delegated to Bureau CIO);
- e. Issuing an Information Technology Investment Authority (ITIA) for IT investments; and
- f. Reviewing and providing concurrences on acquisition plans at or above \$75M.

END OF SECTION 2

SECTION 3 – ADVANCED ACQUISITION FORECAST

3.1 Background

The forecast of contracting opportunities is required by Public Law (PL) 100-656, the Business Opportunity Development Reform Act of 1988. The law requires executive agencies to provide a forecast of all expected contracting opportunities, including those that small, small disadvantaged, 8(a), women-owned small, historically underutilized business zones, veteran-owned, and service-disabled veteran owned small business concerns are capable of performing.

Effective market research and acquisition planning are critical to the efficient use of taxpayer dollars, the economical accomplishment of program objectives, and providing maximum practicable opportunities to small business. To ensure adequate acquisition planning is performed, advanced acquisition forecasting should be conducted to promote early communications between representatives of the program and acquisition offices and with small businesses, before submission of a procurement request.

The development of the forecast should commence as soon as a need for an acquisition is identified and well in advance of the appropriation of funds, in order to provide information to small businesses about expected contracts, increase small business participation in market research and solicitations, improve vendor communication and enhance competition. As part of the acquisition forecasting process, Analysis of Alternatives (AoAs) as required by OMB memorandum 19-13, *Category Management: Making Smarter Use of Common Contract Solutions and Practice*, should generally be developed no less than 18-24 months prior to award. As forecasts are required prior to the appropriation of funds, they will be based on the best estimate available from budget projections.

3.2 Applicability

Acquisition forecasts apply to all new, re-compete and follow-on acquisitions with life-cycle cost expected to exceed the SAT. The acquisition forecast requirements exclude in-scope modifications, exercise of options, incremental funding and orders against single award vehicles.

3.3 Procedures

Each Senior Bureau Procurement Official may develop and issue specific guidance for their Operating Unit regarding acquisition forecast submissions that include the use of the Department's acquisition forecasting tool available in the Business Acquisition Solution (BAS) PRISM Advanced Acquisition Planning (AAP) Module. Forecast information will be posted to the Department's Office of Acquisition Management webpage at: <https://www.commerce.gov/oam/vendors/procurement-forecasts>. In addition, acquisition forecasts will be available on the Department's primary webpage at: <https://www.commerce.gov/work-with-us/grants-and-contract-opportunities>.

The Operating Unit guidance should include at a minimum:

- a. Requirement for Program Offices to submit acquisition forecasts *individually* for all new, re-compete and follow-on acquisitions with life-cycle cost expected to exceed the SAT;
- b. Requirement to identify the acquisition forecasting identification number in all resulting acquisition plans (streamlined and formal);
- c. Annual deadline for all known acquisition forecasts;
- d. Specific instructions to guide Program Officials in accurately completing and reporting data to effectively convey acquisition forecasts;

- e. Requirement for Program Officials to continually monitor and quarterly update, as needed, acquisition forecasts in the PRISM AAP to reflect Departmental and the Office of Management Budget budgetary decisions and reprogramming, correction of errors, or new requirements; and
- f. Requirement for Bureau Small Business Specialists to review bureau-level initial forecast submission.

3.4 Implementation of Acquisition Forecast Plan

Once acquisition forecasts are developed, the responsibility for effectively completing and implementing the acquisition plan becomes a joint responsibility of the program office and the servicing acquisition office and should involve all members of the acquisition team in the early development stages. This early involvement will facilitate a full understanding of the responsibilities of each party and will help develop the necessary partnership between the program office and servicing acquisition office in acquiring the best value supplies and services of reliable quality, delivered on time and at a fair and reasonable price.

3.5 Unplanned Acquisitions

Requirements for acquisitions that arise after submission of the annual acquisition forecast should be entered into the PRISM AAP Module as soon as possible upon identification of the need.

END OF SECTION 3

SECTION 4 – WRITTEN ACQUISITION PLANS

4.1 Background

Acquisitions using cost-reimbursement and other high-risk contracting authorities (including hybrid), where anticipated total life-cycle cost (excluding any CLINs for travel or ODCs) is expected to be \$10M or above and fixed-price contracts where anticipated total life-cycle cost is expected to be \$10M or above require a detailed strategy identifying the acquisition objectives, market research findings, procurement method, milestones and other such considerations documented in the form of a written acquisition plan. The Department has established a requirement for two types of written acquisition plans:

- a. Streamlined acquisition plans identify all significant technical, cost and business issues of a requirement and provides specific solutions to address any critical issues in the proposed acquisition but require fewer narrative descriptions.

Streamlined acquisition plans are used for multiple purposes. The primary purpose is to create a “road map” of the acquisition strategy to successfully procure goods and services, which may reduce issues at time of award and during contract performance. Other purposes include identifying acquisitions that are of “special interest” and identifying the need for additional reviews and clearances based on the nature, complexity and/or risks associated with the acquisition.

- b. Formal acquisition plans are used to facilitate attainment of acquisition objectives for requirements with greater complexity, risk and/or cost. Formal plans address all technical, business, management, and other significant considerations that will affect the acquisition strategy and provide greater detail than streamlined acquisition plans.

4.2 Applicability

Written acquisition plans apply to the following:

4.2.1 Streamlined Acquisition Plan:

Fixed-price acquisitions where anticipated total life-cycle cost is expected to be at least \$10M but less than \$75M.

4.2.2 Formal Acquisition Plan:

- a. Fixed-price acquisitions where anticipated total life-cycle cost is expected to be \$75M or above;
- b. Non-fixed price (including hybrid) acquisitions where anticipated total life-cycle cost (excluding any CLINs for travel or ODCs) is expected to be \$10M or above; and
- c. Formal acquisition plans may be required for acquisitions below the thresholds in paragraphs 4.2.2 (a) and (b) that meet one or more of the following special interest criteria*:
 - i. Acquisition is complex, critical to agency strategic objectives and mission, highly visible or politically sensitive;
 - ii. Acquisition with which the Department has little or no experience that may result in a need for greater oversight or risk management;
 - iii. Actions using significantly changed methods (e.g., methods of procurement such as lease versus purchase, or methods of performance such as contractor versus Government personnel);
 - iv. Acquisitions for new construction, or repair and alteration;

- v. Acquisitions that require contract consolidation or bundling (see FAR 7.107); or
- vi. Acquisitions with award term/fee, or incentive arrangements as defined in FAR Subpart 16.4.

*In the event the Contracting Officer determines an acquisition meets one or more of these criteria, they must consult with their BPO, who will make the determination (in consultation with OAM) that a formal acquisition plan will be required.

4.3 Exemptions

Written acquisition plans are not required for the following types of acquisitions:

- a. Unsolicited proposals that are deemed innovative and unique in accordance with FAR subpart 15.6.
- b. Emergency acquisitions (i.e., when the need for the supplies/services is of such an unusual and compelling urgency that the Government would be seriously injured if the supplies/services were not immediately acquired). Poor planning or failure to timely initiate the acquisition process by the program and/or acquisition office does not constitute an emergency or unusual and compelling urgency.
- c. Fixed-price task/delivery orders placed under any DOC issued indefinite-delivery vehicle.
- d. Interagency Acquisitions where DOC is the requesting agency.
- e. Acquisitions for utility services under 41.103 authorities.
- f. Real property leasehold agreements.

4.4 Procedures

Each Senior Bureau Procurement Official must establish internal review and approval procedures for written acquisition plans (streamlined and formal) recognizing complexity, dollar value and visibility of programs. The procedures must require the submission of written acquisition plans to OAM via the OAM mailbox at: oam_mailbox@doc.gov and to the OCIO at: OCIOInternalControls@doc.gov at least **14 business** (18 calendar) **days** prior to: the Bureau Acquisition Review Board; or the solicitation issue date if no Bureau-level ARB is planned; or the scheduled Department-level ARB. Additionally, the procedures must include a requirement to submit to OAM, a link to the solicitation in BAS within five (5) business days after release or the title and solicitation number if not procured through BAS, and a link or copy of the award document within 5 business days after award. Further, the procedures must address all Bureau internal processes related to review and coordination of approval offices.

The procedures must include a waiver process that ensures all waiver requests are in writing, contain sufficient detail to clearly explain the basis for the request and recommended alternative actions are clearly provided. All waiver requests must be approved by the SPE.

4.4.1 Modifications to Acquisition Plans

Written acquisition plans (streamlined and formal) must be revised whenever there is a significant change prior to award. A change is significant if there is a modification to what is being procured, how it is being procured (including method or contract type), or funding. Modified acquisition plans should be reflected as a revision to the previously approved plan and a copy of all previously approved plans must be retained in the official contract file.

After initial approval, significant changes in a written acquisition plan must be approved by the approving official before they are implemented. A revised acquisition plan is subject to the same review and clearance process as the original document, provided the acquisition remains within the same applicable dollar threshold. Any changes to the approved acquisition plan must be justified and approved by the BPO and reflected as a revision to the previously approved plan. For an acquisition plan approved by the Senior Procurement Executive, the Contracting Officer should discuss potential changes with the BPO before requesting formal approval of any amendments to the acquisition plan.

4.5 Waiver

In some cases, the requirement for a written acquisition plan may be waived by the SPE based on urgency (such as the need for a compressed acquisition schedule to meet urgent program needs) or some other justifiable basis. A request for a waiver must be in writing and must fully describe the facts and the basis for the request. A waiver will not be considered when the urgency stems from the lack of advance acquisition planning or execution.

A request for a waiver of the requirement for an acquisition plan (streamlined or formal) must be submitted for approval by the SPE in the same manner as the acquisition plan at least 14 business (18 calendar) days prior to the Bureau Acquisition Review Board; or the solicitation release date if no Bureau-level ARB is planned. The waiver must be granted prior to the release of the solicitation. A request for a waiver of ARB processes is separate from the requirements for a written acquisition plan and such requests must be submitted to the ARB Chair. See Appendix I for an acquisition plan Waiver Request template.

4.6 Annual Projections

On or before November 1st of each year, Bureau Procurement Officials must submit projection information, via the OAM mailbox at: oam_mailbox@doc.gov, for all written acquisition plans to be submitted to OAM for review for the fiscal year. Additional procurements that arise after submission of the annual projections, that will require a written acquisition plan and OAM review, must be submitted to OAM as soon as possible upon identification of the requirement.

END OF SECTION 4

SECTION 5 – STREAMLINED ACQUISITION PLANS

5.1 Developing a Streamlined Acquisition Plan

A streamlined acquisition plan will identify the objectives, planned actions and required documents of the acquisition to meet the requirement throughout the acquisition planning process, ending with the award date. A streamlined acquisition plan in essence becomes an agreement between the program office and the servicing acquisition office, setting forth the strategy for successful completion of the planned acquisition, and demonstrates standard milestones for achieving contract actions.

