

4 March 1991

Management

**THE U.S. ARMY TRAINING AND DOCTRINE
 COMMAND (TRADOC) STUDY PROGRAM**

Summary. This regulation establishes TRADOC policies, procedures, and responsibilities for development and execution of the TRADOC Study Program.

Applicability. This regulation applies to TRADOC elements which conduct studies that meet AR 5-5 criteria.

Supplementation. Do not supplement this regulation

without approval from Commander, TRADOC, ATTN: ATAN-SM, Fort Monroe, VA 23651-5143.

Suggested improvements. The proponent of this regulation is the Deputy Chief of Staff for Analysis. Send comments on DA Form 2028(Recommended changes to publications and blank forms) to Commander, TRADOC, ATTN: ATAN-SM, Fort Monroe, Virginia 23651-5143.

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*This regulation supersedes TRADOC Regulation 5-3, 29 July 1981.

Chapter 1 Introduction

1-1. Purpose. This regulation establishes policy and guidance for developing and executing the TRADOC Study Program conducted under the provisions of AR 5-5. It prescribes requirements, procedures, and responsibilities for planning, programming, budgeting, and reporting studies. The use of the term "studies" in this regulation includes those studies conducted under the provisions of AR 5-5. The use of the term "other smaller studies" refers to those studies that meet all the criteria for AR 5-5, but require less than .5 professional staff year (PSY) of effort.

1-2. References. Appendix A contains a listing of the required and related publications.

1-3. Explanation of abbreviations and terms. The glossary contains abbreviations and explanations of special terms used in this regulation.

1-4. Responsibilities.

a. Commanding General (CG), TRADOC, will-

(1) Provide the TRADOC guidance for annual study program development.

(2) Provide the TRADOC manpower and funds for the performance of the study program.

(3) Approve the TRADOC Study Program for execution.

b. Deputy Chief of Staff for Analysis (DCSA), will--

(1) Act as the TRADOC Study Program Coordinator.

(2) Convene the TRADOC Command Study Advisory Committee(CSAC) and chair meetings of the CSAC.

(3) Present the TRADOC Study Program to Headquarters, Department of the Army (HQDA) for review and approval.

(4) Manage the TRADOC Study Program.

(a) Prepare the annual TRADOC Study Program guidance for HQ TRADOC Deputy Chief of Staff (DCS) coordination and CG, TRADOC approval.

(b) Prepare, staff, and after approval; publish the annual TRADOC Study Program.

(c) Monitor the execution of the TRADOC Study Program. Maintain the program in a current status by posting additions, deletions, and significant changes. Publish a study program update at mid-year.

(d) Provide TRADOC input and updates for The Army Study Program (TASP).

(e) Provide program evaluations to HQDA as required by AR 5-5.

(f) Coordinate the CSAC meeting(s) and brief the proposed program to the CSAC.

(g) Coordinate proposed changes to the approved program with the appropriate DCS.

(h) Maintain and publish reports on summary

status information on studies in the study program and other smaller studies.

(i) During program development, provide information to the DCSs on estimated cost of requested study support (e.g., contractual, data, and so on).

c. The CSAC will consist of the DCSA (chairman); the Deputy Chief of Staff for Concepts, Doctrine and Developments (DCSCDD); Deputy Chief of Staff for Training (DCST); Deputy Chief of Staff for Resource Management (DCSRM); and Deputy Chief of Staff for Base Operations Support (DCSBOS). The CSAC will--

(1) Assist the CG, TRADOC and his/her staff in developing the TRADOC Study Program.

(2) Review the draft study program.

(3) Ensure that the study program is in consonance with study program planning guidance.

(4) Recommend changes, additions, and/or deletions from the proposed program as appropriate.

(5) Determine relative priorities of studies within the proposed program.

(6) Recommend command approval of the funding to support the TRADOC Study Program as appropriate and balanced.

(7) Recommend command approval for the TRADOC Study Program to HQDA as a balanced, non-duplicative, prioritized, and resourced document.

d. The DCSs, HQ TRADOC, will-

(1) Participate in the TRADOC CSAC.

(2) Plan, program, and budget for their studies and associated study support requirements (manpower and funding).

(3) Plan, program, and budget for contractual support and support from other government agencies for studies using the proper appropriation. Each HQ TRADOC DCS will provide the required Command Operating Budget(COB) input through DCSRM to HQDA for studies funded by the HQ TRADOC DCS through the study program.

(4) Appoint and identify to the office of the DCSA (ODCSA) a central DCS point of contact (POC) for all matters connected with the DCS participation in the study program.

(5) Serve as the TRADOC study sponsor for their study requirements.

(6) Coordinate, approve, and prioritize their unprogrammed studies with trade-offs against the approved program and provide for funding as required.

(7) Provide their program development guidance as part of the HQ TRADOC guidance (e.g., identify specific topics requiring analysis).

(8) Coordinate their requirements for programming and executing study requirements within their area of interest with the DCSA.

(9) Develop their study requirement for input to the initial draft TRADOC Study Program.

(10) Actively participate in the staffing and review of the development and maintenance of information for the study program and its reports to ensure the accuracy and usefulness of the information.

(11) Actively participate in the preparation, review, and prioritization of the TRADOC Study Program.

e. The DCSRM, in addition to the responsibilities in paragraph d above, will--

(1) Allocate manpower and funds (P2 or P8) for the performance of the study program as directed by the Program Director.

(2) Enter the approved contractual funding support for the study program into the appropriate command program and budget submissions to HQDA.

f. TRADOC study sponsors will--

(1) Provide study guidance when appropriate.

(2) Ensure that approved study recommendations are considered for implementation.

(3) Provide a functional (i.e., subject matter expert) review of the Management Decision Document (MDD) and Performance Work Statement (PWS) developed for contract studies. See chapter 4 for additional information on the PWS and MDD.

(4) Provide a functional (i.e., subject matter expert) review of the PWS developed for other government agency support.

g. TRADOC study proponents will coordinate and submit the initial study description sheet (SDS) to enter the study into the study program in accordance with (IAW) the annual Study Program guidance.

h. Commanders, TRADOC major subordinate commands (MSCS), will--

(1) As appropriate, provide program development guidance to associated schools/elements which supplements HQ TRADOC guidance.

(2) Develop, submit, and update study programs IAW HQ TRADOC guidance and direction.

(3) Consolidate associated element/school study proposals with the proposed MSC program. Review, coordinate, and provide position statement as necessary (e.g., recommendation of MSC priorities). The review will address any need to consolidate, delete, modify, or add studies to the proposed program.

(4) Submit command approved program inputs to DCSA IAW annual guidance.

(5) When designated as a study agency, conduct studies which are in the approved study program.

(6) Manage associated element/school studies initiated by the MSC as provided in TRADOC Reg 11-8. Monitor these studies to determine the need to present the results to the responsible MSC commander.

(7) CG, TRADOC Analysis Command (TRAC), in addition to the responsibilities in paragraph h above, will ensure that TRAC elements--

(a) Provide a review of the MDD and PWS developed for those contract studies when those studies require TRAC certification.

(b) Provide a review of the PWS developed for those TRADOC studies supported by other government agencies when those studies require TRAC certification.

i. Commandants, TRADOC Service Schools and Directors, TRAC elements will--

(1) Develop study programs IAW HQ TRADOC guidance as supplemented by the MSC.

(2) Submit approved study programs to the appropriate MSC for coordination and MSC submission to DCSA. The command submission must include all the activities study effort (doctrine, combat developments, training developments, and training evaluations) and have the approval of the commander or commandant.

(3) As a study agency, conduct studies which are in the approved study program.

(4) Notify MSC and DCSA in a timely manner of changes in the study program.

(5) Provide study support to TRADOC activities within available resources as required.

j. Heads of each TRADOC study agency will--

(1) Appoint and identify to DCSA a central POC, for all matters (doctrine, combat developments, training developments, and training evaluations) connected with the agency participation in the study program. This POC will perform the duties of a study coordinator for the agency. Study agencies are encouraged to designate support POCs for the other types of study efforts (e.g., training developments, training evaluations) to ensure that all study efforts are fully represented in the study program. The support POCs (if appointed) will provide input to the central POC.

(2) Identify resource requirements, including TRADOC manpower; contractual; and other Government agency support; and data support for studies submitted for programming and coordinate support requirements prior to program submission and during program execution.

(3) Plan, program, and budget resources for studies. The study agency POC must program contractual support funded by the study agency, associated automatic data processing equipment (ADPE) systems support requirements, manpower, and temporary duty (TDY) costs as part of the core expenses in the COB. DCST may provide additional funds for TDY costs.

(4) Monitor and manage execution of studies for which they are responsible.

(5) Provide the study proponent and the appropriate MSC subsequent updates of the SDS and other required study information when the study agency assigned is not the study proponent.

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(6) Coordinate resource requirements, availability, and priorities for unprogrammed studies with the appropriate MSC, DCSA and the appropriate HQ TRADOC DCS when the agency desires to initiate an unprogrammed study. When approved, enter the study into the study program.

(7) Provide information for the study reports on those studies in the study program and other smaller studies. Actively participate in the staffing and review for the development and maintenance of information of the study program and its reports to ensure the accuracy and usefulness of the information.

(8) Develop and update DD Forms 1498 (Research and Technology Work Unit Summary, (RCS DD-I&L (AR)1196)), on studies performed in-house, by contract, and by other government agencies upon initiation of the study effort IAW with the guidance appearing in DA Pam 5-5. Provide DCSA with a copy of the initial DD Form 1498 and subsequent updates. DA Pam 5-5 depicts a sample DD Form 1498. A summary of the common errors found on the DD Form 1498 is at appendix B.

(9) Prepare and control study documents for completed studies performed by contract IAW AR 5-14, paragraph 4-6b.

(10) Prepare and forward a Standard Form 298 (Report Documentation Page) with each final report IAW guidance in DA Pam 5-5 and AR 70-31. Provide a copy to DCSA. Standard Form 298 replaces DD Form 1473 (Report Documentation Page). Study agencies may use DD Form 1473 until supplies are exhausted.

(11) Initiate programmed and unprogrammed studies for which there are identified priorities and resources. Conduct studies in order of approved priority.

(12) Develop requested for contractual and/or other Government agency support for those studies that require funded support. (See chaps 4 and 5 of this publication for further information).

(a) Submit the PWS and MDD developed for Contract studies for review to TRAC (if TRAC is to certify the analysis) and to the sponsor.

(b) Submit the PWS developed for those TRADOC studies supported by other government agencies for review to TRAC (if TRAC is to certify the analysis) and to the sponsor.

(13) Evaluate unsolicited proposals for contractual study support as requested by HQ TRADOC.

(14) Review and participate in study efforts of other TRADOC elements as may be applicable within the relative priority for studies and resource availability.

(15) Act as the study sponsor for study requirements initiated by the study agency.

(16) Upon initiation of a proposed study in the TRADOC Study Program, the study team, working with the sponsor will conduct the study following the guidance in AR 5-5, DA Pam 5-5, AR 5-14, TRADOC Reg 11-8, TRADOC Pam 11-8, and TRADOC Reg 350-32.

(17) Prepare, review, publish, and distribute study reports IAW AR 5-5. TRADOC Reg 11-8 provides guidance on the review, certification, and approval for individual studies.

(18) Provide DCSA with a study gist for each completed study.

1-5. Objectives of TRADOC Study Program management. The objectives of proper TRADOC Study Program management are to--

a. Ensure TRADOC studies provide substantial contributions to Army planning, programming, and decision making.

b. Provide guidance that ensures the development of a balanced, prioritized, non-duplicative, and resourced study program responsive to Department of the Army and TRADOC guidance, objectives, and priorities.

c. Ensure that the study program uses resources economically and efficiently.

d. Provide policy and procedures to ensure that each study effort is properly justified, initiated, and executed under appropriate management.

e. Ensure high-level visibility and requisite coordination of study efforts.

f. Provide for dissemination of results of studies and information on study efforts.

g. Ensure appropriate input to the annual budget submission for those contractual studies funded by one of the HQ TRADOC DCSs through the study program.

h. Ensure the development of the contractual portion of the program and identify the interrelationship of contracted support with the in-house portion of study efforts.

1-6. Requirements for studies. TRADOC conducts studies and analyses when--

a. There is a study requirement to respond to HQDA and TRADOC guidance.

b. The subject is topical and relevant, and will make a significant contribution to the decision making process or policy development.

c. Studies are required by regulation (e.g., AR 71-9).