5.2 Content of Streamlined Acquisition Plan

A streamlined acquisition plan is intended to be an abbreviated version of a formal acquisition plan and the level of detail may vary depending on the complexity of the acquisition. However, at a minimum a streamlined acquisition plan must address all elements outlined in FAR 7.105, be marked with the legend stating, “*Source Selection Information—See FAR 2.101 and 3.104* and contain the following additional Departmental information:

- a. Procurement Title
- b. Forecast Identification Number
- c. Information Technology Investment Authority Number (IT investments only)
- d. Unique or innovative techniques
- e. List of participants in the acquisition including Contracting officer (Federal Acquisition Certification in Contracting (FAC-C) and Warrant Level)); assigned COR (FAC-COR Level); and Project Manager (FAC-P/PM Level)
- f. Signature Page (*cleared through all appropriate offices*)

The following attachments should be submitted with the streamlined acquisition plan, as applicable and including all required signatures:

- Draft Statement of Work/Performance Work Statement/Statement of Objectives
- CD-570, Small Business Set-Aside Review Form, if applicable
- Market Research Report
- Independent Government Cost Estimate (IGCE)
- Justification for Other than Full and Open Competition or Limiting Sources Justification, as applicable
- All required Determination and Findings and/or Justification and Approvals, if applicable
- Consolidation or Bundling Analysis, as applicable
- Proposed Award/Incentive-Fee/Term Plan, if applicable
- Interagency Agreement, if applicable
- Independent Cost Estimate (ICE) of overall program, if applicable
- Analysis of Alternatives, if applicable

Appendix B provides a Streamlined Acquisition Plan template.

END OF SECTION 5

SECTION 6 – FORMAL ACQUISITION PLANS

6.1 Content of Formal Acquisition Plan

The specific content of a formal acquisition plan will vary depending on the nature, circumstances, and stage of the acquisition. A formal acquisition plan will identify all significant technical, cost and business issues and provide specific solutions to address the critical issues in the proposed acquisition. The plan should be based on fact (not opinion or supposition) and reflect what was decided, alternatives considered, and the rationale for recommending the proposed strategy. In preparing a formal acquisition plan, the planner must follow the applicable instructions in Subsections 6.1.1 through 6.1.3 below.

6.1.1 Headers, Footers and Special Notices

The following notice must be prominently displayed on the front page of all formal acquisition plans: “This document contains proprietary or source selection information related to the conduct of a federal agency procurement. The disclosure and receipt of this information is restricted by Section 27 of the Office of Federal Procurement Policy Act (41 U.S.C. 2101 et seq.). The unauthorized disclosure of this information may subject both the discloser and the recipient to the contractual, civil, and/or criminal penalties as provided by law.”

Each page of the plan must contain a header identifying the title of the acquisition and a footer identifying the page numbers and the following notice: “Source Selection Information—See FAR 2.101 and 3.104-4”.

6.1.2 Part I – Acquisition Background and Objectives

Part I of a formal acquisition plan must include the following, as applicable:

- a. **Title** – Provide a short descriptive title.
- b. **Identification Number** – If required, each acquisition plan must identify the associated acquisition forecast number generated in the PRISM AAP Module.
- c. **Statement of Need** – Include a statement of need, the technical and contractual history of the project, feasible acquisition alternatives, impact of prior acquisitions on those alternatives, and related in-house effort.
- d. **Applicable Conditions** – Discuss all significant conditions affecting the acquisition such as the need for compatibility with existing or future systems or programs, and any known cost, schedule, capability or performance constraints.
- e. **Cost** – Provide total estimated costs, including how the estimate was derived, sources used to determine costs, etc. When options are involved, show the cost for each option separately from the total cost. For requirements type contracts – calculate total cost for the estimated quantity for the base period plus the total cost for estimated quantities for each option year, if applicable; for indefinite-delivery, indefinite- quantity contracts – calculate total cost of the identified maximum for the base period plus the total cost of the identified maximum for each option year, if applicable. For acquisitions subject to OMB Circular A-76 procedures, the total cost may be expressed either as a range or by total number of full-time equivalents. As appropriate, discuss how the following approaches were utilized in developing the cost estimate:
 - i. *Life-cycle cost* – Discuss how life-cycle cost will be considered. If it is not used, explain why. If appropriate, discuss the cost model used to develop life-cycle cost elements.

- ii. **Design-to-cost** – Describe the design-to-cost objective(s) and underlying assumptions, including the rationale for quantity, learning curve, and economic adjustment factors.

Describe how objectives are to be applied, tracked and enforced. Indicate specific solicitation and contractual requirements to be imposed.
- iii. **Should-cost analysis** – Describe the application of should-cost analysis to the acquisition plan (see FAR 15.407-4).
- f. **Capability or performance** – Specify the required capabilities or performance characteristics of the supplies or services being acquired, state how they are related to the need and identify standards or metrics to demonstrate success. If a make and model acquisition is proposed, the basis for such requirement must be identified. If a brand name or equal acquisition is proposed, the salient characteristics necessary to determine equality must be identified.
- g. **Delivery or performance-period requirements** – Describe the basis for delivery or performance period requirements (see FAR Subpart 11.4) and show how they relate to the Government's need. Explain and provide reasons for any urgency if it results in concurrency of development and production or constitutes justification for not providing full and open competition.
- h. **Trade-offs** – Discuss the expected consequences of trade-offs among the various cost, capability or performance, and schedule goals. [Note, this section should not discuss source selection trade-offs but instead the rationale supporting trade-offs decisions, e.g. choosing a later delivery date for an item in order to minimize or keep down cost].
- i. **Risks** – Describe the technical, cost, and schedule risks and discuss what efforts are planned to reduce risk; also address the consequences of failing to achieve acquisition goals.
- j. **Acquisition streamlining** – If specifically designated by the Department as a program subject to acquisition streamlining, discuss plans to:
 - i. Encourage industry participation by using draft solicitations, pre-solicitation conferences, and other means of stimulating industry involvement during the design and development phase;
 - ii. Select and tailor only the most cost-effective requirements; and
 - iii. State the timeframe for identifying which specifications and standards, (originally provided for guidance only), will become mandatory.

6.1.3 Part II – Plan of Action

Part II of the formal plan should include the following information, as applicable:

- a. **Sources** – Indicate the prospective sources of supplies and/or services that can meet the need. Describe the following:
 - i. The effort made to identify sources from the required sources of supplies or services (see FAR part 8) and sources identifiable through databases such as www.abilityone.gov, and www.contractdirectory.gov.
 - ii. The efforts that have been made to identify all qualified sources, including small business concerns, small business concerns owned and controlled by service-disabled veterans, qualified HUBZone small business concerns, small business concerns owned and operated by socially and economically disadvantaged individuals, small business concerns owned and controlled by women, and domestic sources.

Discuss the results of market research analysis and/or surveys and indicate their impact on the various elements of the plan. The results of market research should be used to discuss if sources capable of satisfying the requirements exist; and the extent to which commercial items or non-developmental items are available. Include any information resulting from sources sought, request for information, small business outreach, industry day, pre-solicitation conference, etc. and address why the selected approach is in Government's best interest.

NOTE: A notice of intent to contract on a sole source basis in the Governmentwide Point of Entry (GPE) **does not** constitute market research.

- b. Discuss the impact of any consolidation or bundling and describe the extent of contract consolidation/bundling and the benefits (such as cost savings or price reduction, quality improvements that will save time, improve or enhance performance or efficiency, reduce acquisition cycle times, result in better terms and conditions, and any other benefits resulting from the consolidation or bundling). Include a specific determination that the anticipated benefits of the proposed consolidation or bundling justify its use.

Also, include an assessment of the specific impediments to participation by small business concerns as prime contractors that result from consolidation or bundling and any actions to maximize small business participation as prime contractors or subcontractors. In addition, identify alternative strategies that would reduce or minimize the scope of consolidation or bundling. When the proposed acquisition strategy involves bundling (see FAR 7.107), identify the incumbent contractors and contracts affected by the bundling.

- c. **Competition** – Describe how competition will be sought, promoted, and maintained throughout the course of the acquisition. Specifically:
 - i. Describe efforts to be made to identify additional firms that could effectively compete for the requirement, in addition to the required GPE announcement(s), if applicable. If full and open competition is not contemplated, cite the appropriate FAR authority, discuss the basis for the application of that authority, identify the proposed source(s), and discuss why full and open competition cannot be obtained.
 - ii. Identify and discuss the major work components or subsystems and their potential for “breakout” (i.e., as a separate acquisition) to enhance competition.
 - iii. If applicable, describe how competition will be sought, promoted, and sustained for spare and repair parts. Identify any key logistics milestone (such as technical data or delivery schedules), that affect competition.
 - iv. When effective subcontracting competition is both feasible and desirable, describe how such subcontracting competition will be sought, promoted and sustained. Identify any known barriers to increasing subcontracting competition and address how to overcome those barriers.
 - v. Discuss the evaluation of alternative competition strategies in terms of their ability to generate meaningful competition; satisfy the requirement timely; and allow negotiations of best value to the government.

d. Evaluation and source selection procedures:

- i. Describe the evaluation and selection procedures to be used (including any innovative evaluation techniques) and show the relationship of the evaluation factors to the objectives of the acquisition. Discuss the evaluation methodology and describe the relative importance among technical, business management, and price or cost factors in the selection process. Discuss how options, if any, will be evaluated.
- ii. If evaluation criteria will state specific number of years of experience for any personnel of the contractor, or any other such restrictive qualifying criteria, as a minimum requirement, justification to support that limitation must be provided.
- iii. State the selection criteria to be used and identify the individual who will make the award decision if other than the Contracting Officer or Head of Contracting Activity will serve as the Source Selection Authority (SSA), if applicable. If the award decision official or SSA is changed or redelegated at any time after approval of the acquisition plan, the new name must be provided in writing to the Senior Procurement Executive.
- iv. When an Earned Value Management System (EVMS) is required (see FAR 34.202(a)) and a pre-award Integrated Baseline Review (IBR) is contemplated, the acquisition plan must discuss: how the pre-award IBR will be considered in the source selection decision; how it will be conducted in the source selection process (see FAR 15.306); and whether the Offeror will be directly compensated for the costs of participating in a pre-award IBR.

e. Contract Type – Discuss proposed contract type and rationale for why it was selected.

- i. For non-fixed price contracts, see FAR subpart 16.1(d) for additional guidance relating to such issues as cost risk, risk mitigation, and administrative burden.
- ii. For time-and-material or labor-hour contracts and task orders for commercial services including those awarded through General Services Administration's (GSA) Federal Supply Schedules (FAR subpart 8.4), ensure the required determination and findings as prescribed in FAR 12.207(b) is prepared.
- iii. When an incentive-type contract is proposed, discuss the incentive provisions considered most suitable for accomplishing the acquisition objectives. Ensure the required determination and findings as prescribed in FAR 16.401(d) is prepared.
- iv. When a cost-reimbursement contract is selected, document findings necessary to support why the use of this contract type is appropriate.
- v. If the contract type is a hybrid of fixed price and non-fixed price, provide the anticipated percentages for each type. Costs associated with line items solely for travel and ODCs on an otherwise fixed-price acquisition should not be considered hybrid.

f. Acquisition Considerations -

- i. For each contract (and order) contemplated, discuss the strategy to transition to fixed-price contracts to the maximum extent practicable. During the requirements development stage, consider structuring the contract requirements, e.g., contract line items, in a manner that will permit some, if not all, of the requirements to be awarded on a fixed-price basis, either in the current contract, future option years, or follow-on contracts. This will facilitate an easier transition to a fixed-price contract because a cost history will be developed for a recurring definitive requirement.

- ii. Describe the use of multi-year contracting, options, or any special contracting methods; any special clauses (e.g., economic price adjustment clauses); special solicitation provisions or FAR deviations required; whether sealed bidding or negotiations will be used and why; whether equipment will be acquired by lease or purchase and why; and any other relevant considerations.
 - iii. Provide rationale if a performance-based acquisition is not used or if a performance-based acquisition for services is contemplated on a non-fixed price basis.
 - iv. When an interagency acquisition is proposed, discuss the basis for such determination, and steps that will be taken to ensure sound management and use of the interagency acquisition.
 - v. For acquisitions requiring capital planning and investment control requirements, discuss how the responsibilities identified in 40 U.S.C. 11312 and OMB Circular A-130 will be met (see FAR 7.103(v) and Part 39).
 - vi. For IT acquisitions using Internet Protocol, discuss whether the requirements documents include the Internet Protocol compliance requirements specified in FAR 11.002(g) or if a waiver of these requirements has been granted by the agency's Chief Information Officer.
 - vii. Discuss the use of any innovative or underutilized procurement and program management techniques considered. Information on the Department's Innovation Lab (The Lab) is available at: <https://www.commerce.gov/oam/lab>.
- g. Budgeting and funding** – Describe how the budget estimates were derived and discuss the schedule for obtaining adequate funds, when required. Identify the funding amounts by appropriation account, fiscal year, line item and project. Where funding is obtained from multiple projects, provide a complete identification of each funding source. If growth is proposed for the base and option years, discuss plans for ensuring consistency with budget projections. Include a budget table identifying the funds that have been budgeted for the acquisition for the entire period of the contract.
- h. Product or service descriptions** – In accordance with FAR part 11, explain the choice of product or service description types (including performance-based acquisition descriptions) to be used in the acquisition.
- i. Priorities, allocations and allotments** – When urgency of requirement dictates a particularly short delivery or performance schedule, certain priorities may apply. If so, specify the method for obtaining and using priorities, allocations, and allotments and the reason for them (see FAR subpart 11.6).
- j. Contractor versus Government performance** – Address the requirements of OMB Circular No. A-76.
- k. Inherently governmental functions** – Address the consideration provided in FAR subpart 7.5. Discuss the assumptions that determine whether contractor rather than agency support will be used, including consideration of contractor or agency maintenance, servicing, and distribution of commercial items (see FAR 7.105(b)(14) (i)).
- i. If it is determined that contracted resources will be used, provide a rationale that fully supports this basis and that none of the functions to be performed under the contract or task order are inherently governmental. This assessment should place emphasis on the degree to which conditions and facts restrict the discretionary authority, decision-making responsibility, or accountability of Government officials using contractor services or work products.

- ii. When services to be acquired will closely support the performance of inherently governmental functions, provide an assessment of current and potential technical, cost, schedule and performance risks, the level of those risks and a mitigation plan that describes how the Government will monitor, control, and mitigate risk of contract performance, as well as steps to be taken when an identified risk occurs. The mitigation plan must outline the roles and responsibilities of Government personnel involved in oversight and demonstrate the skills and capacity of the personnel to perform adequate contract award, management and oversight.
- I. Management information requirements** – Discuss what management system and project management tools will be used to monitor performance.
 - i. Earned Value Management System reporting is required on all major acquisitions for development. The Department considers a “major acquisition for development” to be an acquisition that includes \$25M or more in development, modernization, and enhancement (DME) costs over the life of the acquisition (including options). The Department may also direct an acquisition with less than \$25M in DME costs, over the life of the acquisition, be treated as a “major acquisitions for development” that merits special attention due to its sensitivity, mission criticality or risk potential.
 - ii. Discuss how the offeror’s/contractor’s EVMS will be verified for compliance with the American National Standards Institute/Electronics Industries Alliance (ANSI/EIA) Standard-748, Earned Value Management Systems, and the timing and conduct of integrated baseline reviews (whether prior to or post award).
 - iii. For developmental acquisitions where EVMS is not required, describe the project management tools and management information tools being used to monitor performance.
- m. Make or buy** – Discuss any considerations given to make-or-buy programs (see FAR 15.407-2).
- n. Test and evaluation** – If applicable, describe the test program to be used by the Government and contractor. Also describe the test program for each major phase of a major system acquisition. If concurrency of development and production is planned, discuss the extent of testing to be accomplished before production release.
- o. Logistics considerations** – Describe:
 - i. The assumptions determining contractor or agency support, both initially and over the life of the acquisition, including maintenance and servicing considerations (i.e. maintenance, repairs, spare parts); support for contracts to be performed in a designated operational area or supporting a diplomatic or consular mission (see FAR 25.301-2) and; distribution of commercial items.
 - ii. The reliability, maintainability, and quality assurance requirements, including use of warranties. The requirements for contractor data (including repurchase data) and data rights, their estimated cost, and how the data will be used.
 - iii. The standardization concepts, including the need to designate, in accordance with agency procedures, technical equipment as “standard” so future purchases can be made from the same manufacturer.
 - iv. The need for contract performance to continue when there is a pandemic. If contract performance needs to continue, how the performance will occur particularly when performance is on-site at the government location.

- p. **Government-furnished property** – Describe any property to be furnished to the contractor, both real and personal, and discuss its availability, condition and schedule. Discuss what steps will be taken to ensure the property will be furnished to the contractor timely.
- q. **Environmental considerations** – Discuss all applicable environmental and energy issues associated with the acquisition (see FAR Part 23), the proposed resolution of environmental issues, and any environment-related requirements to be included in the solicitation and contract. Address compliance with the National Environmental Policy Act of 1969 (42 U.S.C. 4321 et seq.) (e.g., application of a categorical exclusion, environmental assessment, or environmental impact statement). See DAO 216-6, *Implementing the National Environmental Policy Act*; 40 Code of Federal Regulations parts 1500-1508. Ensure acquisitions are in compliance with department-wide policies and guidance, such as CAM 1323.70, “*Green Procurement Program*” and DAO 217-16, *Energy and Environmental Management*; as well as with Governmentwide directives, policies and guidance.
- r. **Government-furnished information** – Discuss any Government-owned information (e.g., manuals, drawings and test data) to be provided to prospective offerors and contractors. Indicate which information requires additional controls to monitor access and distribution (e.g., technical specs, maps, building designs, schedules, etc.) to be posted on the GPE.
- s. **Security and information technology security considerations** – For acquisitions involving classified matters, describe how adequate security will be established, maintained and monitored. Discuss information technology security requirements, such as Supply Chain Risk Assessment restrictions, to include applicability and incorporation of required IT security clauses in contracts for:
 - i. Information technology resources or services;
 - ii. Requiring contractor personnel access to DOC information technology systems;
 - iii. DOC sensitive/classified national security or sensitive matters; and
 - iv. Contractor information technology systems interconnected to DOC systems.
- t. **Contractor access to government facilities or information** – For acquisitions requiring routine contractor physical access to a Federally-controlled facility and/or routine access to a Federally-controlled information system, discuss how agency requirements for personal identity verification of contractors will be met (see FAR subpart 4.13). Discuss compliance with Homeland Security Presidential Directive-12 (HSPD-12). Discuss any facility unique safety or security protocols.
- u. **Contract administration** - Describe how the contract will be administered.
 - i. For services contracts, include how inspection and acceptance corresponding to the work statement’s performance criteria will be enforced.
 - ii. Explain how performance will be monitored.
 - iii. Describe the capacity to effectively manage contract performance and mitigate risk after award.
- v. **Other considerations** – As applicable, discuss the consideration given to the following and other items required by FAR Subpart 7.1:
 - i. Standardization concepts;
 - ii. Value Engineering provisions;
 - iii. Pre-proposal conference;

- iv. Site visits for contractors;
 - v. Pre-award Surveys;
 - vi. Requirements of Electronic and Information Technology Accessibility Standards (Section 508);
 - vii. Benchmark testing/performance validation;
 - viii. Support Anti-terrorism by Fostering Effective Technologies Act of 2002 (SAFETY Act);
 - ix. Disaster Response Registry at www.SAM.gov, when contracting for debris removal, distribution of supplies, reconstruction, and other disaster or emergency relief activities;
 - x. The industrial readiness program;
 - xi. The Occupational Safety and Health Act;
 - xii. Foreign sales implications;
 - xiii. Buy American Act/Trade Agreements Act considerations;
 - xiv. Potential or actual conflicts of interest and any plans for mitigation thereof;
 - xv. Compliance with OMB Circular A-11 and FITARA provisions considerations; and
 - xvi. Other issues deemed appropriate by the contracting or program officials (e.g., restrictions on telecommuting (see FAR 7.108).
- w. Other approvals** - Describe any separate approvals that are required. Required approvals include, but are not limited to:
- i. CD-570 Small Business Programs requirements, acquisitions that are not set-aside for small business must be reviewed by the Small Business Specialist and OSD BU.
 - ii. Acquisitions that include information technology *must include the relevant IT Investment Authority number* to ensure the acquisition strategies are consistent with CIO-approved plans and strategies; apply adequate incremental development principles; include opportunities to leverage acquisition initiatives such as shared services, category management, strategic sourcing, and incremental or modular contracting and use such approaches as appropriate; are supported by cost estimates; and are led by personnel with appropriate Federal Acquisition Certifications, including specialized IT certifications, as appropriate.
 - iii. Justification for limiting sources, if applicable or Justification for Other Than Full and Open Competition (as applicable), in compliance with the appropriate FAR authority and includes statutory exemption, rationale to support exemption and appropriate Competition Advocate's concurrence based on threshold.
 - iv. Determination and Findings and/or Justification and Approvals, as required (e.g. contract type, single source awards above \$100M, etc.).
 - v. Consolidation or Bundling Analysis that provides rationale and quantified benefits to support that the consolidation or bundling is necessary and justified.
 - vi. For non-fixed priced acquisitions, Determination and Findings that no other contract type is suitable pursuant to FAR 16.601(d)(1)(ii) signed by BPO (non-delegable below BPO for acquisitions at or above \$10M).
 - vii. Any deviation, special condition or clause with detailed rationale documented in plan.

- x. **Milestone Schedule** – Develop and attach a copy of the milestone schedule. A sample milestone schedule is provided in *Appendix B-5*.
- y. **Participants in the acquisition process** – List the names and contact information for the following individuals:
 - i. Contracting Officer
 - ii. Contract Specialist
 - iii. Program Official
 - iv. Contracting Officer’s Representative
 - v. Program Manager
 - vi. Source Selection Authority or Award Decision Official, if applicable
 - vii. Competition Advocate, if applicable
 - viii. Additional individuals who assisted in the preparation of the acquisition plan
- z. **Signature Page** – The signature page must contain information on all applicable members of the acquisition team that are required for review, clearance, and approval. Each name should be typed, with the title of the individual, their organizational designation and the date, (see *Appendices B-6 and B-7* for a sample format). Both the Bureau CIO and DOC CIO must be included for acquisitions valued at \$75M or above, as well as the SPE (as the final approver).

6.2 Additional Requirements for Major Systems/Programs

In addition to the content requirements for formal acquisition plans provided in Section 6.1, additional requirements relating to major systems and programs must also be addressed, where applicable.