1-7. Types of studies. The types of studies programmed and executed by TRADOC activities includes, but is not limited to, the following:

a. Ad hoc studies and analyses needed to support decisions by the U.S. Army Chief of Staff, the Secretary of the Army, or Commander, TRADOC.

b. Studies conducted by designated TRADOC Special Study Groups (SSGs).

c. Trade Off Analysis (TOA), Abbreviated Analysis (AA), Cost and Operational Effectiveness Analysis (COEA), Information Systems Cost and Economic Analysis (ISCEA) for tactical computer systems, and Economic Analysis (EA) to support the materiel acquisition process.

d. Studies conducted to support the Concept Based Requirements System.

e. Training Effectiveness Analyses (TEA).

f. Studies in support of operational testing (e.g., model-test-model studies).

g. Front end analyses prior to initiation of materiel requirements development.

h. Studies to develop operational concepts, new tactics, or doctrine.

i. Analyses of materiel, personnel, logistics, and combat developments management systems.

j. Developmental force structure studies.

k. Research and development of models, data bases, scenarios, methodologies, and decision support systems when required to support studies and analyses conducted under this regulation.

l. Joint (Army/Air Force/Marine Corps/Navy) studies which involve TRADOC.

m. Studies which TRADOC, as the executive agent for Department of the Army, conducts with allied nations.

b. Content. The planning guidance covers current fiscal year milestones for submission of the proposed program for the next fiscal year. It also provides specific instructions and information on the format for program submission.

c. Study topics. HQ TRADOC guidance includes a list of study topics and continuing studies. HQDA guidance contains and lists items from the IAP and other major Army issues.

2-4. Development of proposed program. The head of each study agency within TRADOC will develop information on the studies it plans to conduct within the program.

a. Program format. The head of each TRADOC study agency develops a proposed prioritized program based on the annual Study Program Planning Guidance.

b. Study program content. Each study agency POC should ensure that its proposed study program responds to items within its area of interest. Each study agency POC should review the study guidance, identify specific issues it intends to study within the general guidance as well as continuing studies, and submit these as a part of the program submission.

c. Professional Staff Year.

(1) The number of PSY must account for the normal duty hours of the analyst (military or civilian) on the study team and all other indirect support provided on the study effort in the program year. Examples of indirect support include the services of the secretary who types the report, the individual who provides Automated Data Processing (ADP) support, and the manager who provides technical supervision. The single total PSY value that the study agency POC reports to the TRADOC Study Program must also account for the non-available time (e.g., training, annual and sick leave, etc.). The total available and non-available time for workers involved must correspond to the current conversion factor of hours per year as defined in AR 570-4, table 3-1.

(2) Program submission will show the PSY required including all cross-taskings (i.e. PSY from the study agency, supporting agencies, and other government activities). The study agency POC must coordinate all cross-taskings among MSCs, schools, and supporting agencies prior to program submission.

d. Requirements versus resources for program development.

(1) During the initial program development process, study agency POCs identify study requirements. The PSY estimated by the study agency and other supporting agencies POCs indicates the amount required to accomplish the basic study effort in the program year. The study agency and the supporting agency POCs are agreeing to an estimate that if the study is approved in the study program, they would commit 'X' amount of internal PSY to perform that study effort. Study agency POCs should informally coordinate PSY estimates for analytical support and/or certification with the appropriate TRAC element(s) while formally coordinating with HQ TRAC.

Chapter 2

Development of the TRADOC Study Program

2-1. General. This chapter prescribes requirements and procedures for planning, programming, and budgeting for an annual TRADOC Study Program. The program is characterized by centralized guidance, decentralized program development, and centralized review and evaluation to provide high visibility and requisite coordination. The TRADOC Study Program follows the steps and timelines set forth in figure 2-1. The following paragraphs discuss the blocks of that figure.

2-2. Department of the Army guidance. Each year the Department of the Army publishes its guidance for the study program for the next fiscal year. This guidance is normally received by HQ TRADOC 1 year prior to the start of the budget year. The guidance provides items from the Issue Assessment Process (IAP) and other current Army issues, the resolution of which would provide substantial contributions to Army planning and decision making, HQDA bases this study planning guidance on areas of interest identified by the senior Army leadership. TRADOC includes the HQDA guidance as part of the TRADOC guidance.

2-3. TRADOC Study Planning Guidance.

a. Purpose. The TRADOC Study Planning Guidance provides direction for the development of the TRADOC Study Program. The annual guidance consists of general guidance issues identified by the HQ TRADOC DCSs and CG, TRADOC and specific administrative guidance and instructions prepared by DCSA. It augments and modifies guidance found in AR 5-5 and this regulation.

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(2) The study agency POCs will also identify the anticipated available PSY to support the study requirements. Report available PSY by P2/Concepts, Doctrine, and Developments (CDD), and P8/Training Developments (TD) resources. For example, the study agency POC with a total of 25 PSY expected available for study support could show 12 PSY for material acquisition studies, 3 PSY for scenario support for a total of 15 P2 PSY; 7 PSY for training

development studies, and 3 PSY for training evaluation studies for a total of 10 P8 PSY. The format for providing the support information is left up to the discretion of the individual study agency POCs. The information should be sufficient to allow the DCSs, HQ TRADOC, to make decisions as to the availability of study agency PSY to resource the different types of study requirements.

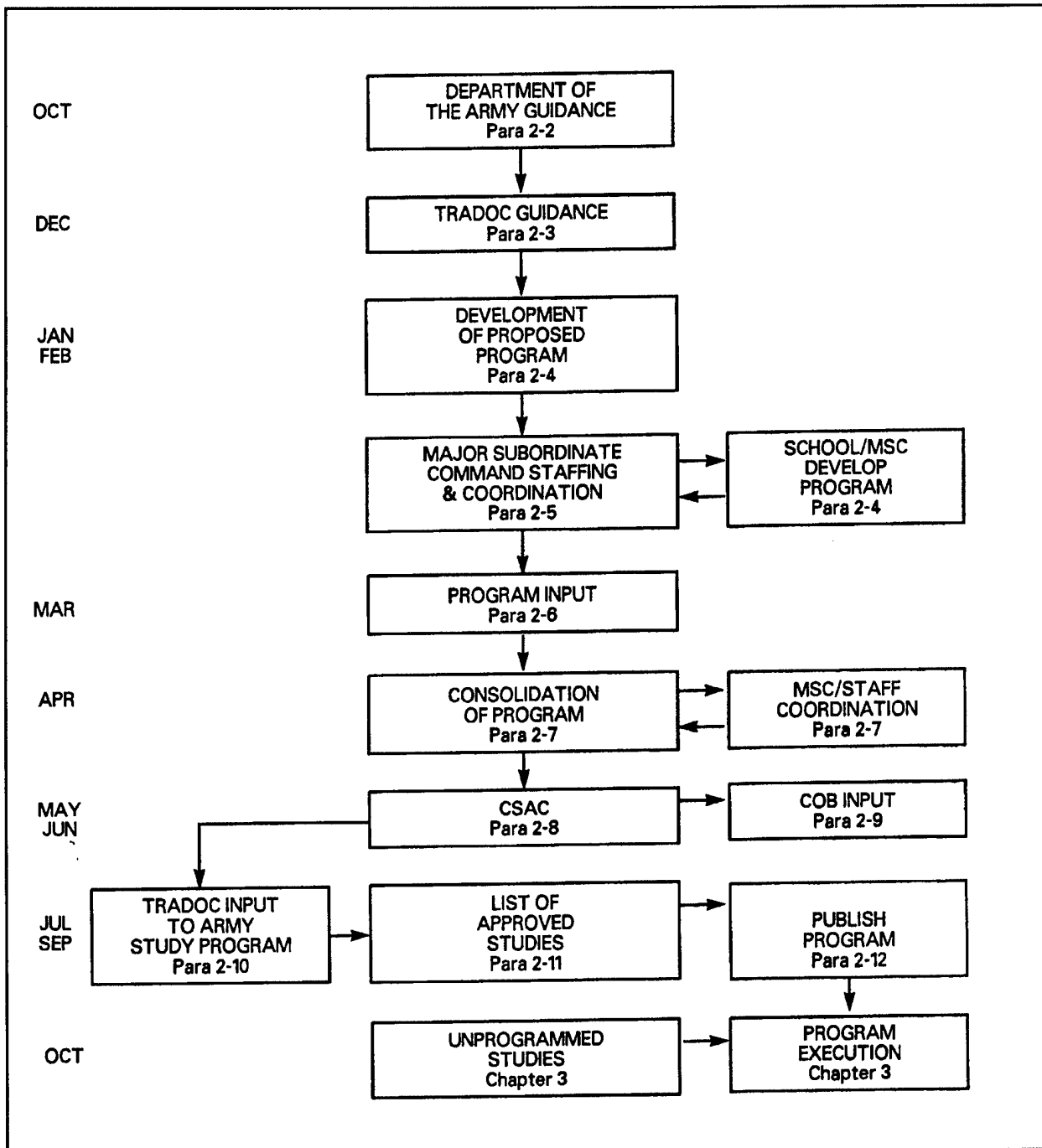


Figure 2-1. Milestone Flow Chart for TRADOC Study Program Development

(3) DCSA develops the draft study program based on the study requirements and the available PSY support information.

e. Relation of studies to the command operating budget.

(1) The study agency POCs budget/report funds in their COB for contractual support for studies. Contractual support from the DCSs, HQ TRADOC, through the study program is very limited. The study agency POCs should not solely depend on it as a source of funding. The study agency POCs will include TDY requirement in support of studies in normal operating budgets. Training studies may receive additional funding from DCST if the study requires extensive travel in conducting the study.

(2) Each DCS, HQ TRADOC, will provide the required COB input through DCSR to HQDA for studies funded by the DCS through the study program.

(3) Other agencies such as Army Materiel Command (AMC), Program Managers, and HQDA may fund studies. These agencies are responsible for documenting/reporting the funding in their budgets.

(4) Research, Development, Test, and Evaluation (RDT&E) and Procurement funds are other sources of funding for studies, when appropriate. Study agency POCs may obtain funding for studies which support research and development including development and test of initial tactics and doctrine from RDT&E funds. Study agency POCs may also obtain funding from procurement funds when a materiel system is in the procurement stage. The study must be directly related to a specific item of equipment for which the procurement funds are intended. The agencies providing the funds are responsible for documenting/reporting the funding in their budgets.

f. Additional study requirements. Representatives from each TRADOC agency may propose studies within its area of interest in addition to the studies cited in the annual guidance.

g. Study description sheet. The study proponent will submit the original SDS IAW the annual guidance. The study agency POCs will resubmit and update the SDS until the study is completed. When the study agency is different from the study proponent, the study agency POCs will provide a copy of the updated SDS and other updated information to the study proponent and to the MSC of the study proponent.

h. Study program security. TRADOC study agency POCs will secure all documents IAW AR 5-5 and the appropriate security regulations.

2-5. Actions by major subordinate commands.

a. Guidance. Commanders, MSCs, will provide programming guidance to its associated schools/elements.

b. Integration of school/element lists. The MSC POCs will, through coordination with associated schools/elements, consolidate data from associated school/elements with MSC requirements and prepare a consolidated prioritized list. As part of the development of a prioritized list of

studies, the MSC POCs will review the need for studies proposed, the need to consolidate studies with overlapping scopes, and the need to delete or modify studies which duplicate past, ongoing, or planned efforts. The MSC POCs will coordinate the revised program with the associated school/elements and adjust the proposed program prior to submission to DCSA. Program submissions will reflect any resource and schedule impacts of any study consolidations or modifications.

2-6. Program Input. MSCs and HQ TRADOC staff will submit its programs to DCSA IAW the HQ TRADOC annual Study Program Planning Guidance and take other actions as indicated in that guidance. The annual guidance will include the documentation requirements for the study program submissions.

2-7. Consolidation of commandwide program.

a. TRADOC study agency POCs will prepare a preliminary draft program for initial submission and TRADOC coordination. The study agency POCs will then make the appropriate changes based on the coordination and prepare the formal program submission. DCSA will consolidate the input.

b. Representatives from MSCs and HQ TRADOC will meet and review the proposed program. The MSCs represent the interests of their schools/elements. The representatives will identify those studies to be assigned to a study agency other than the proponent agency. When a study is reassigned to a study agency other than the proponent agency, the study agency POC will provide the subsequent update information on that study for the proponent agency.

c. Based on the review, DCSA will prepare a draft of the resourced study program and maintain the remaining study requirements on the draft unresourced study requirements list. A study may have internal PSY resources but no funds for additional contractual support. In this example, the study may appear in the resourced study program (i.e., resourced for PSY) and on the unresourced requirements list (i.e., unresourced for funds). In the case where a study agency POC indicates that funding and manpower are available, the study is placed on the resourced list.

d. DCSA will staff the draft program and the unresourced requirements list with the DCSS, HQ TRADOC, and MSC POCs.

e. DCSA, in conjunction with the DCS POCs, will present the proposed draft program to the CSAC.