- a. **Acquisition Framework** – Acquisitions identified as high-profile require coordinated oversight in accordance with the Commerce Scalable Acquisition Project Management Framework (Framework) as described in DAO 208-16, *Acquisition Project Management* dated May 26, 2015. The Commerce Acquisition Program and Project Management Framework describes acquisition project management phases, major decision milestones and minimum required documentation necessary to manage the progression through phases for high-profile and other programs designated for Milestone Review Board oversight.

Acquisition plans must include a description of the investment in relation to the acquisition framework of the program it supports. The plan must identify the appropriate portfolio, project(s) or overall program the requirement falls under and a description of how the acquisition will support it.

- b. **Capital Assets** - If an acquisition qualifies as a capital asset pursuant to OMB Circular No. A-11, the Program Official must ensure that both the *Major IT Business Case* and the *Major IT Business Case Details* are completed for the requirement. The acquisition plan supplements the information in the Capital Asset Plan and Major IT Business Case. If the information requested for the specific acquisition is addressed in the current Major IT Business Case, you may refer to the specific sections of the Major IT Business Case in lieu of restating the information in the formal acquisition plan.

6.3 Analysis of Alternatives and Category Management Considerations

In accordance with the Office of Management and Budget memorandum 19-13 dated March 20, 2019, entitled, *Category Management: Making Smarter Use of Common Contract Solutions and Practices*, agencies are required to analyze alternatives to support investment decisions. To support the successful achievement of Spend Under Management, Best in Class, and small business contracting goals, acquisition teams must develop analysis of alternatives for certain planned acquisitions of common goods and services. AoAs must be developed for all acquisitions planned for award that are:

- Over \$50 million and will be considered “Tier 0” spending; and
- Over \$100 million and will be considered “Tier 1” spending.
- AoAs should generally be developed no less than 18-24 months prior to award as part of the acquisition forecasting process, using the template provided in *Appendix C*, with final approval occurring as part of the Bureau or Department level ARB, whichever is applicable.

6.4 Additional Requirements for Acquisition Involving Consolidation

Acquisition planning must consider the impact consolidation might have on incumbent and prospective small businesses. If the acquisition strategy indicates consolidation, the Contracting Officer must coordinate with the Bureau Small Business Specialist, OSD BU and Small Business PCR to conduct a Consolidation Analysis in order to make a determination that the benefits from contract consolidation substantially exceed the benefits that would derive from alternative contracting approaches.

The Consolidation Analysis must fully discuss the following key areas:

- The identified feasible alternative approaches and if applicable, the rationale for not choosing an alternative that could involve a lesser degree of consolidation;
- Consideration of the impact of consolidating the requirement and how it might adversely affect incumbent and prospective small businesses, as well as steps taken to include small business concerns in the acquisition strategy; and
- Analysis of quantifiable benefits¹ resulting from consolidation compared to the benefits that would result from alternative strategies.

Prior to consolidating requirements **estimated to exceed \$2 million**, a Determination and Findings (D&F) that provides the rationale to support that the consolidation is necessary and justified (i.e., benefits meet the substantial benefits threshold) must be signed by the SPE; or if the substantial benefits threshold isn’t met, a D&F that provides the rationale to support the benefits are mission-critical and the acquisition strategy provides for maximum practicable small business participation must be signed by the Deputy Secretary. The D&F for bundling must be submitted to OAM accompanied with the following:

- a. Consolidation Analysis that substantiates the benefits to be derived from the strategy meet the threshold test for substantial benefits pursuant to FAR 7.107-2;
- b. Market research results; and
- c. CD-570 form with concurrences from the Small Business Specialist, PCR and OSD BU.

A template reflecting documentation requirements for Consolidation is provided under *Appendix D*.

¹ Any benefits that are not quantifiable in dollar amounts must be specifically identified and otherwise quantified to the extent feasible. A reduction in administrative or personnel costs alone is not sufficient justification for consolidation unless the cost savings are anticipated to be at least 10 percent of the estimated value (including options).

6.5 Additional Requirements for Acquisitions Involving Bundling

Any proposed acquisition strategy involving bundling requires a determination that the bundling is necessary and justified. If the requirement is considered both consolidated and bundled, then the requirements for bundling must be followed.

The Bundling Analysis must fully discuss the following key areas:

- Acquisition history, including firms that performed the previous requirements being contemplated for bundling, and their business size; level of competition received on previous requirements; whether small business firms participated as prime contractors; and if the acquisition was structured so as to encourage (or limit) competition or teaming.
- Analysis of quantifiable benefits resulting from the bundled acquisition, as compared with not bundling the requirements that are *measurably substantial* as described in FAR 7.107-3.
- Feasible alternative strategies for acquiring the supply or service and the rationale for not choosing an alternative that could involve less bundling.

In an effort to mitigate the effects of bundling on small business concerns, prior to bundling requirements and before issuing the solicitation, a D&F that provides the rationale to support that: the bundling is necessary and justified (i.e., benefits meet the substantial benefits threshold) must be signed by the SPE; or if the substantial benefits threshold isn't met, a D&F that provides the rationale to support that the benefits are mission-critical and the acquisition strategy provides for maximum practicable small business participation must be signed by the Deputy Secretary. The D&F for bundling must be submitted to OAM accompanied with the following:

- a. Bundling Analysis that substantiates the benefits to be derived from the strategy meet the threshold test for substantial benefits pursuant to FAR 7.107-2;
- b. Market research results; and
- c. CD-570 form with concurrences from the Small Business Specialist, PCR and OSDBU.

A template reflecting documentation requirements for bundling is provided under *Appendix E*.

6.5.1 Additional Requirements for “Substantial Bundling”

The Federal Acquisition Regulation prescribes additional requirements for bundled acquisitions that involve substantial bundling. Specifically, if the cumulative maximum potential value (including options) of the contract or order is **\$2.5 million or more**, the following factors must be addressed in the CD-570 package and signed by the Small Business Specialist, PCR and OSDBU:

- a. Identification of the specific benefits expected as a result of bundling the contract;
- b. Assessment of the specific impediments to small business participation in the contract;
- c. Action plan to maximize participation by small businesses as contractors, including efforts that will encourage small business teaming;
- d. Outline of specific steps that will be taken to ensure participation by small businesses as subcontractors (including suppliers) at any tier under the contract or order;
- e. Specific determination that the anticipated benefits justify the decision to bundle;
- f. Assessment of alternative strategies that would reduce or minimize the scope of bundling, and an explanation of why they were not adopted; and
- g. An explanation addressing each of the areas identified in FAR 19.202-1(e) (2).

6.5.2 Public Notification for Bundled Requirements

In addition to notifying each small business performing the contract of the intent to bundle at least 30 days prior to issuing the solicitation for the bundled requirement, the Contracting Officer must also post a public notification to the GPE of the rationale for the bundled requirement prior to issuance of a solicitation.

A list and related rationale for any bundled requirement for which the Department solicited offers or issued an award must be published on the Office of Acquisition Management website. Therefore, the Contracting Officer must submit a notice of bundled requirements to OAM within five (5) business days after award of a bundled contract. The notice must address the following elements and be submitted to OAM via the OAM mailbox at: oam_mailbox@doc.gov:

- a. List of all contract requirements that were bundled;
- b. Brief description of requirement;
- c. Total dollar amount;
- d. Data on the number (arranged by industrial classification) of small business concerns displaced as prime contractors by bundled contracts awards;
- e. Justification for bundling;
- f. Rationale for bundling the requirements; and
- g. Estimated cost savings to be realized by the bundling over the life of the contract.

Upon review and concurrences by the Bureau Small Business Specialist, OSDDBU and SPE, the notification will be posted by OAM for public view on the Department's website at: <https://www.commerce.gov/oam/>.

END OF SECTION 6

SECTION 7 – Review and Clearance

7.1 Acquisition Plan Review and Approvals

Written acquisition plans must be prepared sufficiently in advance of the solicitation's release date to allow ample time for review and clearances. All acquisition plans (streamlined and formal), at a minimum, must be reviewed and signed by the Program Official, the Operating Unit Budget Officer, the Contracting Officer, Office of General Counsel representative, Senior Bureau Procurement Official, and Bureau Chief Information Officer. The Competition Advocate must concur when other than full and open competition procedures are expected to be used.

The Office of Acquisition Management must be afforded an opportunity to review all written acquisition plans in order to determine if the requirement is of "special interest" that is, a requirement that warrants a higher level of review and clearance due to factors such as: higher complexity or uncertainty, likely to provoke unusual public interest, or potential impact of any adverse contract performance. Acquisition plans must be submitted electronically to OAM through the OAM mailbox at: oam_mailbox@doc.gov and to the OCIO at: OCIOInternalControls@doc.gov at least **14 business** (18 calendar) **days** prior to: the Bureau Acquisition Review Board; or the solicitation issue date if no Bureau-level ARB is planned; or the scheduled Department-level ARB.

All formal acquisition plans must be accompanied by the following documents:

- Draft Statement of Work/Performance Work Statement/Statement of Objectives
- Independent Government Cost Estimate
- Independent Cost Estimate for the overall program, if applicable
- Market Research Report
- Risk Matrix
- CD-570, Small Business Review Form, if applicable
- Justification for Other than Full and Open Competition or Limiting Sources Justification, as applicable
- Interagency Agreement, if applicable
- All required Determination and Findings and/or Justification and Approvals, if applicable;
- Consolidation or Bundling Analysis, as applicable
- Proposed award/incentive fee/term plan, if applicable
- Milestone Review Board and Program Milestones, if applicable
- Analysis of Alternatives, if applicable
- Review Board Considerations for High-Risk Contracts Checklist (see *Appendix H*)
- A summary page that identifies the acquisition's title, description, strategy, and costs, along with all supportive documents (see *Appendix G for an Acquisition Summary Page sample*)

Where the SPE has designated a requirement as "special interest", the applicable acquisition office will be notified that the procurement may undergo a Bureau-level ARB, a Paper ARB or a Department-level ARB.

Written acquisition plans must receive clearance through all applicable offices prior to issuing the solicitation. By signing the acquisition plan, the Program Official certifies that the information in the acquisition plan is current, accurate and complete. The Contracting Officer's signature certifies that the acquisition methodology is sound and the acquisition plan reflects the best business strategy for the acquisition. The Office of General Counsel's signature certifies legal sufficiency.

The signature of the Operating Unit's Budget Officer certifies that the planned acquisition is consistent with current and future budget plans. The Chief Information Officer's signature¹ certifies that the contract action is aligned with CIO-approved plans and program objectives. The Senior Bureau Procurement Official's signature signifies concurrence with the content of the acquisition plan and that the plan meets all requirements of FAR 7.105. The BPO is the final signature authority on all acquisition plans below \$75M, unless identified as requiring higher approval. The Senior Procurement Executive's signature certifies approval of acquisition plans estimated at \$75M or above, and those below \$75M identified as requiring higher approval.

Acquisition plans must not be approved for acquisitions proposing the use of other than full and open competition when the decision is based upon a lack of advanced planning or concerns relating to the availability of funds.