2-8. Command Study Advisory Committee. The CSAC reviews the draft study program. It resolves conflicts, if any still exist, and gives guidance on changes. The CSAC recommends to CG, TRADOC, that TRADOC submit the draft resourced program to HQDA for review and HQDA level approval.

2-9. Command operating budget input.

a. Each DCS, HQ TRADOC, will complete the portion of the Consultants, Studies and Analyses, and Management Support Services schedule in the COB for contract studies

funded by the DCSs, HQ TRADOC, through the study program. DCSRSM provides this input to HQDA.

b. The resource notification of funding for contract studies funded by the DCSS, HQ TRADOC, through the study program may appear in the COB funding guidance to the field. If the study program is not firm by the COB time frame, HQ TRADOC will identify or modify this funding for studies in subsequent Budget-Manpower Guidance.

c. DCSA will provide the DCSS with a listing of the unfinanced contract support study requirements identified through the study program Study agency POCs should not submit unfinanced requirements for contract support in the COB or subsequent budget exercises that are already identified as unresourced funding requirements through the study program.

2-10. The Army Study Program input.

a. The Deputy Under Secretary of the Army for Operations Research (DUSA (OR)) formulates policy for Army Study program management. The Model Improvement and Study Management Agency (MISMA) is responsible for the Army Study Program management system. The Study Program Coordinating Committee (SPCC) is the HQDA level review and approval authority for the Army Study Program.

b. MISMA conducts a working group review of the study programs submitted by HQDA elements and major Army commands (MACOMs). Results of the HQDA review will enable TRADOC to make changes, if appropriate, prior to the SPCC review.

c. DCSA will present the TRADOC Study Program to the SPCC for approval and inclusion in the Army Study Program.

2-11. CG, TRADOC approval. After review and approval by the SPCC, DCSA submits the program to CG, TRADOC for TRADOC's approval. The approved study program constitutes a contract for study agencies to produce the study products and to provide the listed supporting PSY for other agencies study products.

2-12. Publish program. DCSA publishes the approved program and distributes it to study agencies, TRADOC staff elements and other Government agencies.

2-13. Annual status summary of studies.

a. LAW HQDA guidance, the study agency POC must prepare a status of the work performed the previous fiscal year's study program. DCSA may request additional information for a report on the TRADOC Study Program.

b. MISMA representatives solicit input for the Annual Army Study Highlights publication. The Army Study Highlights features outstanding studies from the previous year. DCSA manages the selection of TRADOC studies based on guidance from MISMA.

Chapter 3

Execution of the TRADOC Study Program

3-1. General. This chapter describes requirements for the proper execution of the TRADOC Study Program.

3-2. Program execution.

a. The head of each TRADOC study agency will appoint a single central POC to act as coordinator for its portion of the TRADOC Study Program. The central POC is responsible for the appropriate tasks in chapter 1, paragraph 1-4.

b. As changes in required, or expended resources for studies occur, the individual study POC will provide the changed information to the central study agency POC for review. The central POC will ensure that the change is fully coordinated and pass the changed information through the MSC (for the schools/TRAC elements) to DCSA.

c. The study agency and supporting agency POCs will allocate resources for studies guided by the priorities established in the approved published study program with consideration of the expertise required and the schedule established by the sponsor. A study in the approved study program is a valid requirement and the responsible study agency will conduct that study on a priority basis within available resources.

d. During program execution, unprogrammed study requirements may occur. HQDA, HQ TRADOC, or TRADOC elements may develop unprogrammed requirement that will impact upon the execution of programmed studies in most instances.

(1) MISMA representatives will coordinate HQDA unprogrammed requirements with the appropriate DCS, HQ TRADOC, and DCSA. DCSs, HQ TRADOC, must coordinate unprogrammed requirements with DCSA, MSCs, study agency and supporting agency POCs. Representatives from these agencies will resolve the availability of resources for the unprogrammed requirement and the impact on programmed efforts (i.e. What are the tradeoffs? What will slip?) prior to the initiation of the unprogrammed effort.

(2) The study agency POCs will coordinate establishment of priorities and trade-offs (e.g., impact to program) for unprogrammed study requirements with their MSC, DCSA and the appropriate DCS, HQ TRADOC, prior to the resourcing and initiation of unprogrammed studies. Should an unprogrammed study require TRAC support, the study agency POC should informally coordinate with the appropriate TRAC element(s) while formally coordinating with the HQ TRAC POC. Should an unprogrammed study require TRADOC funding support or contractual and/or other Government agency support from the appropriate DCS prior to initiation of the study and before the request for funding support is officially initiated.

e. Programmed in-house manpower resources to conduct studies must be closely managed to prevent the

over-programming of manpower resources. Each study agency POC should perform an analysis of required manpower as a function of individual study schedules including supporting organization as part of the study agency's program management. The study agency POC should update this analysis as requirement change and use the analysis to manage its study resources.

f. When a TRADOC activity provides in-house support to another TRADOC activity acting as the TRADOC study agency, the study agency POC will monitor the progress of the supporting activities to assure that the sub-elements of the study are progressing/completed on schedule and that the quality of study performance meets requirements. In the event of a conflict of study schedules which the study agency and the support activity POCs cannot resolve, the study agency POC will refer the conflict to the appropriate MSC and, if necessary, to the appropriate DCS, HQ TRADOC, for resolution.

3-3. Review and management of the Study Program status.

The study agency POC will conduct a periodic review of its study program status. The study agency POC should--

- a. Ensure that performance of studies is occurring in the order of priority established for studies.
- b. Identify and report acceleration or slippage of programmed schedules for individual studies.
- c. Ensure that programmed study support to another TRADOC activity is on schedule.
- d. Explore within the activity the potential for eliminating the slippage of any study schedule.
- e. Coordinate conflicts of study schedules not resolved between the activity and the supported activity or with HQ TRADOC as appropriate LAW paragraph 3-2, above.
- f. Submit DD Form 1498 (RCS DD-I&L(AR)1196) upon study/contractual support initiation and follow-on updated DD Form 1498 (RCS DD-DR&E(AR)-636) IAW DA Pam 5-5. Submit the completed report using the Standard Form 298.
- g. Submit funding requests for contractual or other Government agency support for studies to DCSA (with a copy to the appropriate MSC) in a timely fashion to permit studies requiring such support to remain on their planned schedules.
- h. Notify the MSC and DCSA immediately upon recognition that a study programmed for contractor and/or other Government agency funding support will not require funding during the program execution year either as a result of study slippage or deletion of the funding requirement.
- i. Provide input to all study program status reports to DCSA (with a copy to the MSC when appropriate) as requested.

Chapter 4 Contractual Support for the TRADOC Study Program

4-1. General.

a. This chapter prescribes the policy and administrative guidance necessary for obtaining contractual support for studies in the TRADOC Study Program.

b. This guidance does not supersede Army regulations or pamphlets (e.g., AR 5-5; DA Pam 5-5; AR 5-14; and AR 25-1) that mandate policies and management controls for programs and activities which use analytical support services. Instead, it complements such regulations by prescribing a minimum level of management responsibility. Some of those regulations may require more comprehensive or constraining management controls than prescribed here and the study agency should adhere to those regulations when applicable.

c. Director, TRADOC Contracting Activity (TCA), is responsible for contracting for TRADOC mission contracting requirements (e.g., TRADOC studies). The head of the Directorate for Acquisition, DCSBOS, must approve in writing all requests for exceptions to use other contracting offices. Contact Commander, TRADOC, ATTN: ATBO-AR, Fort Monroe, VA 23651, for guidance when requesting approval to use other contracting offices.

d. Appendix C provides a summary of the common errors in developing requests for contractual support.

4-2. Contractual services support.

a. The study agency POC may obtain contractual services because of the lack of skills or expertise required to complete a particular study or because the project exceeds the capability of available in-house resources to accomplish the project within the time constraints.

b. Contracting will normally be on a competitive basis. Noncompetitive acquisition will be the exception. Noncompetitive acquisitions are supported by a Justification and Approval(J&A), which the study agency POC initiates, the contracting officer finalizes, and the Competition Advocate approves. The approval level of the J&A depends on the anticipated contract amount (see app D for approval levels). Close coordination between the study agency POC and the contracting officer is highly recommended during preparation of a J&A to facilitate smooth execution. Appendix D depicts a copy of the J&A format prescribed by the Army Federal Acquisition Regulation Supplement (AFARS).

c. Requests for contractual study support will specify identifiable and usable end products. These products may be a final report, the output of a computer run supported by a written analysis, development of an analytic tool (model), or similar written documents.

d. Contractual services may furnish input for a decision by providing the following services:

- (1) Execution of analyses in support of the TRADOC Study Program.
- (2) Operations research techniques such as systems

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analysis, cost effectiveness analysis, simulation, or wargaming.

(3) Techniques and methods for the conduct, control and evaluation of wargames, training developments, field experiments, and troop tests.

e. A contract requiring computer support should provide for the contractor to use a Government computer facility if such computer time is available and is less costly. The contract should identify the location and the type of equipment. The study agency POC will coordinate with the Director of Information Management (DOIM) in those instances where the government will provide computer support to a contractor under the auspices of a contractual support arrangement. Use of a contractor furnished computer terminal in conjunction with a Government computer must be IAW applicable security requirements. Other specific regulations governing the use of a Government computer facility may also apply. Coordinate with the Director, TCA.

f. A contract requiring the use of a TRADOC model and/or data base will follow the current TRADOC policy for releasing the model/data base to the contractor. The study agency POC will ensure that the PWS reflects the appropriate conditions for release.

g. A contract should provide the format for preparing the required draft and final study reports.

h. The study agency POC will obtain contractual services IAW the provisions of the Federal Acquisition Regulations (FAR), the AFARS, the Defense FAR Supplement (DFARS), and the TRADOC FAR Supplement (TFARS).

i. The study agency POC is responsible for monitoring performance of the contractor without providing guidance or direction or exercising or giving the appearance of exercising supervision or control over the contractor or its employees. While it is essential that the contractor and the study agency POC establish and maintain a harmonious working relationship, the proper channel for contractor guidance and direction is through the contracting officer. The contracting officer may, upon request from the study agency POC, appoint a contracting officer's representative (COR) to assist in administering the contract; however, the contracting officer determines the need for a COR on a case by case basis. When appointed, a COR will comply with the responsibilities and limitations delineated in the letter of appointment from the contracting officer (see app E).

j. All personnel involved in the contractual support process will read and comply with AR 600-50 and FAR, Part 3(Improper Business Practices and Personal Conflicts of Interest). In appropriate cases, personnel will be required to file DD Form 1555 (Confidential Statement of Affiliations and Financial Interests).

k. Only the contracting officer may release information to prospective contractors on approved TRADOC study synopses.

l. Format for a PWS for contract services is at appendix F. PWS will be written and administered to preclude--

(1) Any indication of personal services.

(2) Permitting the Government to control or direct the means or methods by which the contractor accomplishes the work or otherwise supervise or provide the appearance of supervision of contractor employees.

(3) Requiring or permitting the contractor to exercise discretion on behalf of the Government.

(4) Providing scientific services in general which available government employees or military personnel could or should perform.

(5) Permitting Government personnel to approve, by name, the individuals the contractor will furnish. (Note: The Government can reserve the right to require removal of contractor employees who endanger person or property or whose continued employment on a Government contract operation is inconsistent with military security requirements.)

(6) Permitting contractor employees and Government personnel to perform the same function interchangeably.

(7) Releasing information outside the Government concerning proposed procurement prior to the issuance of solicitations (Request for Quotations, Request for Proposal, or Invitation for Bids).

m. Only the contracting officer will conduct discussions with prospective contractors about a procurement. If the study agency requiring the support determines the solicitation contains ambiguities, mistakes, or omissions, the study agency POC will notify the contracting officer so that the contracting officer may issue a formal amendment to the solicitation.

n. No one may release any information contained in proposals or quotations, or the number or identity of the submitters of these proposals or quotations outside of the Government, or to anyone within the Government not having a "need to know."

o. Members of the Source Selection Evaluation Board will not discuss or disclose the content or nature of the discussions of the board or results of its deliberations except if directed by the board chairperson or through coordination with the contracting officer.

p. Personnel of this command who become aware of actions taken by a Source Selection Evaluation Board or its members concerning a potential procurement will not release or disclose that information except to the extent of the performance of their official duties and only when a "need to know" requires them to do so.

q. Only contracting officers may award or modify contracts.

4-3. Review process. The study agency POC is responsible for obtaining a functional review of the MDD and the PWS by the TRADOC sponsor and the TRAC element (if TRAC will certify the analysis) prior to obtaining approval of the MDD.

4-4. Approval process. The requirements of this section apply to both the competitive and noncompetitive acquisition contract requirements and to original contracts and contract modifications.

a. If the proposed contract requirement has a cumulative cost of less than \$50,000, the appropriate management authority at the study agency may approve the MDD.

b. If the proposed contract requirement has a cumulative cost of \$50,000 or more, the approval authority for the MDD may not be delegated below the level of General Officer (GO) or Senior Executive Service (SES) at the study agency. However, the commander is the approval authority for those organizations where the commander is a Colonel serving in a GO billet or where SES personnel are subordinate to that commander. In these cases, do not delegate the signature authority below the level of the commander.

c. If the proposed contract requirement has a cumulative cost of \$500,000 or more, the study agency POC will submit the contract requirement, with the appropriate TRADOC level approval as described above, to DCSA. DCSA will forward the request for contract support to HQDA for approval IAW AR 5-5.

4-5. Management.

a. TRADOC study agency POCs must ensure that their use of contractual support reflects well defined products and schedules, encompasses a limited number of attainable objectives, and provides assistance in strengthening those studies which support the most critical decisions.

b. DA Pam 5-5 and TRADOC Pam 715-1 describe the responsibilities of the COR. The written authorization of appointment for the COR from the contracting officer will list specific responsibilities of the COR.

c. Other responsibilities of Commanders, TRADOC installations and activities, for study contractual support include--

(1) Nominating a study agency representative for appointment as the COR IAW TRADOC PAM 715-1, chapter 2. Appendix E lists some of the COR responsibilities.

(2) Ensuring that the PWS contains a requirement for the contractor to provide information on the progress of the work. Contact TCA for specific guidance.

(3) Completing an End Product Acceptance Report (RCS exempt IAW AR 335-15, para 5-2b(2)) (app G) and forwarding it within 30 days after contractor performance, directly to the contracting officer.

(4) Completing and distributing a management evaluation report (RCS exempt IAW AR 335-15, para 5-2e(7)) IAW AR 5-14, paragraph 4-5c Sample format is at appendix H.

(5) Reporting to the contracting officer unsatisfactory contractor performance (RCS exempt IAW AR 335-15, para 5-2c(5)) of such magnitude that he/she must take immediate action.

d. Appendix I provides specific instructions for obtaining contractual support from nongovernment agencies. Appendix J provides the format for the MDD. Appendix K provides information for developing a cost estimate.

4-6. Unsolicited proposals for studies. See TRADOC Pam 715-4 for guidance.

4-7. **Unfunded studies.** TRADOC permits industrial firms to submit unsolicited proposals for studies which the firms will perform at no cost to the Government. The Government must have a valid need for the study results. Study agencies will contact TCA for guidance in these instances.

Chapter 5 Other Government Agency Support

5-1. **General.** This chapter provides guidance for developing documentation to obtain computer and/or analytical support from another Government agency when such support requires TRADOC funding. The TRADOC study agency POC requiring support will develop the required documentation.

5-2. Review Process.

a. The study agency POC is responsible for obtaining a review of the PWS by the sponsor and TRAC (if TRAC will certify the analysis) prior to initiating the support.

b. The study agency POC is responsible for coordinating with Commander, TRADOC, ATTN: ATBO-AR, Fort Monroe, VA 23651-5000 for a determination if the support from another Government agency constitutes the use of a contracting office other than TRADOC.

5-3. **Documentation requirements.** The study agency POC will document the required analytical support with the following documents

a. PWS. A brief PWS citing the following:

(1) Study title.

(2) The non-TRADOC government activity tasks. Clearly state the scope of the effort in the tasks.

(3) Deliverables. State the product(s) or service(s) that the supporting activity must deliver.

(4) Schedule for deliverables. State the calendar date by which the supporting agency must furnish each deliverable to TRADOC.

(5) TRADOC furnished items. If applicable, state the items which study agency POCs will furnish the supporting activity for performance of the required support. If the supporting activity requires the use of a TRADOC model and/or TRADOC data base, the study agency POC will follow the current TRADOC policy for releasing the model/ data base to the supporting activity. The study agency POC will ensure that the PWS reflects the appropriate conditions for release.

(6) Recipient of deliverables. State the full address to which the supporting agency must provide the deliverables.

(7) TRADOC POC. State the full address, name, and AUTOVON telephone number of the TRADOC study agency's POC.

b. Memorandum of Agreement (MOA). When the other Government agency requires an MOA prior to the initiation of the support effort, the TRADOC study agency POC will

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initiate action with the supporting activity for developing the MOA. The TRADOC study agency POC will ensure that the MOA is compatible with the tasks, deliverables, and schedule appearing in the PWS.

c. A cost estimate by fiscal year. Show total dollars required by fiscal year. Other Army activity support, when TRADOC funded, usually requires incremental finding by fiscal year.

d. DD Form 448(Military Interdepartmental Purchase Request) to transfer funds for the requested support. Provide DCSA with a copy of DD Form 448.

Appendix A Reference Publications

Section I

Required Publications

Federal Acquisition Regulation
Defense Federal Acquisition Regulation Supplement
Army Federal Acquisition Regulation Supplement
AR 5-5
Army Studies and Analyses
AR 5-14
Managing Analytical Support Services
AR 25-1
The Army Information Resources Management Program
AR 37-21
Establishing and Recording Commitments and Obligations
AR 70-9
Army Research Information System and Report (RCS DD-I&L-1196)
AR 70-31
Standards for Technical Reporting
AR 71-9
Material Objective and Requirements
AR 335-15
Management Information Control System
AR 570-4
Manpower Management
AR 600-50
Standards of Conduct for Department of Army Personnel
DA Pam 5-5
Guidance for Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Representatives
TRADOC Federal Acquisition Regulation Supplement
TRADOC Rag 11-8
Studies Under AR 5-5
TRADOC Reg 350-32
The TRADOC Training Effectiveness Analysis (TEA) System
TRADOC Pam 11-8
Studies and Analysis Handbook

TRADOC Pam 715-1
Manual for Contracting Officer's Representatives (COR)

TRADOC Pam 715-4
Unsolicited Proposals

Section II Related Publications

AR 5-7
Defense Logistics Studies Information Exchange
AR 380-5
Department of the Army Information Security Program

Appendix B Common Errors - DD Form 1498

B-1. General. The following paragraphs cite typical errors which the Defense Technical Information Center (DTIC) encounters when reviewing DD Forms 1498 submitted by TRADOC organizations for entry into the DTIC data base. Elimination of these types of errors will save time and effort for both HQ TRADOC and the study agency as well as facilitate the administrative process. DA Pam 5-5 provides the procedures for properly completing DD Forms 1498.

B-2. Block 4, "Kind of Summary." Incorrect coding of completion or termination. Block 4, "Kind of Summary", requires insertion of proper coding. Do not erroneously use the termination coding for a completed study. Use the termination coding only when the study agency decides not to initiate a programmed study or decides to discontinue the effort prior to completion. At the time of entering a completion or termination coding, enter resources actually expended to date in block 18.

B-3. Block 8b, "Contractor Access." Failure to check the "NO" block when Block 18b reflects programmed dollars for future contractor support, Failure to stamp contractual DD Form 1498 "FOR OFFICIAL USE ONLY" when the study agency cites contractual support in Block 18b and the contract is not yet awarded.

B-4. Block 11, "Title." Changing a study title after submitting the initial DD Form 1498 creates unnecessary problems.

B-5. Block 13 and 14, "Start and Estimated Completion Date." Failure to maintain an updated start or completion date. The study agency POC must update blocks 13 and 14 if there is a change from that reported in an initial or subsequent submission of a DD Form 1498. The change may be the result of a current estimate in the completion date of an ongoing study or an actual completion date differing from the previously reported estimated completion date. When the study agency revises information in block 13 or 14, they must adjust the information in block 18 if required, and provide data in paragraphs 24, "Approach," and paragraph 25, "progress as appropriate."

B-6. Block 18a, "PSY." Incorrect or missing resource information. Use block 18a(PSY) for in-house studies only. Use block 18b "Funds" in contractual support DD

Forms 1498 only. Enter actual expenditures upon completion or termination.

B-7. Block 19, "Responsible DOD Organization." Blank and incomplete. Subordinate elements are not making the effort to determine names, complete address to include office symbol and phone numbers of POCs at the responsible organization.

B-8. Block 21, "General Use." Identify the proper codes from DA Pam 5-5.

B-9. Block 22, "Keywords." Failure to cite the Project Unique Identification Code (PUIC) as a keyword. Incomplete "keyword" identification. Keywords are equivalent to a subject index. Future retrieval of the study effort depends on a careful selection of keywords which express the major concepts and subject of the study. Use the guidance provided in DA Pam 5-5.

B-10. Item 24, "Approach." Failure to distinguish between studies. For example, within TRADOC we may conduct a COEA of a system. When the study team completes a COEA they submit a completed DD Form 1498. If there is a requirement to initiate a separate study to update a COEA the study agency POC must obtain a new PUIC and treat the effort as a totally new study. In the approach (item 24), it is acceptable to refer to a prior study and its interface with the newly initiated study.

B-11. Item 25, "Progress." Failure to update progress to date. Once the study agency POC initiates a study, it is not only essential to update the information through block 20, it is also necessary to ensure that item 25 reflects progress to date. In an in-house DD Form 1498 this may be the recording of an in progress review (IPR) meeting and results, approved plan, reasons for deviation from scheduled milestones and so on. In a contractual DD Form 1498, this may be a review of a contractor's plan, report, etc.

B-12. Item 26, "Evaluation." Failure to properly complete item 26. Within 90 days of completion or termination, the study agency POC must submit an evaluation of the study and statement of results and uses (see AR 5-5 and DA Pam 5-5 for format). Failure to include a concise statement of the use of study results or, in the case of a terminated study, the precise reason(s) for termination is a basis for requiring a revised update of the DD Form 1498 from the study activity.

B-13. Delayed reporting of new studies. When the study agency POCs initiate a study, they must submit a DD Form 1498 to DTIC NLT 15 days after the start of the study.

B-14. Failure to report a study. This regulation requires that the head of each TRADOC study agency establish the position of study coordinator to insure that the provisions of this regulation are met. Internal study management procedures will vary; however, they must be sufficient to insure accurate, complete and timely reporting. This includes the requirement for TRADOC SSGs to provide DD Forms 1498.

Appendix C Common Shortfalls and Errors in Requests for Contractual Support

C-1. General. This appendix assists in the development, submission and processing of packages requesting award of contract.

C-2. Common shortfalls and errors in developing contractual support packages.

a. **Timeliness.** The study agency POC must consider lead times for the review and approval process and award of contract when scheduling a contractually supported study and initiating the development of a package. Consider the time to develop the request package, submission to the sponsor and the TRAC organization responsible for certifying the analysis for review and approval, and time for the contracting office to award the contract. Coordinate with the contracting officer.

b. Review of the PWS

(1) Normally, the study director precedes a study which intends to use contractual support by a study plan. Prudence dictates that there be a review of the relationship among the plan and the proposed PWS (which includes a "contractor's" study plan) for a contract. The interface of these documents should be acceptable to the study sponsor. During this process, do not task the contractor to perform in an area which the Government can provide to the contractor as Government-furnished input. Always include a Government-furnished input paragraph in a PWS to identify the required Government inputs for contractor performance.

(2) The cover letter accompanying submission of the request for contractual support to the sponsor and the TRAC organization should state that the an appropriate approval authority at the study agency reviewed and approved the PWS.

c. PWS.

(1) Ensure that the PWS clearly states the scope of work for contractor performance.

(2) The PWS should state the tasks that the contractor will perform in clear and indisputable terms. Each task should be in a separate paragraph and have the lead-in terminology, Task 1, Task 2, etc.

(3) The first task the contractor completes is usually the submission of a "contractor's" study plan. The study director should review this study plan and provide resulting advice to the contractor in a timely fashion. The PWS may require the contractor to brief the study director relative to the proposed plan.