7.2 Review Board Requirements

7.2.1 Milestone Review Board

The Department, through the Milestone Review Board (MRB), provides for coordinated oversight of mission-critical programs or activities in accordance with the Framework described in DAO 208-16 available at: http://www.osec.doc.gov/opog/dmp/daos/dao208_16.html. Mission-critical means a program or activity requiring special management attention because it is critical to the Department's mission and falls into two categories:

- a. Major investments which have planned annual investments of more than \$75 million or a lifecycle cost of more than \$250 million; or
- b. A program or activity, regardless of investment size, which is important to achieving the Department's Strategic Plan goals and objectives.

The current list of mission-critical programs and activities is available at: [Acquisition Program and Project Management and the Milestone Review Board - Dept of Commerce - MAX Federal Community](#). Mission-critical programs and projects including their component or subordinate projects that have been designated for MRB oversight **must not** be subject to subordinate review by the ARB for purposes of approving a program/project milestone, approving procurements that are planned for the next acquisition phase, or approving progression to the next acquisition phase. However, if the MRB delegates activities and decisions to the Bureau, the ARB may engage as required.

When a major procurement coincides with an MRB milestone decision, the MRB Integrated Product Team (IPT) that reviews program documents for adequacy and consistency will be expanded to include all members of the Department's Acquisition Review Board to avoid duplicate reviews and to streamline oversight.

7.2.2 Bureau-Level Acquisition Review Board

Senior Bureau Procurement Officials must develop internal Acquisition Review Board procedures for the review of non-fixed-price acquisitions where anticipated total life-cycle cost (excluding any CLINs for travel or ODCs) is expected to be \$10M or above. The procedures of the Bureau-level Acquisition Review Board must include the review of acquisitions below \$10M in instances where a requirement is highly sensitive or complex in nature or requires greater oversight due to exceptional circumstances.

¹ Appendix J provides a template to obtain the DOC CIO's signature on acquisition plans at or above \$75M.

The Bureau-level Acquisition Review Board must be comprised of senior-level officials from specialized functional areas within the Bureau to include: Senior Bureau Procurement Official (as Chair); legal counsel; Chief Financial Officer; and Chief Information Officer. The written acquisition plan must be submitted electronically to OAM through the OAM mailbox at: oam_mailbox@doc.gov at least **14 business** (18 calendar) **days** prior to the Bureau Acquisition Review Board or the solicitation issue date if no Bureau-level ARB is planned.

The SPE must be invited to participate on the Bureau-level Acquisition Review Board for all non-fixed-price acquisitions valued at \$50M or above and for any acquisition below \$75M that is designated as “special interest”. When the SPE is not the approving authority on an acquisition below \$75M but provides recommendations on the acquisition plan, all recommendations provided by the SPE must be adequately addressed and all required actions must be implemented before final BPO signature on the acquisition plan. The BPO is responsible for satisfactorily reconciling the SPE’s comments prior to proceeding with the acquisition.

7.2.3 Department-Level Acquisition Review Board

Acquisitions where anticipated total life-cycle cost is expected to be \$75M or above must be reviewed by the Department-level Acquisition Review Board. Acquisitions designated by the SPE as “special interests” may also undergo a Department-Level ARB at the SPE’s discretion. The ARB will be comprised of Senior Bureau Procurement Officials from each acquisition office, Department CIO and chaired by the Senior Procurement Executive.

The written acquisition plan, accompanied by the documents listed in section 7.1, must be submitted electronically to OAM through the OAM mailbox at: oam_mailbox@doc.gov and to the OCIO at: OCIOInternalControls@doc.gov at least **14 business** (18 calendar) **days** prior to the Department-level Acquisition Review Board. A Department-level ARB presentation is required and a copy of the presentation materials must be submitted to OAM via the OAM mailbox at: oam_mailbox@doc.gov no fewer than three (3) business days prior to the scheduled ARB meeting.

The presentation must address, at a minimum, the following:

- a. Description of the requirement (i.e., what is being acquired; how it supports the Department’s mission; and any appropriate historical acquisition information relevant to the proposed acquisition strategy);
- b. Life cycle cost analysis, funding sources, and an explanation of any budget concerns;
- c. Proposed acquisition strategy, (describe how the strategy will meet the procurement objectives and desired outcomes; outline the analysis of alternatives; identify the procurement method and contract type; describe any innovative techniques that may be used);
- d. Description of market research conducted;
- e. Key project risks associated with the acquisition and how the risks will be mitigated (For high-risk contracting authorities, see *Appendix H* for additional points to address in presentation);
- f. Source Selection or Award Decision Process, as applicable;
- g. Description of how the contract will be managed (i.e., what system will be used to monitor cost, schedule and performance, and report on deviations; any additional resources needed);
- h. Procurement timeline (identify key target dates for the procurement; and describe transition concerns, including any need for a bridge contract or contract extension);
- i. Qualifications, including certification status/levels, of the proposed Contracting Officer, Project Manager, and COR and justification for assignment, if applicable; and
- j. Systems requirements and compatibilities, if known.

7.2.4 Special Review Board Requirements for Interagency Acquisitions

Interagency agreements for assisted acquisitions must be reviewed in accordance with the following requirements:

- a. Agreements identified as a mission-critical acquisition program or project as defined in DAO 208-16, must be reviewed by the MRB.
- b. A copy of interagency agreements that will result in written acquisition plans, where DOC or one of its Operating Units is the Servicing Agency, must accompany the written acquisition plan submitted to OAM for review.
- c. A formal acquisition plan is not required for Interagency Acquisitions where DOC or one of its Operating Units is the requesting agency and a non-DOC agency is the servicing agency. However, a copy of the executed Interagency Agreement and supporting documentation (e.g., statement of work, Economy Act determination, if applicable) must be submitted to OAM using the OAM mailbox at: oam_mailbox@doc.gov.

7.3 Approval of Acquisition Plan

All written acquisition plans below \$75M must be approved by the Senior Bureau Procurement Official before the resultant solicitation is issued. Acquisitions designated “special interests,” must also be cleared by the Senior Procurement Executive prior to releasing the solicitation.

Acquisition Plans at or above \$75M must be approved by the Senior Procurement Executive prior to solicitation issuance. The Senior Procurement Executive will issue a decision memorandum within five (5) business days after the department-level acquisition review board and receipt of the final acquisition plan with all required signatures. Decisions will be categorized as conditional approval, approval or disapproval to proceed with the procurement. The Contracting Officer must not proceed with the procurement until after the decision memorandum is issued stating approval or conditional approval and the acquisition plan is signed by the SPE. When a conditional approval is granted, the Bureau Procurement Official must respond, in writing, within 14 business (18 calendar) days (or longer, if granted by the SPE in writing) after issuance of the decision memorandum, with specific actions taken or to be taken to address the conditions of approval.

7.4 Post-Approval Requirements

After approval of all written acquisition plans, the Bureau procurement office must: (a) submit to OAM, either a link to the solicitation if it is posted to Sam.gov or a copy of the solicitation if it is not posted on Sam.gov, and a copy of the award document within five (5) business days after award; (b) comply with all pre-solicitation, solicitation, pre-award, award, and/or post-award conditions of approval; and (c) notify OAM within five (5) business days of receipt of a protest, if applicable.

For all non-fixed price procurements at or above \$10M, the Bureau procurement office must coordinate with the program office to ensure data is collected during contract performance for opportunities to transition recurring and defined tasks to a lower risk contract type. Further, the Bureau procurement office in coordination with the program office must develop and submit a Transition Plan to OAM no later than 18 months prior to contract expiration to support converting in whole or in part to a fixed price contract type or provide the rationale for not converting to a fixed price contract type at all. The Transition Plan should be sent to the OAM mailbox at: oam_mailbox@doc.gov and must at a minimum address: why it remains difficult to define the requirement with a reasonable degree of certainty; data collected and results of spend analysis conducted; and next steps to make informed decisions about appropriate contract type on future orders or similar requirements.

END OF SECTION 7

SECTION 8 – ACQUISITION PLANNING OVERSIGHT

8.1 Background

Senior Bureau Procurement Officials are responsible for conducting oversight of acquisition planning activities within their Operating Units in order to identify opportunities to:

- a. Enhance full and open competition;
- b. Promote the use of commercial items;
- c. Enhance the use of performance-based acquisition;
- d. Promote strategic sourcing;
- e. Reduce the use of high-risk contracting authorities;
- f. Increase support of socio-economic programs;
- g. Provide maximum practicable opportunities to small business;
- h. Facilitate the effective allocation and use of human resources; and
- i. Promote use of innovative techniques when beneficial to the mission.

8.2 Oversight Review

Senior Bureau Procurement Officials have overall responsibility for planning and conducting oversight reviews of acquisition planning activities within their Operating Units. However, periodically the Office of Acquisition Management may conduct reviews of Bureau acquisition planning processes as part of the risk management and oversight process.

END OF SECTION 8
END OF CAM 1307.1

APPENDIX A – DEFINITIONS

Acquisition Forecast - A listing of expected acquisitions developed based on the budget formulation process and/or a knowledge of existing contractual agreements where the product and/or service continues to be required beyond the current period of performance. The acquisition forecast reflects the forward thinking of what new acquisitions will be processed in upcoming fiscal years.

Acquisition Framework - The Framework describes acquisition project management phases and the major decision milestones required to manage the progression of those phases. The Framework (1) Describes the minimum standard processes, documents, and reviews to which all high-profile acquisition programs and projects must adhere; (2) Places emphasis on early program and project planning: requirements development and traceability, risk identification, and resource and cost expectations; (3) Is scalable depending on the program's or project's size, complexity, and risk; and (4) Describes the principles of a life-cycle approach to managing acquisition programs/projects.

Acquisition Strategy – Identifies the proposed contract type, terms and conditions, and acquisition planning schedules; the feasibility of the requirement, including performance requirements, statements of work, and data requirements; the suitability of the proposal instructions and evaluation criteria, including the approach for assessing past performance information; and related program documents.

Acquisition Team -The team of individuals formed to prepare the individual elements of an acquisition plan and execute the acquisition. The team should be comprised of representatives from Acquisition, Budget, Legal, technical offices, small business and any other areas as necessary.

Capital Asset - Land, structures, equipment, intellectual property (including software), and information technology (including IT service contracts) used by the Federal Government with an estimated useful life of two or more years. The cost of a capital asset includes its full life-cycle costs, all direct and indirect costs for planning, procurement, operations, and maintenance, including service contracts, and disposal.

High-Risk Contracting Authorities - Includes use of other than full and open competition and use of cost-reimbursement, labor-hour and time-and-material type contracts.

Hybrid Contract - A combination of fixed-priced contracting authorities with “high-risk” contracting authorities such as: cost-reimbursement (CR), time-and-materials and labor-hour (T&M/LH) contracts. In the memo entitled, *Increasing Competition and Structuring Contracts for the Best Results*, the Office of Management and Budget identified CR and T&M/LH contract types as *high-risk* due to the heightened potential of misuse or overspending; and encourage agencies to award unique requirements with considerable uncertainty as a hybrid to allow the ability to choose between a fixed-price, CR or T&M/LH basis in order to provide a more effective allocation of risk between the Government and Contractor.

In a hybrid contract, a portion of the requirement for which there is a basis for firm pricing can be awarded as fixed price while factors for which there remains considerable uncertainty can be acquired on a CR, T&M or LH basis. NOTE: Cost reimbursement line items solely for travel and other direct costs on an otherwise fixed-price acquisition will be considered fixed-price rather than hybrid.