(4) Always task the contractor to submit a draft final report (or other appropriate product) for review, with submission of a final report to follow. The study director should task the contractor to brief the draft report in order to provide advice to the contractor relative to generating the final report.

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(5) Fully state what the Government will furnish the contractor to facilitate the performance of his tasks (e.g. government furnished model, data base, computer support). Ensure that the appropriate TRADOC procedures are followed in releasing government furnished models/data bases. Ensure that the tasks in the PWS state what the contractor will perform in relation to Government furnished inputs. Ensure that Government furnished items will be available on the contractor's scheduled milestone for use. Use the milestone schedule in the PWS and the DD Form 1423 for this purpose. Milestones in the contractor's study plan may require adjustment of the timing for Government furnished inputs. State the point of contact and date of availability of items that the Government will furnish. List date of availability in terms of date of award of contract (DAC) plus the appropriate number of days.

(6) When stating milestones for contractor performance, do not use calendar dates. The initial milestone should be the DAC: all subsequent milestone DAC plus number of days or months, preferably the number of calendar days. The last milestone should be the submission of a final report.

(7) The study director should schedule IPR meetings at the completion of each major milestone to assess contractor progress up to that point and his plans to accomplish the next milestone. Only the contracting officer can modify the scope, cost, schedule, or any part of the contract. The COR may not redirect the contractor in a manner which would bypass the terms of the contract. Only when appropriate should the study director schedule other meetings and briefings. The PWS should state the requirement for IPR briefings and their schedule. This schedule should relate to the milestones for contractor task accomplishment as reflected in the PWS.

(8) The PWS will state the schedule for deliverables. Ensure that this schedule is shown in the DD Form 1423 and that the milestone DAC plus dates are the same.

(9) Do not include a statement in the PWS which the contractor can interpret to mean that the Government will furnish facilities for the contractor performance unless the intent is to have the contractor perform the total effort at the Government facility. If the intent is to have part-time availability, state that the contractor will perform the effort primarily at the contractor's facility; however, the Government will furnish the following facilities (state them) for the contractor at (state location(s) limitations) for the limited purposes/times (state purposes and time limits). When a Government furnished computer is to be used by the contractor and the independent Government cost estimate reflects computer costs for the contractor, ensure that the PWS clearly identifies the relationship between the use of Government and contractor computer facilities. Coordinate the availability of any Government computer facility that the contractor will use during study performance prior to finalizing the PWS.

(10) Constraints.

(a) If the effort that the contractor will perform is subject to certain constraints, the PWS (preferably as a

lead-in) should state the constraints. In particular, if a contractor, for example, is to develop or modify a model and provide documentation, ensure that the PWS states the need to have the model operable on a TRADOC computer. State the type computer(s) and its location(s). Do not use the words "either computer" unless the intent is to accept a model that is operable on either computer and not operable on more than one computer. In the case of model development, cite the documentation requirements either as part of the PWS or as an enclosure. Reference the enclosure in the PWS tasking.

(b) State if a personnel, materiel, and/or dollar constraint will apply to the study alternatives.

(11) Ranking alternatives.

(a) State whether cost are to be a consideration for ranking alternatives when asking a contractor to prioritize alternatives.

(b) Be cautious about allowing a contractor to select alternatives. Preferably, the PWS should state any alternatives in order to scope the effort. If the contract allows the contractor to select alternatives, the PWS should state the specific number of alternatives. Allowing a contractor to select alternatives can be a source of trouble. For example, if the contractor's plan identifies alternatives which would be unacceptable to the Government, the result might be a need to modify the scope, schedule, and/or cost of the contract before the contractor actually initiates the effort. Avoid this situation.

(12) Methodology.

(a) Normally, the PWS does not dictate the detailed methodology that the contractor will use in his efforts. However, if the intent is to have the contractor employ a specific type methodology, include statements to that effect in the PWS.

(b) If the desired methodology includes contractor visits to Government agencies to collect data on activities that the agency will perform specifically for the benefit of contract performance, ensure that the study agency POC coordinates requirements to obtain the data with the performing agency (e.g., test or training data from FORSCOM or Europe). Give preference to the Government providing data rather than paying contractor to travel to collect data.

(c) State in the PWS any required measures of effectiveness (MOE), measures of performance, or essential elements of analysis (EEA) that the contractor should use in his methodology.

(13) Open-ended tasks. No tasks should state, in effect, that the Government will redirect the effort during contract performance. Do not state that after completion of a certain task the Government will then decide on the specifics for the next task(s). Be specific in the PWS in stating the contractor performed tasks. Any attempt to resolve the contracted scope during contract performance leads to complications as stated earlier.

d. Decision document.

(1) The purpose and objectives of the contracted effort should be compatible with the PWS.

(2) Use the decision document format specifically as shown in appendix J.

e. Independent Government cost estimate.

(1) Double check your multiplications and additions. Eliminate errors at the source.

(2) Never discuss potential costs (or a PWS) with a proposed or potential contractor.

(3) The local authorized agent should sign and date the cost estimate.

(4) Mark the cost estimate "FOR OFFICIAL USE ONLY."

f. DD Form 1498 for contractual support (selected blocks).

(1) Block 11. For a programmed study, the title should be the same as the title used in the approved study program. Study titles among the DD Form 1498, decision document and PWS should be consistent. Do not arbitrarily change the title of a programmed study.

(2) Blocks 13 and 14. Ensure that the stated start date is realistic in view of the lead times required to obtain award. The span of time between start and completion dates should agree with the proposed length of the period of performance for the contractor as extracted from the milestones in the PWS.

(3) Block 18, Funds. The amount of funds (by fiscal year) should agree with the mats shown in the independent Government cost estimate. Show dollars in thousands. Do not include PSY in contractual DD Form 1498.

(4) Block 20. If the contract is to be competitive, state to be determined. If the contract is to be noncompetitive acquisition, provide information relative to the sole source contractor. Do not cite a Government activity in this block.

g. DD Form 254.

(1) Complete Block 1.

(2) Sign in Block 12b.

(3) Leave Blocks 16b-e blank.

h. DD Form 1423.

(1) Ensure that deliverables and schedules found in the PWS agree with those in the DD Form 1423. Account for all deliverables and briefings required in the PWS.

(2) Sign and date in "prepared by" and "approved by" blocks. Type the name of the signing individual.

i. List of potential contractors for competitive contracts. Include the full address of potential contractors.

j. Weights for evaluation criteria.

(1) List in the order of value placed on each measure with the highest value first followed by the lower value in sequence. Do not use cost as a criteria since the criteria are for technical evaluation only.

(2) At the foot of the criteria provide a Rationale Statement; i.e., the rationale for applying the values used.

(3) Stamp the form "SOURCE SELECTION INFORMATION."

k. Evaluation criteria.

(1) Do not place values on the criteria.

(2) Place in the same sequence as the criteria in the weights for evaluation criteria.

1. Noncompetitive acquisition justification. See appendix D for guidance for justifying any proposed noncompetitive acquisition contracts.

Appendix D Guidance for Preparation of Justification for Noncompetitive Acquisition (Other Than Full and Open Competition)

D-1. This appendix serves as a guideline for writing a justification for noncompetitive acquisition procurement. Each procurement action is different with regard to the need for, and extent of, competition. Since it is fundamental procurement law and policy that study agencies conduct procurement on a competitive basis to the maximum extent practicable, they must justify determinations to procure on a noncompetitive basis.

D-2. The recommendation for noncompetitive acquisition procurement shall include the following:

a. With few exceptions, the recommendation must reflect that the study agency POC made an effort to locate alternate sources, and describe the extent of such effort. The study agency POC should contact the contracting officer to coordinate market survey efforts prior to any contact with potential contractors.

b. The justification must state why only noncompetitive acquisition can meet the Government's minimum needs. These statements cannot be self-serving. The study agency POC must support any conclusions with facts.

c. The recommendation must address what attempts will be made to foster future competition in this area.

D-3. Noncompetitive acquisition procurement is proper under certain circumstances. See FAR 6.302 for information.

D-4. Noncompetitive acquisition procurement may be improper in the following circumstances:

a. Administrative delay - a lack of advanced planning by the study agency.

b. Concerns related to the amount of funds available (e.g., funds will expire).

c. Superior product - this is extremely difficult to justify. Both the superiority of the product and the need for the superiority must be shown unequivocally before this can be a valid basis for noncompetitive acquisition.

d. Lower price - competitive fixed price procurement establishes the lowest price. Notwithstanding published prices, any contractor has the prerogative to sell its products at less than advertised prices.

e. Follow-on contract - this does not in itself confer sole source status on a contractor. Base and document the

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justification on the contractor's vested knowledge, expertise, equipment, etc., which would render any other contractor incapable of meeting the required schedule. A simple statement that the study agency needs the product by a certain date is inadequate. Why must the government have

it by that date? What consequences will the Government encounter if that date is not met?

D-5. The TRADOC Contracting Activity provided additional information (figs D-1, D-2, and D-3) to assist in preparing the contract support package for noncompetitive acquisition.

1. **PURPOSE** To establish uniform procedures for obtaining approval of requirements for other than full and open competition.

2. **GENERAL** IAW governing regulations, policies and procedures, these are the established approval levels for other than full and open competition--

< \$100,000	Contracting Officer
\$100,000 to 999,999	TRADOC Competition Advocate
\$1,000,000 to \$9,999,999	Head of Contracting Activity
> \$10,000,000	Assistant Secretary of the Army (Research, Development and Acquisition)

3. **PROCEDURE** The justification and approval document at figure D-3 will be used for all requirements for other than full and open competition with an estimated dollar value of \$25,000 or more. While documentation for purchases between \$2,500 and \$25,000 is required, a formal J&A normally is not. Consult the contracting office when appropriate. All paragraphs of the justification will be addressed to include an explanation of nonapplicability.

a. The justification at figure D-3 must be certified by the requiring activity's technical and requirements components(as applicable). Contact the contracting officer to determine the appropriate level of approval authority. Supplemental information is to be added to the justification for the following paragraphs: 2, 6, 8, 9, 10, and 13. All justifications must be certified by the Contracting Officer before forwarding for approval.

b. All J&As shall contain the signatures indicated on the Justification Review Document, figure D-2, as applicable to the approval authority in paragraph 2 above. These signatures are in addition to those certifications contained within the J&A.

4. **AMENDMENTS.**

a. A justification will be amended and the required approval obtained prior to awarding the contract(or subsequent modification) if any of the following circumstances occur:

(1) If the contract action dollar value increases to the extent that it exceeds the previous approving official's authority.

(2) If a significant change in the scope of the work or quantity occurs.

(3) If a change in the competitive strategy occurs that further reduces competition.

(4) If a change in requirements occurs that affects the basis for the justification.

b. A document entitled "Amendment to Justification and Approval for Other Than Full and Open Competition" will be prepared. Contact the contracting officer for additional guidance.

5. **REFERENCES.**

a. FAR SUBPART 6.3

b. DFARS SUBPART 6.3

c. AFARS SUBPART 6.3

d. P.L. 98-369 (Title VIII)

Figure D-1. Justification for other than full and open competition

CONTROL NUMBER		
Justification Review Document For Other than Full and Open Competition		
Program/Equipment:		
Authority:		Amount:
Prepared by:	Typed Name:	Title:
	AV:	Date:
PCO:	Typed Name:	
	AV:	Date:
Technical:	Typed Name:	
	AV:	Date:
Requirements:	Typed Name:	
	AV:	Date:
Signatures are required below:		
I have reviewed this J&A and find the justification adequate to support other than full and open competition.		
Program Manager ¹ :	Typed Name:	AV:
	Signature:	Date:
Staff Judge Advocate:	Typed Name:	AV:
	Signature:	Date:
Principal Assistant Responsible for Contracting:	Typed Name:	AV:
	Signature:	Date:
Advocate for Competition:	Typed Name:	AV:
	Signature:	Date:
¹ If there is no Program Manager use "N/A"		

Figure D-2. Justification review document for other than full and open competition

(FORMAT)

Justification and Approval
For Other Than Full and Open Competition

1. **CONTRACTING AGENCY** - Specify the contracting agency responsible for this action.
2. **DESCRIPTION OF ACTION** - Describe the nature of the contractual action for which approval is requested(i.e., new contract, modification). Include type of funds to be used (R&D, OPA, OMA), and estimated share and ceiling arrangements, when applicable.
3. **DESCRIPTION OF SUPPLIES/SERVICES** - Describe the supplies or services to be acquired, Include the estimated total value(including options if any).
4. **AUTHORITY CITED** - Identify the statutory authority, FAR title and FAR citation permitting other than full and open competition.
5. **REASON FOR AUTHORITY CITED** - Describe how this action requires the use of authority cited. If applicable, identify the proposed or potential contractor(s) and include a discussion of the proposed contractor's unique qualifications for fulfilling the contract requirements. If the authority is urgent, include the required delivery schedule and leadtimes involved. To clearly show there was not a lack of preplanning, all time periods must be covered starting with the time the requiring activity knew a requirement existed.
6. **EFFORTS TO OBTAIN COMPETITION** - Describe efforts made to ensure that offers are solicited from as many potential sources as is practicable. Also describe the extent of effective competition anticipated for this acquisition.
7. **ACTIONS TO INCREASE COMPETITION** - Include a statement of the actions taken (or to be taken) to increase competition before any subsequent acquisition of the supplies or services is required. There may be instances where it is not possible to compete the current acquisition; explain how competition will be increased or enhanced for the required supplies or services (to include break- out or other considerations). If the requirement is a repair part, address whether or not it has been screened under DAR Supplement Number 6. If screening has occurred, provide the Acquisition Method Code (AMC) and Acquisition Method Suffix Code (AMSC). Provide approximate date of technical data package (TDP) availability.
8. **MARKET SURVEY** - Describe the extent of the market survey (FAR 7.101) conducted to identify all qualified sources and the results thereof, Or, only if justified, reasons why one was not conducted. To ensure improper contact is not made with potential sources, coordinate all market survey efforts in advance with the contracting officer.
9. **INTERESTED-SOURCES** - Include a listing of the sources that expressed written interest in the acquisition. If 10 U.S.C. 2304(c)(1) is the intended authority, explain why such other sources responding to the synopsis were rejected.(NOTE: A synopsis should be issued as soon as the procurement package is received so contractors may respond while the J&A is being written, since the synopsis and its results shall have occurred prior to processing the J&A in accordance with FAR 6.302-1(c)(2)). If applicable, clearly state that "To date, no other sources have expressed an interest in writing." Also state that the notices required by FAR 5.201 shall be/have been published, and any bids and proposals received shall be considered. If a Commerce Business Daily (CBD) notice will not be published, state which exception in FAR 5.202 applies.

Figure D-3, Format for justification and approval for other than full and open competition

10. OTHER FACTORS - Discuss any other factors supporting the use of other than full and open competition, such as--

- a. Procurement history. The following items of information are expected.
 - (1) Contract numbers and dates of the last several awards.
 - (2) Competitive status of these actions,
 - (3) Authority for less than full and open competition previously used.
 - (4) If a J&A was prepared to support the immediately prior buy, briefly describe the Actions to Increase Competition (paragraph 7) mentioned in that prior J&A, and explain the results thereof.
 - (5) If any prior award was fully competitive, explain the changed circumstances in detail.
 - (6) Explain any unusual patterns which may be revealed by the history, e.g., several consecutive urgent buys.
 - (7) If a J&A was prepared to support the immediately prior buy, briefly describe the circumstances Justifying the last buy and whether there have been any significant changes.
- b. The required information may not always be easily accessible; however, reasonable efforts to retrieve it are expected. Resources include past contract files, and for AMC, the Commodity Command Standard System (CCSS) files (particularly the Procurement History File) and, in unusual cases, the Competition Management Office may be of assistance. When data are lacking, fill in as much as is available and write "unknown" in the appropriate areas. That way, a reviewing office with different resources or point of view may be able to fill in the missing information.
- c. Acquisition Data Availability - Explain why technical data packages, specifications, engineering descriptions, statements of work or purchase descriptions suitable for full and open competition have not been developed or are not available. Describe actions taken or planned to remedy this situation.
- d. Follow-on Contracts - When FAR 6.302-1(b)(2) is cited, include an estimate of the cost that would be duplicated and the basis and derivation of the estimate.
- e. Unusual and Compelling Urgency - When FAR 6.302-2 is cited, provide data, estimated cost or other rationale as to the nature and extent of the harm to the Government. If the inclusion of first article testing is the principal reason for not awarding the contract on a full and open basis, clearly describe the reasons that first article testing is required on this procurement and why other means of assuring quality are not being used.
- f. Subcontracting Competition - In single source situations, address efforts to be taken by the Government to assure that the prime contractor obtains as much competition as possible in its subcontracting.

11. TECHNICAL CERTIFICATION - Include the following statement:

"I certify that the supporting data under my cognizance which are included in the J&A are accurate and complete to the best of my knowledge and belief."

NAME: _____ DATE: _____
 TITLE: _____ SIGNATURE: _____

12. REQUIREMENTS CERTIFICATION - Include the statement in paragraph 11 above:

NAME: _____ DATE: _____
 TITLE: _____ SIGNATURE: _____

Figure D-3, Format for justification and approval for other than full and open competition (Continued)

13. FAIR AND REASONABLE COST DETERMINATION - Include the following determination: " I hereby determine that the anticipated cost for this contract action will be fair and reasonable." Provide the basis for this determination(e.g., describe techniques to be used to determine fair and reasonable price, such as cost analysis, price analysis, audit, should cost, independent government estimate, etc.).

14. PROCURING CONTRACTING OFFICER CERTIFICATION - This person shall be the contracting officer who will sign the contract resulting from this J&A. Include the following statement: " I certify that this J&A is accurate and complete to the best of my knowledge and belief."

NAME: _____ DATE: _____

TITLE: _____ SIGNATURE: _____

APPROVAL

Based on the foregoing justification, I hereby approve the procurement of (state equipment/services being procured) on an other than full and open competition basis pursuant to the authority of 10 U.S.C. 2304(c)(), subject to availability of funds, and provided that the services and property herein described have otherwise been authorized for acquisition.

DATE _____ (SIGNATURE) _____

Figure D-3. Format for justification and approval for other than full and open competition (Continued)

**Appendix E
Study Contract Responsibilities -
Contracting Officer's Representatives
(COR)**

E-1. Preparation.

- a. Obtain a copy of the contract and TRADOC PAM 715-1.
- b. Understand exactly what the contractor is required to do.
- c. Understand how the contractor products will contribute to TRADOC mission accomplishment.
- d. Understand contractual procedures, requirements, and constraints.

E-2. Monitorship.

- a. Perform duties in accordance with guidance provided by the contracting officer in your letter of appointment.
- b. Perform surveillance of the performance of the contractor.
- c. Provide suggestions and technical military guidance to keep the work moving toward the contract objective.
- d. Do not take any action which the contractor may construe to obligate the Government in any way, to change any terms or conditions of the contract, to cause the contractor to perform outside the scope of the contract, or to take any action which may result in additional cost to the Government. When the study agency requires any

change in the terms or conditions of the contract, they must contact the contracting officer immediately.

- e. Request technical assistance as required to monitor contractor's work.
- f. Authorize access to classified data after ensuring contractor's "need-to-know".

- g. Obtain disclosure approval and release classified documents required for contractor performance.

E-3. Evaluation.

- a. Evaluate contractor's work routinely during the contract.
- b. Submit an End Product Acceptance Report (RCS exempt IAW AR 335-15, para 5-2 b(2)), within 30 days after completion of contractor performance, direct to the contracting officer.

**Appendix F
Contract Performance Work
Statement (Sample format)**

F-1. Study title. The following sections will become section C of the solicitation/contract as shown below.

Section C-1. General. This section provides a broad overview. It contains a part describing the scope of work. Personnel related matters come under this heading. Most importantly, this section contains a part that states clearly the contractor's specific responsibility for quality

control. (This quality control part is in addition to what may be in the standard clauses in the general provisions of a given contract.) This part tells the contractor what specific kind of quality control the contract requires. This section may include a background statement as set forth in the decision document for contractual study support to provide useful information to offerors responding to requests for proposals issued by the contracting office.

Section C-2. Definitions. A definitions section includes all special terms and phrases used in the PWS. The definitions must clearly establish what is meant so that disinterested readers will fully understand them.

Section C-3. Government-Furnished Property and Services. If the Army will provide any of these for the contractor's use in providing the required services, use this section to describe what will be given. If the list(s) is fairly extensive, make it into a technical exhibit(s) and include at the end of the PWS, rather than in the main body. Use the data gathered concerning facilities, equipment, and materiel as the basis for these lists. The study agency will contact HQ TRAC to request information on obtaining data or a TRADOC model for contractor use.

Section C-4. Contractor-Furnished Items. Describe the material and equipment that the contractor must provide. As with government furnished property, if the lists are lengthy, they are made a technical exhibit and referenced in this section.

Section C-5. Specific Tasks. This paragraph must delineate in exacting detail the spade tasks and subtasks for the contractor to perform. The wording of the specific tasks should be chosen with care, using language that the contractor cannot misunderstand. Avoid words that are vague or general; e.g., the words "investigate," "determine," and "examine," are indicative of action but not precise enough by themselves to be the basis for a legal contract.

In developing the specific tasks, particular effort will be made to avoid requirements that will cause the contractor to develop data or information not essential to support objectives of the study. Use subparagraphs if necessary to identify any EEA and/or MOE which the contractor must address. Tasks must include development of a draft final report and a final report. The first task will normally require that the contractor provide a contractor's study plan (usually within 30 days after DAC). The plan should include the methodology for the contractor to employ and milestones for task accomplishment. Review of the plan is essential to have the contractor prudently expend time and resources on an acceptable methodology.

Section C-6. Applicable Technical Order, Specifications, Regulations, and Manuals. List the applicable directives and dates of the directives. Tell what happens when a directive changes during the life of the contract. Also, state whether each directive is mandatory or advisory on the contractor.

F-2. Technical Exhibits. Some items are too bulky to include in the main body of the PWS. There may also be a need to include information helpful to the contractor. Include reporting requirements as technical exhibits.

Specify each report required in terms of format, due dates, number of copies, and copy quality. Do not require weekly progress and financial reports of the contractor as they add cost to the study performance. TCA will provide additional guidance on recommended progress report formats. A statement that the contractor and the study agency's representative will develop a mutually agreed upon format is acceptable. Specific reports and their schedules normally addressed are:

- a. Contractor's study work plan.
- b. Contractor's work report.
- c. Progress reports.
- d. Progress briefings. Relate to major milestone completion schedule.
- e. Computer software documentation.
- f. Draft final study report. The TRADOC study agency will review and provide recommendations to the contractor.
- g. Final study report.

F-3. Data Submissions. If the contract requires the contractor to submit data, forms, and other reports, include these requirements as an exhibit to the PWS. Use a DD Form 1423 to list them. Include the description of a data item on DD Form 1664.

F-4. Administrative information.

- a. Use Government computer facilities to the fullest extent possible.
- b. The TRADOC computer specified in the contract must be capable of processing any computer software developed by the contractor.
- c. Do not use programming techniques which require word or character size (number of bits or bytes) unique to a vendor's computer (unless specifically permitted by the contract).
- d. Do not use programming language features which do not conform to standards described in the applicable AR 25 series (unless specifically permitted by the contract).
- e. Do not use computer specific subprograms (including machine or assembly language) unless specifically permitted by the contract.
- f. All input/output devices will be compatible with the study contract computer system.
- g. All printed output lines (or lines ultimately targeted for a line printer) will contain no more than 132 characters (unless contract specifically states otherwise).
- h. The contractor will not deliver any individual program, subprogram, module, data storage area, task or overlay which will require more computer core memory than available on the computer facility specified in the contract.
- i. Deputy Chief of Staff for Information Management (DCSIM), HQ TRADOC must approve any exceptions to paragraphs a through h above.
- j. Cite the maximum security requirements for the contractor.

k. Provide a proprietary rights statement worded as follows:

"The proprietary rights of all materials (including computer program source code) produced by the contractor under this contract revert to the U.S. Government. Any methodologies produced by the contractor become the property of the US Army and do not depend on future contractor support due to proprietary restrictions."

1. Period of Performance. The TRADOC study agency should provide the period of performance information in the requirements package submitted to the contracting office.

(1) Estimated starting date: Use the wording, "Date of Award of Contract(DAC)."

(2) Estimated completion date: State the number of calendar days or months after date of contract award. (State a specific completion date only absolutely essential.)

(3) Critical milestone events: Using the date of award as a starting point, state the number of days or months after award for the completion of each major milestone. In the event of a critical completion date, use a calendar schedule.