Milestone Schedule – Written plan of key pre-award actions and documents required to meet the requirement with a projected timeline leading to award and contract execution.

Milestone Review Board (MRB) - The authorizing body for approval of an identified DOC high-profile acquisition program or project to proceed from one phase of the Framework to the next. The authorities of the MRB are derived from those vested in or delegated to its members. It provides a collective vehicle for members to review a program or project and execute their individual authorities regarding approval to proceed to the next milestone or directing corrective action to proceed into the next phase. Specifically, the authorities vested in the Board include approval of procurements planned for the next acquisition phase both IT (IT Investment Authority) and non-IT.

Mission-Critical Acquisition Program or Project - A program or activity requiring special management attention because it is critical to the Department's mission and falls into two categories: (1) major investments which have planned annual investments of more than \$75 million or a lifecycle cost of more than \$250 million; or (2) a program or activity, regardless of investment size, which is important to achieving the Department's Strategic Plan goals and objectives.

Paper Acquisition Review Board – A review of the acquisition planning documents by the ARB, which provides senior-level strategic acquisition direction, risk management and oversight considerations in support of the Department's mission and goals. Rather than conducting a formal ARB meeting either physically or virtually, the ARB members: 1) review the acquisition planning documents; 2) submit questions and/or comments to OAM; and 3) Upon review of the procurement office's responses, cast a vote for the SPE's consideration.

Program Office –The owner of the requirement and organization responsible for management of the acquisition including receipt, inspection and acceptance activities. It is responsible for defining acquisition requirements, providing funding allocations for the acquisition, leading acquisition planning activities, and designating a COR when required.

Special Interest Requirement – A requirement that warrants a higher level of review and clearance due to factors such as: higher complexity or uncertainty, likely to provoke unusual public interest, or potential impact of any adverse contract performance.

Substantial Bundling – When the anticipated bundling of requirements would result in a contract or order with an estimated value of \$2.5 million or more. If the acquisition strategy indicates the award will be for multiple contracts or orders, this \$2.5 million threshold applies to the cumulative maximum potential value, including options, of the acquisition.

Value of the Acquisition - The maximum monetary amount that the Government could potentially obligate against a contractual action including all options, incentives, award fees and cancellation fees.

APPENDIX A – ACRONYMS

<u>Term</u>	<u>Acronym</u>
Acquisition Plan	AP
Acquisition Review Board	ARB
Analysis of Alternatives	AoA
Best in Class	BIC
Blanket Purchase Agreement	BPA
Chief Information Officer	CIO
Commerce Acquisition Manual	CAM
Commerce Information Technology Review Board	CTRB
Contract Line Item Number	CLIN
Contracting Officer	CO
Contracting Officer's Representative	COR
Defense Priorities and Allocations System	DPAS
Department Administrative Order	DAO
Department of Commerce	DOC
Deputy Secretary	DepSec
Determination and Findings	D&F
Development, Modernization and Enhancement	DME
Earned Value Management System	EVMS
Federal Acquisition Certification	FAC
Federal Acquisition Regulation	FAR
Federal IT Acquisition Reform Act	FITARA
Federal Prison Industries, Inc	FPI
Fixed-Price	FP
General Services Administration	GSA
Governmentwide Acquisition Contract	GWAC
Governmentwide Point of Entry	GPE
Historically Underutilized Business Zones	HUBZone
Homeland Security Presidential Directive-12	HPDS-12
In accordance with	IAW
Indefinite-Delivery Indefinite-Quantity	IDIQ
Indefinite-Delivery Vehicle	IDV
Independent Cost Estimate	ICE
Independent Government Cost Estimate	IGCE
Information Technology	IT
Information Technology Investment Authority	ITIA
Information Technology Review	ITR
Integrated Baseline Review	IBR
Integrated Product Team	IPT
Milestone Review Board	MRB

Multi-Agency Contract	MAC
North American Industry Classification System	NAICS
Office of Acquisition Management	OAM
Office of Chief Information Officer	OCIO
Office of General Counsel	OGC
Office of Management and Budget	OMB
Other Direct Cost	ODC
Procurement Center Representative	PCR
Product Service Code	PSC
Project or Program Manager	PM
Public Law	PL
Research and Development	R&D
Senior Bureau Procurement Official	BPO
Senior Procurement Executive	SPE
Service-Disabled Veteran-Owned Small Business	SDVOSB
Simplified Acquisition Threshold	SAT
Small and Disadvantaged Business Utilization	OSDBU
Small Business Administration	SBA
Small Business Specialist	SBS
Small Disadvantage Business	SDB
Source Selection Authority	SSA
Spend Under Management	SUM
United States Code	USC
Veteran-Owned Small Business	VOSB
Women-Owned Small Business	WOSB

APPENDIX B STREAMLINED ACQUISITION PLAN

This document contains proprietary or source selection information related to the conduct of a federal agency procurement. The disclosure and receipt of this information is restricted by Section 27 of the Office of Federal Procurement Policy Act (41 U.S.C. 2101 et seq.). The unauthorized disclosure of this information may subject both the discloser and the recipient to the contractual, civil, and/or criminal penalties as provided by law.

STREAMLINED ACQUISITION PLAN (Required for all Fixed-Price actions at or above \$10M up to \$75M)		
Part I – Acquisition Background and Objectives		
Project Title:		
NAICS Code:	Identification Number (Generated from PRISM AAP Module):	
Statement of Need (Attach Statement of Work, Performance Work Statement or Statement of Objectives):		
Involves IT? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, enter ITIA #)		Supports a Mission Critical Program? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, which Program(s)?)
Proposed COR:		FAC Level: <input type="checkbox"/> I <input type="checkbox"/> II <input type="checkbox"/> III
Proposed PM:		FAC Level: <input type="checkbox"/> Entry <input type="checkbox"/> Mid <input type="checkbox"/> Senior
Applicable Conditions: (Discuss all significant conditions affecting the acquisition)	<input type="checkbox"/> Compatibility with existing systems or programs	
	<input type="checkbox"/> Compatibility with future systems or programs	
	<input type="checkbox"/> Cost constraints	
	<input type="checkbox"/> Schedule constraints	
	<input type="checkbox"/> Compatibility constraints	
	<input type="checkbox"/> Performance constraints	
	<input type="checkbox"/> Other conditions	
	<input type="checkbox"/> N/A	
Costs (Attach IGCE):	Base Period	
	Option 1	
	Option 2	
	Option 3	
	Option 4	
Discuss any required Capability or Performance: <input type="checkbox"/> Specific make or model <input type="checkbox"/> Brand name or equal		
Describe the Basis for Delivery or Performance-Period Requirements:		
Period of Performance: Base Period: <input type="checkbox"/> Option 1: <input type="checkbox"/> Option 2: <input type="checkbox"/> Option 3: <input type="checkbox"/> Option 4: <input type="checkbox"/>		
Trade-Offs amongst Cost, Capability or Performance and Schedule Goals: <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, please describe rationale supporting trade-off decisions)		
Describe Risks (technical, cost, schedule) and Mitigation Strategies:		
Program Subject to Acquisition Streamlining: <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, discuss industry participation, cost efficiency and timeframe to identify any mandatory specs)		

Part II – Plan of Actions

Sources (Attach Market Research Report):	Mandatory Sources: <input type="checkbox"/> AbilityOne <input type="checkbox"/> FPI <input type="checkbox"/> Wholesale Supply <input type="checkbox"/> Other (Specify)		
	Domestic Sources Available: <input type="checkbox"/> No <input type="checkbox"/> Yes		
	Buy American Act Waiver Required: <input type="checkbox"/> No <input type="checkbox"/> Yes		
	<input type="checkbox"/> Small and socio-economic business concerns (Attach CD-570, if applicable)	<input type="checkbox"/> Small Business <input type="checkbox"/> SDB <input type="checkbox"/> 8(a) <input type="checkbox"/> WOSB <input type="checkbox"/> HUBZone <input type="checkbox"/> VOSB <input type="checkbox"/> SDVOSB	
	<input type="checkbox"/> Consolidation	<input type="checkbox"/> Benefits Analysis (Attach if procurement involves Consolidation or Bundling)	
<input type="checkbox"/> Bundling			
Competition	<input type="checkbox"/> Competitive	<input type="checkbox"/> Non-Competitive/Limited Sources (Attach justification)	
	<input type="checkbox"/> Full and Open Competition	<input type="checkbox"/> Urgent and Compelling	<input type="checkbox"/> FAR 6.302-2 <input type="checkbox"/> FAR 8.405-6(a)(1)(A) <input type="checkbox"/> FAR 16.505(b)(2)(i)(A)
	<input type="checkbox"/> Full and Open Competition after exclusion of Sources	<input type="checkbox"/> Only One Source	<input type="checkbox"/> FAR 6.302-1 <input type="checkbox"/> FAR 8.405-6(a)(1)(B) <input type="checkbox"/> FAR 13.106-1(b) <input type="checkbox"/> FAR 16.505(b)(2)(i)(B)
	<input type="checkbox"/> Fair Opportunity	<input type="checkbox"/> Logical Follow-on	<input type="checkbox"/> FAR 8.405-6(a)(1)(C) <input type="checkbox"/> FAR 16.505(b)(2)(i)(C)
		<input type="checkbox"/> Industrial Mobilization (FAR 6.302-3)	
		<input type="checkbox"/> International Agreement (FAR 6.302-4)	
		<input type="checkbox"/> Authorized or required by statute (FAR 6.302-5)	
		<input type="checkbox"/> National Security (FAR 6.302-6)	
		<input type="checkbox"/> Public Interest (FAR 6.302-7)	
	Discuss Proposed Contract Type and Rationale for why it was Selected: (If hybrid, check all that apply and percentages)		
<input type="checkbox"/> Fixed-price %	(*Attach D&F and High-Risk Checklist if the contract types below are used)		
<input type="checkbox"/> Fixed-price w/economic price adjustment %	<input type="checkbox"/> Cost-reimbursement* %	<input type="checkbox"/> Time-and-materials* %	
<input type="checkbox"/> Fixed-price incentives %	<input type="checkbox"/> Cost sharing* %		
<input type="checkbox"/> Fixed-price w/prospective price redetermination %	<input type="checkbox"/> Cost-plus-incentive-fee* %		
<input type="checkbox"/> Fixed-ceiling price w/retroactive price redetermination %	<input type="checkbox"/> Cost-plus-award-fee* %	<input type="checkbox"/> Labor-hour* %	
<input type="checkbox"/> Fixed-fixed-price, level of effort term %	<input type="checkbox"/> Cost-plus-fixed-fee* %		
Describe Evaluation and Source Selection Procedures: <input type="checkbox"/> FAR part 8 <input type="checkbox"/> part 12 <input type="checkbox"/> part 13 <input type="checkbox"/> part 14 <input type="checkbox"/> part 15 <input type="checkbox"/> part 16			
Price Realism Evaluated? <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, discuss strategy)			

Discuss any Acquisition Considerations:		
<input type="checkbox"/> Strategy to transition to Fixed-Price		
<input type="checkbox"/> Multi-Year Contracting		
<input type="checkbox"/> Options		
<input type="checkbox"/> Performance-based acquisition (If not explain)		
<input type="checkbox"/> Interagency acquisition (If so, attach a copy)		
<input type="checkbox"/> Capital planning and investment control		
<input type="checkbox"/> Internet Protocol		
<input type="checkbox"/> Innovative acquisition techniques considered		
<input type="checkbox"/> Other		
Budgeting and Funding: (Include budget estimates, explain how they were derived, and discuss the schedule for obtaining funds)		
Product & Service Description (IAW FAR Part 11):	<input type="checkbox"/> Services <input type="checkbox"/> Products/Supplies <input type="checkbox"/> Construction <input type="checkbox"/> R&D <input type="checkbox"/> Digital Services PSC Code and Description:	
Priorities, Allocations & Allotments (IAW FAR 11.6)	DPAS Rated Order <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, <input type="checkbox"/> DO <input type="checkbox"/> DX)	
Contractor Vs. Government Performance (Where applicable, address requirements of OMB Circular No. A-76):		
Inherently Governmental Functions (or closely supports inherently governmental functions)	<input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, explain mitigation strategy):	
Management Information Requirements:	<input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, explain):	<input type="checkbox"/> Earned Value Management
Make or Buy:	<input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, discuss (see FAR 15.407-2)):	
Test and Evaluation:	<input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, explain):	
Logistics Considerations (If checked, fully describe):	<input type="checkbox"/> Maintenance and Servicing Considerations	
	<input type="checkbox"/> Reliability, Maintainability & Quality Assurance Requirements	
	<input type="checkbox"/> Data and Data Rights	
	<input type="checkbox"/> Standardization	
	<input type="checkbox"/> Pandemic Performance	
	<input type="checkbox"/> Other	
	<input type="checkbox"/> N/A	
Government-Furnished Property:	<input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, describe):	
Environmental Considerations:	<input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, describe):	
Government-Furnished Information:	<input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, describe):	
Security and IT Security Considerations:	<input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, describe):	
IT Acquisitions involving Classified Matters (Discuss consideration given to any checked items):	<input type="checkbox"/> Supply Chain Risk Assessment	
	<input type="checkbox"/> IT Resources and Services	
	<input type="checkbox"/> Access to DOC IT Systems	
	<input type="checkbox"/> DOC Sensitive/Classified, National Security or Sensitive Matters	
	<input type="checkbox"/> IT systems interconnected to DOC systems	

Contractor Access to Government Facilities or Information:	<input type="checkbox"/> No <input type="checkbox"/> Yes (Discuss how FAR 4.13 and HSPD-12 requirements will be met):		
Contract Administration:	<input type="checkbox"/> Inspection and Acceptance	<input type="checkbox"/> Performance Monitoring	<input type="checkbox"/> Describe capacity to manage performance and mitigate risk
Other Considerations (Discuss consideration given to any checked items and add any other areas as required by FAR 7.1):	<input type="checkbox"/> Standardization Concepts		
	<input type="checkbox"/> Value Engineering		
	<input type="checkbox"/> Pre-proposal Conference		
	<input type="checkbox"/> Site Visits		
	<input type="checkbox"/> Pre-award Surveys		
	<input type="checkbox"/> Electronic and IT Accessibility Standards (Section 508)		
	<input type="checkbox"/> Benchmark Testing/Performance Validation		
	<input type="checkbox"/> Anti-Terrorism		
	<input type="checkbox"/> Disaster Response Registry		
	<input type="checkbox"/> Industrial Readiness Program		
	<input type="checkbox"/> Occupational Safety and Health		
	<input type="checkbox"/> Foreign Sales Implications		
	<input type="checkbox"/> Buy American Act		
	<input type="checkbox"/> Trade Agreements Act		
Other Approvals:	<input type="checkbox"/> CD-570		
	<input type="checkbox"/> IT Investment Authority		
	<input type="checkbox"/> Justification for limiting sources or Justification for Other than Full and Open Competition		
	<input type="checkbox"/> Determination and Findings		
	<input type="checkbox"/> Justification and Approval		
	<input type="checkbox"/> Consolidation/Bundling Analysis		
	<input type="checkbox"/> Additional requirements for Major Systems/Programs		
	<input type="checkbox"/> Analysis of Alternatives and Category Management Considerations		
Participants in the Acquisition Process:	Contracting Officer		
	Contract Specialist		
	Program Official		
	Contracting Officer's Representative		
	Program Manager		
	Source Selection Authority (if applicable)		
	Other:		

Milestone Schedule

<i>Establish schedule to include the following steps as applicable, and any others as appropriate</i>	<u>mm/dd/yy</u>
1. Market Research Completed	
2. Statement of Work/Objectives Completed	
3. Small Business Review	
4. Major IT Business Case Completed	
5. Complete Requisition Package Received	
6. Brief Review Boards (e.g., Bureau-level ARB)	
7. Information Technology Investment Authority Issued	
8. Acquisition Plan and Source Selection Plan Approved	
9. Publication of Announcement in GPE	
10. Solicitation Review and Clearance (legal, etc.)	
11. Issuance of Solicitation	
12. Pre-proposal Conference/Site Visit	
13. Receipt of Offers	
13. Request for Audit	
14. Complete Technical Evaluation	
15. Receive Audit Reports	
16. Competitive Range Determination and Pre-Negotiation Memo Completed	
17. Open Negotiations with Offerors in Competitive Range	
18. Receive Final Proposals	
19. Receive EEO Compliance Review	
20. Subcontracting Plan cleared by OSDBU	
21. Final Evaluations Reviewed and Post-Negotiation Memo Completed	
22. Source Selection	
23. Contract Reviews and Clearances (legal, etc.)	
24. Contract Award, including Public Announcement Consideration (FAR 5.303)	

Streamlined Acquisition Plan Signature Page

Program Official

Date

Budget Official

Date

Office of General Counsel

Date

Contracting Officer

Date

Bureau Chief Information Officer

Date

Competition Advocate

Date

Senior Bureau Procurement Official

Date

FORMAL ACQUISITION PLAN SIGNATURE PAGE

_____ Program Official	_____ Date
_____ Budget Official	_____ Date
_____ Office of General Counsel	_____ Date
_____ Contracting Officer	_____ Date
_____ Competition Advocate	_____ Date
_____ Bureau Chief Information Officer	_____ Date
_____ Senior Bureau Procurement Official	_____ Date
_____ *Department of Commerce Chief Information Officer	_____ Date
_____ *Senior Procurement Executive	_____ Date

For SPE only (check applicable decision below)

- ☐ Approval
- ☐ Conditional Approval
- ☐ Disapproval

**Department of Commerce Chief Information Officer and Senior Procurement Executive signature blocks are only required for values at or above \$75M and will be obtained after the ARB.*

APPENDIX C
ANALYSIS of ALTERNATIVES (AoA) TEMPLATE

Tier 0 Spending

Describe contracts over \$50M that are planned for award over the next 12 months as Tier 0 spending and are not expected to be migrated to Tier 1, 2, or 3 spending. Cite applicable justification codes from Attachment 1 – Justification Codes.

New Award or Existing Contract	Existing Contract Number	Contract Program Name	Point of Contact, Title & email address	Spend Category & Subcategory	Total Contract Value (Base + Options)	Existing Contract Annual Spend	Why Tier 2 or 3 solution not suitable		Why Tier 1 Solution not suitable
							Exception Code(s)	Explanation	
Existing	GSA 0001234F	XYZ Program	Mary Smith, Contracting Officer	Office Management (OM)/OM Services	\$55M	\$9M	B2	Agency’s needs cannot be adequately met by existing Best in Class (BIC) or other Governmentwide contract	The contract is not agency-wide

Tier 1 Spending

Describe contracts over \$100M that are planned for award over the next 12 months as Tier 1 spending and are not expected to be migrated to Tier 2 or 3 spending. Cite applicable justification codes from Attachment 1 – Justification Codes.

Existing Contract Number	Contract Program Name	Point of Contact, Title & email address	Spend Category & Subcategory	Total Contract Value (Base + Options)	Existing Contract Annual Spend	Meets Data Sharing & Agency-wide Mandatory Use Requirements (Y/N)	Why Tier 2 or 3 solution not suitable	
							Exception Code(s)	Explanation
GSA 0001234F	XYZ Program	Mary Smith, Contracting Officer	Office Management (OM)/OM Services	\$105M	\$9M		B2	Agency’s needs cannot be adequately met by existing BICs or other Governmentwide contract

Justification Codes

Use the codes below to support the development of (i) analyses of alternatives for new contracts over \$50 million involving unaligned spend and (ii) analyses of alternatives for new contracts over \$100 million involving Tier 1 spend. In addition to citing applicable codes, the agency should provide sufficient rationale to explain its action. In the case of opt-out plans, identify the basis for the percentage of planned opt-out. For example, if code A1 is selected, describe expected savings or cost avoidance compared to BIC solutions and other pertinent information (e.g., the majority of spend will occur through agency enterprise-wide contract XYZ which is identified as SUM Tier 1).

A	BETTER VALUE
1	The agency expects to negotiate better pricing for products or specified services.
2	The agency expects to negotiate better terms and conditions.
B	UNAVAILABILITY
1	The agency expects to use contract types not available on existing BICs or other Governmentwide contracts.
2	The agency's needs cannot be adequately met by existing BICs or other Governmentwide contracts (e.g., the agency needs a type of expertise not available on the existing contract).
3	A portion of the agency's requirements fall outside the scope of the existing BIC or other Government-wide contract (state if the requirements falling outside the existing contract are unique to the agency).
4	There is an established industrial base for the work that is not adequately reflected on existing BICs or other Governmentwide contracts.
5	There is no BIC or Governmentwide contract for the type of product or service the agency is acquiring
C	ADMINISTRATIVE COST
1	The agency believes the cost to spend is significantly lower for agency to acquire itself than to pay the stated fee.
D	OTHER CONTRACTING CONSIDERATIONS
1	The agency is at risk of not meeting its small business contracting goals and does not believe its requirement can be adequately met by small businesses on an existing contract or is seeking to grow its small business base. This includes local contracts set aside for small businesses pursuant to a comprehensive, organized agency level strategy, as approved by the agency and OMB.
2	The information in the Acquisition Gateway is insufficient for the agency to make a suitability determination.
3	Other considerations not captured in the list above – explain.

APPENDIX D

CONSOLIDATION ANALYSIS TEMPLATE

Title: *Short descriptive title of requirement*

Summary of Requirement: *Brief description of procurement*

Cost: *Total estimated costs, including any options*

Market Research Results: *Provide market research results to support the determination that consolidating requirements is necessary and justified and, in the Government's best interest.*

Consolidation Analysis: *Develop an analysis that shows quantitative data that supports the benefits from contract consolidation substantially exceeds the benefits that would derive from alternative contracting approaches. This analysis must address at the minimum, the following elements:*

Identify Alternative Approaches

Explicitly discuss:

- Each alternative strategy considered to satisfy the requirement that would involve a lesser degree of consolidation;
- Rationale for not choosing an alternative that could involve a lesser degree of consolidation, if applicable;
- Consideration of the impact of consolidating the requirement that might adversely affect incumbent and prospective small businesses.
- Steps taken to include small business concerns in the acquisition strategy.

Identify Benefits

Specify the *substantial benefits*¹, which may include:

- Cost savings or price reductions (regardless of whether quantifiable in dollar amounts);
- Quality improvements that save time or enhance performance or efficiency;
- Reductions in acquisition cycle times;
- Better terms and conditions; and
- Any other identifiable benefits.