Appendix G Sample End Product Acceptance Report Letter

(RCS exempt IAW AR 335-15, para 5-2b(2))

(Date)

SUBJECT: Final Report of Contract DA-04-200-AMC-1395 (X), Cornell Aeronautical Laboratories, Inc., Project Number 0025025-3511 1

TRADOC Contracting Activity
ATTN: ATCA
Fort Eustis, VA 23604-5538

1. The following end products were received on 5 October 1990 from the contractor:

- a. Recommended Study Methodology.
- b. Recommended Data Collection Plan.
- c. Final Study Report.
- d. Computer Program Documentation.

2. These products satisfy all the requirements under the Performance Work Statement.

(Signature block)

1 Illustration only

Appendix H Management Evaluation Format (Sample Format)

(RCS exempt IAW AR 335-15, para 5-2e(7))

SUBJECT: (title)

1. PURPOSE. State the purpose of the effort. of actions accomplished.
2. CHRONOLOGY. Provide milestone dates and summary
3. BASIC INFORMATION. Provide the following information:
 - a. Sponsor.
 - b. COR or study agency representative-name and organization.
 - c. Contractor-organization name and address, POC name.
 - d. Contracting officer-name and organization.
 - e. Contract number-
 - (1) Date of award.
 - (2) Date completed or terminated (State whether completed or terminated).
 - (3) Final total cost.
4. MAJOR PROBLEMS ENCOUNTERED. List.
5. MAJOR ACHIEVEMENTS. List.
6. RESULTS. List the results. Describe the benefits accruing to the Army from the effort. If possible, express the benefits in terms of cost savings or cost avoidances. If the evaluator cannot use cost data, then express the benefits in terms of well-thought-out qualitative measures.
7. EVALUATION:
 - a. Contractor-
 - (1) Performance.
 - (2) Product.
 - b. Overall management of effort by the Army.
8. LESSONS LEARNED. List.
9. IMPLEMENTATION OF RESULTS. Provide the names of the agencies or commands implementing the results, the implementation dates, principal milestones, and the action accomplished or products to be provided or published.
10. Date the study agency submitted the final DD Form 1498 for entry into DTIC.
11. Date copy of final report with SF 298 submitted to DTIC, and DTIC accession number of the report.

Appendix I

Instructions for Obtaining Initial Contract/Contract Modification Support from Nongovernment Agencies

I-1. Initial contract.

a. Once a study requiring contractual support is approved in the study program, the TRADOC study agency POC requiring contractual support will prepare a contractual support documentation package.

b. Lead times. Lead times start with the contracting officer's receipt of a complete requirement package from the study agency POC. The approximate lead time for the award of a competitive contract ranges from 6-9 months. The approximate lead time for a noncompetitive acquisition contract ranges from 4-8 months. The study agency POC must obtain approval and submit all new contracts to the contracting office not later than (NLT) 30 April.

c. When the study agency POC proposes a competitive contract for contractual support, the package accompanying the cover letter will include the following documents when appropriate:

(1) Enclosure 1. The MDD. Appendix J provides a sample format for the MDD. When completed, the study agency POC will mark this document "FOR OFFICIAL USE ONLY." The study agency's responsible agent will sign and include a signature block for the approval authority signature.

(2) Enclosure 2. The PWS (format is at app F).

(3) Enclosure 3. The independent government cost estimate for the contractor performed effort. (App K provides information relative to developing the cost estimate and a sample format.) The TRADOC study agency responsible agent will sign and date the estimate, and mark it "FOR OFFICIAL USE ONLY." It is critical to have a realistic cost estimate to preclude the inability to let the contract because of lack of sufficient funds.

(4) Enclosure 4. DA Form 3953 (Purchase Request and Commitment (PR&C)).

(5) Enclosure 5. DD Form 254 (Contract Security Classification Specification) completed, signed, and dated on the front page if the contractor requires the use of classified materiel. The appropriate contracting officer will affix the signature and date on the back page.

(6) Enclosure 6. DD Form 1423 (Contract Data Requirements List) completed, signed and dated in the "prepared" and "approval" blocks.

(7) Enclosure 7. DD Form 1664 (Data Item Description). The study agency POC may contact the local contracting offices for any necessary information relative to DD Form 254, DD Form 1423, and DD Form 1664.

(8) Enclosure 8. Patent Requirements (if appropriate). The study agency POC and contracting officer should work together and IAW the policies and procedures contained in part 27 of the FAR and the DOD and the Army supplements to the FAR, to determine which patent, data rights, and/or copyrights provisions (if any) will be in the solicitation.

(9) Enclosure 9. Justification for Non-severability of Tasks. AR 37-21 requires that the contractor complete service contractual support within the same fiscal year of the obligated funds for the support. If the intended contractual support must continue into the next fiscal year, the study agency POC must include a justification of non-severability of tasks. The justification statement should provide sufficient information as to why the study agency POC cannot sever the contract for completion within the fiscal year of the obligated funds (i.e., must be a continuous effort).

(10) Enclosure 10. Evaluation criteria for evaluating the technical responsiveness of offerors. Mark the enclosure "SOURCE SELECTION INFORMATION."

(11) Enclosure 11. Weights for Evaluation Criterion which the Source Selection Evaluation Board will use to evaluate competitive proposals. The study agency POC will mark this document "SOURCE SELECTION INFORMATION" and reveal it only to individuals with a valid "need to know." The paragraphing arrangement for enclosures 10 and 11 must be the same. List the paragraphs in descending order of the point values assigned. Do not consider cost or price to be an evaluation criterion. The contracting officer or a designated cost committee will evaluate the cost. Provide a statement identifying the rationale used to develop the weights at the foot of the weighted criteria. Add a final paragraph at the foot of the weight criteria format. This paragraph, used as guidance to the Source Selection Evaluation Board, will read as follows-- "Cost Realism: A statement should be made by each evaluator for each proposal pertaining to the cost realism of the offeror's proposed use of man hours, mix of categories of employees, travel, required material and quantities, and any computer time being considered." (This enclosure example is proposed approach. Coordinate this enclosure with the contracting officer in advance.)

(12) Enclosure 12. A list of potential contractors (bidder's list) identified by the study agency POC. Provide full company names and addresses. Mark the enclosure "SOURCE SELECTION INFORMATION."

d. When the study agency POC proposes a noncompetitive acquisition award of contract, he/she will include the following documents:

(1) Enclosures 1 through 9. Those enclosures cited in paragraphs c(1) through c(9), above.

(2) Enclosure 10. The study agency POC must prepare and submit a J&A when the intent is to solicit a proposal from only one or a limited number of sources. The J&A should indicate the reason(s) why only one firm can provide the desired contracting. The study agency's authorized agent will sign and date this justification.

e. The study agency POC will provide DCSA with a copy of the resource document that transferred the funds for contract support.

I-2. Contract modification.

a. During contract performance, the study agency POC may determine that there is a need to modify the scope, schedule and/or cost of an existing contract. In such cases,

TRADOC Regulation 5-3

only the contracting officer can negotiate and execute the modification to the Contract to incorporate the changes.

b. The study agency POC will ensure that the proposed modification is reviewed by the sponsor and the TRAC organization responsible for certifying the analysis. The study agency POC will submit the following to the contracting officer.

(1) A cover letter citing the circumstances that created the need to modify the contract, identification of the contractor and the contract number, the current value of the contract, the name of the contracting office involved and its address and the contracting officer (including AUTOVON/commercial telephone number) at the contracting activity.

(2) Enclosure 1. The PWS in the existing contract (as contracted).

(3) Enclosure 2. The proposed line-by-line changes to the currently contracted PWS. A new PWS is not required.

(4) Enclosure 3. An independent Government cost estimate which reflects the impact of the proposed modification to the contract. This will be in a three columnar arrangement, e.g., current value of the contract, cost of proposed modification, and proposed cumulative cost of the contract. The first two columns, when summed, will equal the proposed cumulative cost. Costs will be shown in the format at appendix K. The column reflecting the current value of the contract will include the detailed costs as negotiated into the existing contract. The authorized representative of the study agency requesting contract modification will sign, date, and mark the cost estimate "FOR OFFICIAL USE ONLY."

(5) Enclosure 4. A MDD in the format provided at appendix J. If the proposed modification will cost \$50,000 or more, or will raise the total cost of the contract to \$50,000 or more for the first time, then the approval level requirements of chapter 4, paragraph 4-4 of this regulation apply.

(6) Enclosure 5. DA Form 3953.

(7) Enclosure 6. A new J&A (or an amendment to the basic J&A) for modification of the contract (See app D). Contact the contracting officer to determine the appropriate form of the J&A.

(8) Enclosure 7. An updated DD Form 1423.

(9) Enclosure 8. An updated DD Form 1664.

(10) Enclosure 9. A justification for non-severability of tasks if required.

(11) Other enclosures. Review the DD Form 254 and any patent requirements in the existing contract to determine whether changes to those documents are necessary. Provide the changed documents as additional enclosures, if required.

c. The study agency POC will provide DCSA with a copy of the resource document that transferred the funds for contract modification support.

I-3. Summary of documentation requirements. Figure I-1 provides a summary of the required documentation in packages requesting contractual support.

	<u>COMPETITIVE CONTRACT</u>	<u>OTHER THAN FULL & OPEN COMPETITION*</u>	<u>CONTRACT MODIFICATION</u>
Decision Document	X	X	X
PWS	X	X	
Independent Government Cost Estimate	X	X	X
DA Form 3953	X	X	X
DD Form 254	X	X	**
DD Form 1423	X	X	X
DD Form 1664	X	X	**
Patent Requirements xx* * (If appropriate)			
Evaluation Criteria	X		
Weights for evaluation criteria	X		
List of potential contractors	X		
J&A		X	X
Currently Contracted PWS			X
Proposed changes to currently contracted PWS			X
* Restricted competition is between full and open competition and non-competitive. Both non-competitive and restricted competition require the study agency to initiate a J&A.			
** Requirement for any revised form(s) to be determined by COR coordination with the contracting officers.			

Figure I-1. Summary of content of packages requesting contractual/agreement support by type action.

Appendix J
Management Decision Document -
Contract (Sample format)
(RCS exempt IAW AR 335-15, para 5-2b(2))

FOR: (name of approval official)

SUBJECT: (title of contract service)

1. **PURPOSE.** To obtain approval of the requirement for a proposed contract for subject service.
2. **DISCUSSION.** Provide in this paragraph, or attach as enclosures to the document, the following information:
 - a. Indication that the PWS is at enclosure 1.
 - b. Description of problem or reason for service.
 - c. Objectives of the effort. Include summaries of the proposed tasks and anticipated products. Indicate that detailed descriptions of tasks and deliverables are in the PWS(encl 1).
 - d. Explanation of how the service supports the mission of the agency/command. Appropriate here is a description of the actions taken to satisfy AR 5-14, paragraph 4-3b.
 - e. Certification that the service does not unnecessarily duplicate prior or ongoing in-house or contract efforts. Appropriate here is a description of the actions taken to satisfy AR 5-14, paragraph 4-3b.
 - f. Certification that the study agency cannot perform the service in-house or that contract performance is more cost-effective.
 - g. Whether the requesting agency proposes noncompetitive contracting, if so, proper justification.
 - h. Description of control procedures, including-
 - (1) Description of quantitative and qualitative measures proposed for use to evaluate the-
 - (a) Progress of the contractor.
 - (b) Quality and effectiveness of the final results and products.
 - (2) Name, organization, and telephone number of agency/command point of contact (POC).
 - (3) Whether the study agency nominates a COR; if so, and if the proposed COR is different from the POC, then the name of the COR nominee, organization, and telephone number. If the proposed COR is the POC, make a statement to this effect. Note provisions in TRADOC PAM 714-1, chapter 2-4.
 - (4) Proposed organizational makeup of progress review group.
 - (5) Milestone schedule. Include estimated starting date, estimated completion date, and critical milestone events.
 - i. Anticipated total cost, with a detailed cost estimate at enclosure 2.
 - j. Statement that funds are available, with identification of funding appropriation.

k. List the Project Unique Identification Code and the DTIC accession number.

3. **COORDINATION.** The requirement for the proposed contract was coordinated with(list organizations and offices). All concur(or explain why nonconcurrency were not accepted).

4. **RECOMMENDATION.** Approve the requirement for a proposed contract for subject service.

SUBMITTED BY:

APPROVED BY:

Appendix K
Programming Factors for Estimating
Contractual Costs

K-1. General. This appendix provides guidance for developing cost factors for estimating OMA contractual support requirements for studies. The cost factors presented at figure K-1 are illustrative and are for format guidance purposes only. The study agency preparing the independent government cost estimate will determine the appropriate format for the cost estimate based upon the type of contract support required. Professional labor costs vary with location. The use of civil service grades may not be appropriate in all cases.