Determination and Findings (D&F): Attach the D&F that includes rationale that the consolidation is necessary and justified (i.e., benefits meet the substantial benefits threshold) to be signed by the SPE; or that the benefits are mission-critical and the acquisition strategy provides for maximum practicable small business participation to be signed by the Deputy Secretary.

CD-570 Small Business Set-Aside Review Form: Attach the CD-570, signed by the Small Business Specialist, PCR and OSDBU.

¹ Benefits that are quantifiable in dollar amounts are substantial if individually, in any combination or in the aggregate the anticipated financial benefits are equivalent to: a) 10% of the estimated value (including options) if the value is \$94M or less; or b) 5% of the estimated value (including options) or \$9.4M, whichever is greater, if the value exceeds \$94M. Any benefits that are not quantifiable in dollar amounts must be specifically identified and quantified to the extent feasible. A reduction in administrative or personnel costs alone is not sufficient justification unless the cost savings are anticipated to be a 10% of the estimated value (including options). If the substantial benefits threshold test is not reached but there exists a compelling need to issue the solicitation, the DepSec has the authority to make this determination if the benefits from the proposed consolidation are critical to mission success and provides for maximum practicable participation by small business concerns.

APPENDIX E

BUNDLING ANALYSIS TEMPLATE¹

Title: *Short descriptive title of requirement*

Summary of Requirement: *Brief description of procurement*

Cost: *Total estimated costs, including any options*

Market Research Results: *Provide market research results, including acquisition history consisting of:*

- a. The firms that performed the previous requirements being contemplated for bundling, and their business size;
- b. The level of competition received on previous requirements;
- c. Whether small business firms participated as prime contractors; and
- d. If the acquisition was structured so as to encourage (or limit) competition or teaming.

Bundling Analysis: *Develop an analysis that shows quantitative data that supports the benefits from bundling substantially exceeds the benefits that would derive from alternative contracting approaches. This analysis must address at the minimum, the following elements:*

Identify Alternative Approaches

Explicitly discuss

- Each alternative strategy considered to satisfy the requirement that would reduce or minimize the scope of the bundling;
- Rationale for not choosing those alternatives;
- Consideration of the impact of consolidating the requirement that might adversely affect incumbent and prospective small businesses.
- Steps taken to include small business concerns in the acquisition strategy.

Identify Benefits

Specify the *measurably substantial benefits*², which may include:

- Cost savings or price reductions (regardless of whether quantifiable in dollar amounts);
- Quality improvements that save time or enhance performance or efficiency;
- Reductions in acquisition cycle times;
- Better terms and conditions; and
- Any other identifiable benefits.

¹ If the requirement is considered both consolidated and bundled, then the requirements for bundling must be followed.

² Benefits that are quantifiable in dollar amounts are measurably substantial if individually, in any combination or in the aggregate the anticipated financial benefits are equivalent to: a) 10% of the estimated value (including options) if the value is \$94M or less; or b) 5% of the estimated value (including options) or \$9.4M, whichever is greater, if the value exceeds \$94M. If the measurably substantial benefits threshold test on a bundled acquisition is not reached but there exists a compelling need to issue the solicitation, the DepSec has the authority to make this determination. This determination may be made only if the benefits to the Government from the proposed bundled acquisition strategy are critical to mission success and provides for maximum practicable participation by small business concerns.

Determination and Findings (D&F): Attach the D&F that includes rationale that the bundling is necessary and justified (i.e., benefits meets the measurably substantial benefits threshold) to be signed by the SPE; or that the benefits are mission-critical and the acquisition strategy provides for maximum practicable small business participation to be signed by the Deputy Secretary.

CD-570 Small Business Set-Aside Review Form: Attach the CD-570, signed by the Small Business Specialist, PCR and OSD BU.

Additional Requirements for “Substantial Bundling”

For contract or orders with an estimated value (including options) of \$2.5 million or more, also address the following elements:

- a. Identification of the specific benefits expected as a result of bundling;
- b. Assessment of the specific impediments to small business participation in the contract;
- c. Action plan to maximize participation by small businesses as contractors, including efforts that will encourage small business teaming;
- d. Outline of specific steps that will be taken to ensure participation by small businesses as subcontractors (including suppliers) at any tier under the contract or order;
- e. Specific determination that the anticipated benefits justify the decision to bundle;
- f. Assessment of alternative strategies that would reduce or minimize the scope of bundling, and an explanation of why they were not adopted; and
- g. Pursuant to FAR 19.202-1(e) (2), an explanation explaining why the –
 - Proposed acquisition cannot be divided into reasonably small lots to permit offers on quantities less than the total requirement;
 - Delivery schedules cannot be established on a realistic basis that will encourage small business participation to the extent consistent with the actual requirements of the Government;
 - Proposed acquisition cannot be structured so as to make it likely that small businesses can compete for the prime contract;
 - Consolidated construction project cannot be acquired as separate discrete projects; or
 - Consolidation or Bundling is necessary and justified.

APPENDIX F

ACQUISITION PLAN SUBMISSION CHART

Contract Type	Dollar Threshold	Acquisition Plan Type	Bureau ARB?	Approving Official	Department ARB?
FP	≥\$10M – <\$75M	Streamlined	No	BPO	Special Interest Only and as determined by the SPE
FP	≥\$75M	Formal	Per Bureau Procedures	SPE	Yes
Non-FP	≥\$10M – <\$75M	Formal	Per Bureau Procedures	BPO	Special interest Only and as determined by the SPE
Non-FP	≥\$75M	Formal	Yes	SPE	Yes
Interagency Acquisition where DOC is Requesting Agency	≥\$10M	Copy of executed IAA and supporting documents	No	Per Bureau Policy	No

APPENDIX G

ACQUISITION SUMMARY PAGE

Title: Short descriptive title of requirement.

Description: Brief description of procurement.

☐ Services ☐ Products/Supplies ☐ Construction ☐ R&D ☐ Digital Services

Acquisition Strategy: Discuss proposed procurement strategy, contract type and rationale for why they were selected.

Cost: Provide total estimated costs, including any options.

Other Considerations:

Involves IT? ☐ No ☐ Yes (If yes, attach ITIA)

Supports a Mission Critical Program? ☐ No ☐ Yes (If yes, attach MRB and program milestones)

List of Attachments: List all attachments included in the Acquisition Plan submission, which should at a minimum include the following documents:

- Acquisition Plan
- Statement of Work
- CD-570, Small Business Set-Aside Review Form
- Independent Government Cost Estimate

The following documents must also be included with the Acquisition Plan submission where applicable:

1. Justification for Other than Full and Open Competition
2. All required Determination and Findings and/or Justification and Approval
3. Proposed Award/Incentive-Fee/Term Plan
4. Interagency Agreement
5. High-Risk Contract Checklist
6. Independent Cost Estimate of overall program
7. Information Technology Investment Authority
8. Milestone Review Board and Program Milestones

APPENDIX H

REVIEW BOARD CONSIDERATIONS FOR HIGH-RISK CONTRACTS			
Rationale for Contract Type	Response		COMMENT
Is contract type commensurate with the level of risk, degree of uncertainty and best strategic incentive to stimulate performance and control costs?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Is this a recurring requirement where cost history or experience provides a basis for firmer pricing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Should transition to a fixed-price contract be considered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
If entire contract cannot be fixed price, can a portion of the contract be established on a fixed-price basis?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Why does it remain difficult to define the requirements with a reasonable degree of certainty?			
Mitigation Strategies			
Is the requirement well defined with a clear vision of the desired end product with measurable milestones and deliverables?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Will a pre-award survey be conducted to establish contractor's responsibility and financial and technical capability?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
How will you ensure that the contractor's accounting system will permit timely development of all necessary cost data?			
How will the Government monitor, control, and mitigate risk of contractor performance to give reasonable assurance that efficient methods and effective cost controls are used?			
What are the skills and qualifications of Government personnel who will perform contract surveillance and approve invoice payments?			
Is the acquisition team trained and experienced in the use of TM/LH contracts?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
What is the strategy to migrate to a lower risk contract type?			

Contracting Officer Signature

Date

APPENDIX I

Acquisition Plan Waiver Request

MEMORANDUM FOR: Senior Procurement Executive (SPE)

FROM: Senior Bureau Procurement Official (BPO)

SUBJECT: Waiver of Requirement for Acquisition Plan

Procurement Title:

Background: *Provide background of requirement being procured.*

Description of Requirement: *Brief summary of what is being acquired and its estimated value.*

Basis for Request: *Describe facts surrounding the reason for the waiver request.*

BPO Recommendation: *Provide brief recommended action for this request (e.g. full waiver of acquisition plan, approval to use streamlined acquisition plan, waiver of future orders awarded under the approved plan, etc.)*

SPE Decision:

- ☐ Acquisition Plan waiver request is approved
- ☐ Acquisition Plan waiver request is disapproved

Reason for disapproval

Senior Procurement Executive
and Director for Acquisition Management

Date

APPENDIX J

SAMPLE TRANSMITTAL MEMO FOR DOC CIO SIGNATURE

Transmittal Memo Template (no more than two pages)

MEMORANDUM FOR THE CHIEF INFORMATION OFFICER

FROM: Insert name (Office Director) and provide digital signature
(Insert name of program office, e.g., OBAS, OCRM, OESS etc.)

SUBJECT: Brief Statement indicating what the Memo is about (NO acronyms)

ISSUE: Concisely define the issue. Include the name of the requestor and restate the subject of the incoming request. Include relevant background information. Does this action establish a new policy?

- What is the key message?
- Identify major stakeholders.
- Offer pros and cons. Present alternatives where appropriate.
- State hidden issues.
- Highlight any sensitivities (i.e., Congressional interest, OMB, etc.). Include concerns/sensitivities expressed within the Department. **Be specific.**
- Obtain necessary clearance before submission and indicate below.
- Use bullets when possible.
- This memo should not exceed two pages. If additional information is required, include a background paper (one-pager).

MAJOR POINTS IN THE RESPONSE: Provide key points from your response. Additionally, provide 1) the date the Commerce IT Review Board (CITRB) was conducted and final CITRB decision type (i.e., Approved, Approved with Conditions, or Denied), and 2) provide the date an Acquisition Review Board (ARB) was conducted, and final decision type (i.e., Approved, Approved with Conditions, or Denied).

DUE DATE:

IMPACT STATEMENT:

- What happens if CIO/Dep CIO does not sign/approve?
- Does this action impact current policy? If so, please explain.

ACTION NEEDED/RECOMMENDATION: State briefly what you want the CIO/Dep CIO to do; no more than one sentence.

COORDINATION/CLEARANCES: Obtain necessary clearances before submission and indicate below by marking the appropriate box with an "X." Include name and date.

OGC	CFO/ASA	OLIA	OBAS	OESS	OCRM	OET	OPG	NS3	FITARA

List Name of Clearance Official(s)/Office(s)/Date of Clearance(s):

- John Doe, OBAS, June 30, 2018

ACTION OFFICER: Insert contact information of SME (name, email, and phone number)

ATTACHMENTS: List attachments.

APPENDIX K

RISK MATRIX TEMPLATE

Risk	Risk Impact	Mitigation Strategy	Impact	Probability