K-2. Contractual period of performance and fiscal year costs. The following method of prorating costs by fiscal year provides a method to assess the amount of cost and the timing of their occurrence. Use added insights of the study agency to refine this approach if appropriate.

a. Estimate the time and the quantity of PSM required for the contractor to perform the effort.

b. Estimate the costs based upon PSM requirements and their costs. Estimate the average cost per month over the period of performance.

c. Using the estimated date of contract initiation and the period of performance, estimate the costs the study agency will incur by fiscal year. For each portion of a fiscal year involved, this would be the product of the average monthly cost times the number of months of performance in the fiscal year.

d. If the contractor will provide the total support in a given fiscal year, program the funding requirements on the basis of fully funding the effort in the fiscal year of contractual support initiation.

e. If the intent is to fund only a single option of a multiple option contract due to fiscal year funding limitations rather than fully fund the contract at the time of initiation, the PWS must be written to provide tasks, deliverables and schedules for each funded option. The cost estimate must be broken out by fiscal year and the total estimated cost, by cost element, shown as an accumulation of the incremental cost estimates; i.e., cost elements of FY 1 plus cost elements of FY 2 equals total estimated costs in

TRADOC Regulation 5-3

the request. The PWS should state the conditions upon which the study agency may exercise the options and under which the contractor must perform.

K-3. Cost factors for contracting with nongovernment industrial and institutional organizations.

a. The sub-elements of cost which are used to develop the total cost per PSM include the following costs:

- Direct Labor
- Overhead
- General and Administrative
- Fee(Profit)

b. In some cases the study agency may determine that the contractor may encounter costs for materials, computer facilities, and/or travel and per diem. It is mandatory to use Government furnished computers when the contractor requires the use of ADP equipment and it is available to permit contractor performance of the scope of work within the contracted period of performance. If in-house ADPE is not available, the contractor may use contractor furnished equipment. In such cases the cost estimate will include contractor computer costs as a separate subelement.

K-4. Cost format associated with industrial- type contracting.

a. Figure K-1 presents the structure of cost elements for use when compiling an independent Government cost estimate for a contractual study service. Overhead rates

vary dependent on locations and conditions, Contact TCA for guidance as to the appropriate method for cost estimating (e.g. overhead as a percentage of direct labor or a burdened rate). Quantitative factors in figure K-1 are illustrative only.

b. Figure K-2 is the add-onto figure K-1 if the study agency can identify the direct labor requirement by type.

c. The study agency will mark independent Government cost estimates for future contractual efforts **"FOR OFFICIAL USE ONLY"** and will downgrade it on award of contract or destroy it 1 year after the date of the cost estimate, whichever occurs first. If destroyed, the study agency will prepare a new cost estimate also marked **"FOR OFFICIAL USE ONLY."** An official from the study agency must sign each cost estimate.

K-5. Costing contracted phased studies. The TRADOC study agency may desire the contractor to perform the scope of effort in phases with contracting of the latter phase(s) being subject to TRADOC approval of a preceding phase(s). In those instances, the contractual documentation package will identify the cost breakout by phase using the format in figure K-1 and request that the contractor provide proposals for each separate phase. In such cases, the request and PWS will state that the Government will contract the follow-on phase(s) at its option.

K-6. Item 18b, DD Form 1498. Show the estimated costs by fiscal year as derived based on the above methodology.

Direct Labor ¹ (by type if identifiable)	\$80,000
20 Professional Staff Months @ \$4,000	
Overhead 125% of Direct Labor	100,000
Subtotal	180,000
Direct Materials (if applicable)	10,000
ADPE (# CPU hrs. @ # of \$/hr (if applicable))	35,000
Subtotal	225,000
G&A 20%	45,000
Subtotal	270,000
Travel (if applicable) including G&A	5,000
Subtotal	275,000
Fixed Fee 9% ²	25,000
Total Estimated Cost	300,000
SIGNATURE	
FOR OFFICIAL USE ONLY	
<p>1 If direct Labor requirements can be identified by type, additional breakout is requested (see figure K-2). This cost category includes professional and technical manpower requirements only. Their support is included in the overhead and G&A factors. For cost estimates, recommend rounding up when rounding.</p> <p>2 Studies are normally contracted on a cost plus fixed fee basis, On occasion, when the scope of work to be performed can be precisely identified, fixed price contracting is used. In the event of contracting with a nonprofit organization such as an educational institution, there would be no profit or fixed fee. The latter type contracting is referred to as a cost- reimbursable contract.</p>	

Figure K-1. Sample of a cost estimate

Direct Labor	Estimated Hours	Price Per Hour	Total Amount
Project Manager (GM-14/5)	500	\$26.75	\$13,375
1 Senior Analyst (GS-13/5)	1000	\$22.40	\$22,400
2 Analysts (GS-12/5)	2300	\$18.80	\$43,240
TOTAL DIRECT LABOR			<u>\$79,015</u>

Figure K-2. Sample direct labor requirements

Glossary

Section I

Abbreviations

AA - Abbreviated Analyses
 ADP - Automated Data Processing
 ADPE - Automatic Data Processing Equipment
 AFARS - Army Federal Acquisition Regulation Supplement
 AMC - Acquisition Method Code
 AMC - Army Materiel Command
 AMSC - Acquisition Method Suffix Code
 CBD - Commerce Business Daily
 CCSS - Commodity Command Standard System
 CDD - Concepts, Doctrine, and Developments
 CG - Commanding General
 COB - Command Operating Budget
 COEA - Cost and Operational Effectiveness Analysis
 COR - Contracting Officer's Representative
 CSAC - Command Study Advisory Committee
 DAC - Date of Award of Contract
 DAR - Defense Acquisition Regulation
 DCS - Deputy Chief of Staff
 DCSA - Deputy Chief of Staff for Analysis
 DCSBOS - Deputy Chief of Staff for Base Operations Support
 DCSCDD - Deputy Chief of Staff for Concepts, Doctrine, and Developments
 DCSIM - Deputy Chief of Staff for Information Management
 DCSR - Deputy Chief of Staff for Resource Management
 DCST - Deputy Chief of Staff for Training
 DFARS - Defense Federal Acquisition Regulation Supplement

DOD - Department of Defense
 DOIM - Directorate of Information Management
 DTIC - Defense Technical Information Center
 DUSA(OR) - Deputy Under Secretary of the Army for Operations Research
 EA - Economic Analysis
 EEA - Essential elements of analysis
 FAR - Federal Acquisition Regulations
 FARS - Federal Acquisition Regulations Supplement
 FORSCOM - Forces Command
 FY - Fiscal year
 G&A - General & Administrative
 GO - General Officer
 HQDA - Headquarters, Department of the Army
 IAP - Issue Assessment Process
 IPR - In Progress Review
 IAW - In accordance with
 ISCEA - Information Systems Cost and Economic Analysis
 J&A - Justification and Approval
 MACOM - Major Army Command
 MISMA - Model Improvement and Study Management Agency
 MOA - Memorandum of Agreement
 MOE - Measures of effectiveness
 MSC - Major Subordinate Command
 NLT - Not Later Than
 MDD - Management Decision Document
 ODCSA - Office of the Deputy Chief of Staff for Analysis
 OMA - Operations and Maintenance, Army
 OPA - Other Procurement, Army
 PCO - Procuring Contracting Officer
 POC - Point of Contact

PR&C - Purchase Request and Commitment
PSM - Professional Staff Month
PSY - Professional Staff Year
PUIC - Project Unique Identification Code
PWS - Performance Work Statement
R&D - Research and Development
RDT&E - Research, Development Test & Evaluation
SDS - Study Description Sheet
SES - Senior Executive Service
SPCC - Study Program Coordinating Committee
SSG - Special Study Group
TASP - The Army Study Program
TD - Training Development
TCA - TRADOC Contracting Activity
TDP - Technical Data Package
TDY - temporary duty
TEA - Technical Evaluation Analysis
TEA - Training Effectiveness Analysis
TFARS - TRADOC Federal Acquisition Regulation Supplement
TOA - Trade Off Analysis
TRAC - TRADOC Analysis Command
TRADOC - U.S. Army Training and Doctrine Command

Section II

Terms

Competitive procurement

Procurement in which two or more firms compete for contract award.

Completed study

A study that is documented and delivered to the sponsor. When required by TRADOC policy, the study must also be certified, approved, and released IAW that policy.

Contract study support

A study support effort which an other than Government organization performs.

Contracting officer

A duty appointed person with the authority to enter into, administer, or terminate contracts and make findings and determinations on behalf of the U.S. Government. This is the only individual authorized to change a contract.

Contracting Officer's Representative (COR)

Any Government employee, military or civilian, who is a United States citizen, selected and designated by a contracting officer to act as the authorized representative in administering a contract. The study agency POC nominates the COR and the contracting officer appoints the COR on a case-by-case basis, with responsibilities and limitations delineated in the letter of appointment. The contract activity appoints the COR simultaneously with the contract award. Prior to contract formalization, the term "COR designee" is technically correct.

Contractor's study plan

The study plan developed by the contractor as a deliverable in a contracted study. The contractor's study plan is the document which describes how the contractor will conduct the contracted portion of the study.

Major Subordinate Command

TRADOC major subordinate commands include U.S. Army Combined Arms Command and Fort Leavenworth (CAC), U.S. Army Combined Arms and Services Support Command and Fort Lee (CASCOM) and TRADOC Analysis Command (TRAC).

Model-Test-Model

The study process whereby pre-test modeling of a given scenario and weapon system is conducted to design test scenarios and determine expected battle or scenario outcome. The weapon system is then field tested in an operational environment adhering as closely as possible to the pre-test scenario. The field test results are then compared to the pre-test expected results to ascertain how close the model-test-model results were. Subsequently, the field test results are inserted into the model to calibrate the model to the field test; hence the name model-test-model.

Noncompetitive acquisition

Negotiation with one firm followed by award of contract for procurement of supplies and/or services.

Performance Work Statement (PWS)

A complete definitive document which defines the scope and schedule of effort that the contractor will perform. It is prepared by the responsible TRADOC study agency. Precise tasks are written to produce identifiable and usable products by specific dates. The PWS constitutes the work specifications portion of the contract. It also identifies inputs that the Government will furnish to the contractor.

Professional staff-year (PSY)

A unit measurement used to describe the level of study effort. A PSY includes the normal duty hour services of one Government analyst(military or civilian), supported by a proportionate share of the study agency's clerical/administrative personnel(military and civilian), use of ADPE, and appropriate overhead for 1 year,

Program Director

The HQ TRADOC POC responsible for the oversight of the P2 or P8 manpower and funding resources.

Programmed study

A study submitted and approved as part of an agency or MACOM annual study program.

Resourced study

A valid study requirement that has the in-house manpower and/or funds to accomplish the study. A study may have a portion that can be accomplished with in-house manpower and a portion requiring funds for contract support. If the manpower is available but the funds for the contract support are not, the study may be divided into two parts (resourced for manpower, unresourced for funds).

Studies and analyses

Those examinations of a subject undertaken to provide greater understanding of relevant issues and alternatives

regarding organizations, tactics, doctrine, training, policies, force plans, strategies, procedures, intelligence, weapons selection and mix, systems, programs, or resources, which lead to conclusions and recommendations contributing to planning, programming, budgeting, decision making, and policy development, including those studies initiated by or for the program management office. It also includes research and development of related data base structures and models for the support of studies and analyses.

Study agency

The single TRADOC organization(e.g., MSC, school, TRAC element) tasked by the TRADOC study sponsor to produce the study.

Study plan

The administrative document which describes how the study will be conducted.

Study Program Coordinator

An individual designated by an agency head or MACOM commander to provide advice on all matters related to that agency's participation in The Army Study Program.

Study proponent

The TRADOC agency responsible for the system or subject which the study addresses.

Study sponsor

The highest level organization (e.g., HQDA, HQ TRADOC, TRADOC MSC, school) establishing the requirement for a study.

Supporting agencies

The organizations (e.g., MSC, schools, TRAC elements) supporting the study agency in specific areas such as threat, scenario, data, modeling, and analysis.

Technical instructions

Directions issued by the study agency's representative through the COR to the contractor's project supervisor for the purpose of clarifying the PWS.

Unprogrammed study

A study requirement initiated subsequent to approval of the annual study program.

Unresourced study requirement

A valid study requirement without the manpower and/or funds to accomplish the effort.

Unsolicited proposal

A proposal for study effort made to the Government by a prospective contractor without prior formal or informal solicitation from the government. See TRADOC Pam 715-4.

FOR THE COMMANDER:

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