

January 29, 1993

RESOURCE MANAGEMENT
ACQUIRING AND MANAGING
CONTRACTED ADVISORY AND ASSISTANCE SERVICES (CAAS)



BY ORDER OF THE DIRECTOR

MICHAEL E. KOCH
Colonel, USA
Chief of Staff

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Director, Information Resources Management

AUTHORITY: Defense Commissary Agency Directives Management Program is established in compliance with DoD Directive 5105.55, Defense Commissary Agency (DeCA), November 1990.

MANAGEMENT CONTROL SYSTEM: This directive contains management control provisions that are subject to evaluation and testing as required by DeCAD 70-2 and as scheduled in DeCAD 70-3. The Management Control Review Checklist to be used by assessable unit managers to conduct the evaluation and test management controls is at Appendix I.

APPLICABILITY: This directive applies to all DeCA elements requiring advisory and assistance services when it is essential to mission and acquired directly by contract from nongovernmental sources.

HOW TO SUPPLEMENT: Supplementation of this Directive is not authorized. No new forms or form letters may be created citing this directive as the authority without prior HQ DeCA/RM authorization.

HOW TO ORDER COPIES: DeCA Directorates/Staff Offices needing additional copies will submit requirements on DeCA Form 30-21 to HQ DeCA/IMSP.

SUMMARY: This directive outlines the policies and procedures for the establishment and implementation of the Defense Commissary Agency Contracted Advisory and Assistance Services.

SUPERSEDES: DeCA Policy Letter 70-4, dated July 10, 1991

OFFICE OF PRIMARY RESPONSIBILITY (OPR): HQ DeCA/DRM

COORDINATORS: HQ DeCA/CD, CS, LL, AM, DF, DO, DP, PL, PM, PA, IG, IR, GC, IM, ES-AM

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DoD, Office of the Under Secretary of Defense (Acquisition) ATTN:
Director, DoD Contracted Advisory and Assistance Services (CAAS),
Washington, DC 20301

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I. Management Control Review Checklist I-1

1. **PURPOSE:** This directive establishes policy and procedures for implementation of DoD Directive 4205.2, Acquiring and Managing Contracted Advisory and Assistance Services (CAAS), governing the Defense Commissary Agency (DeCA) management, acquisition and use of contracted services that meet the definition of CAAS, to streamline reporting requirements, and to ensure their implementing instructions

2. **REFERENCES:**

a. DoD Directive 4205.2, "Acquiring and Managing Contracted Advisory and Assistance Services (CAAS)," February 10, 1992.

b. DoD Directive 5010.38, "Internal Management Control Program," April 14, 1987.

c. DoD 7110.1-M, (Change 1) "DoD Budget Guidance Manual," June 1992.

d. DoD 7220.9-M, "DoD Accounting Manual," October 1983, authorized by DoD Instruction 7220.9, October 22, 1981.

e. DeCA Directive 70-2, "Internal Management Control Program," March 20, 1992.

f. DeCA Directive 70-3, "Internal Management Control Plan," →April 1993←. →*IMPulse*, Mar/Apr 96←

g. DeCA Directive 30-2, "Information Resources Management Defense Commissary Agency Filing System," →December 1992←. →*IMPulse*, Mar/Apr 96←

h. DeCA →DeCAD 10-11, "Contract Off-Loading," January 31, 1995←. →*IMPulse*, Mar/Apr 96←

i. Related references listed at Appendix A (not needed nor distributed below HQ DeCA and →Operations Support Center←). →*IMPulse*, Mar/Apr 96←

3. **DEFINITIONS:** Abbreviations and terms used in this directive are defined in the Glossary at Appendix B.

4. **POLICY:** The acquisition of CAAS is a legitimate way to support DeCA services and operations. Accordingly, CAAS may be used:

a. By all DeCA Directors and Staff Office Chiefs to support or improve organization policy development, decision-making, management and administration, program and/or project management and administration; or to improve the effectiveness of management processes or procedures.

b. To help managers achieve maximum effectiveness or economy. Such services may take the form of information, advice, opinions, alternatives, analyses, evaluations, recommendations, training, providing equipment on loan basis, and technical support to meet mission requirements.

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NOTE: These contracts have high visibility and are closely monitored to avoid abuse.

- (1) The CAAS shall not be:
 - (a) Used to perform inherently governmental functions. (See definition at Appendix B.)
 - (b) Used to bypass or undermine personnel ceilings, pay limitations, or competitive employment procedures.
 - (c) Awarded on a preferential basis to former Government military and civilian employees.
 - (d) Used under any circumstances specifically to aid in influencing or enacting legislation.
 - (e) Procured through grants or cooperative agreements.

(2) This directive does not apply to advisory and assistance services obtained by personnel appointments under Federal Personnel Manual (FPM) procedures or from chartered Federal advisory committees (DoD Directive 5105.4, "Department of Defense Federal Advisory Committee Management Program").

5. **RESPONSIBILITIES:**

a. Director, DeCA, shall ensure compliance with DoD Directive 4205.2 and shall designate and oversee the activities of the DeCA Director for CAAS, who shall be at the flag or general officer or Senior Executive Service (SES) level.

b. The DeCA Director for CAAS. The Deputy Director, DeCA, is appointed →to the Chief Executive office, DeCA is appointed as the DeCA Director, CAAS in Memorandum, dated June 13, 1993←. subject: Announcement of Additional Duties. While serving in this capacity, he/she shall ensure: →*IMPulse*, Mar/Apr 96←

(1) DeCA implementing instructions, regulations, and directives are fully consistent with DoD Directive 4205.2.

(2) DeCA's overall CAAS process, procedures, and practices for the identification, acquisition, and management of CAAS resources comply with this directive and other applicable policy guidelines.

(3) Review and Approve/Disapprove:

(a) All individual CAAS procurement requests in accordance with the procedures outlined in DoD Directive 4205.2, the Federal Acquisition Regulation (FAR) and supplements thereto.

- (b) DeCA's Annual CAAS Operating Plan.
- (c) DeCA's CAAS Budget Exhibit.
- (4) CAAS activities are monitored to avoid unnecessary duplication and encourage cooperative interservice CAAS efforts and information exchanges.
- (5) Coordination with the DoD Director for CAAS on all matters of joint interest.
- (6) Accurate and timely reporting to the Defense Technical Information Center (DTIC), the Defense Logistics Studies Information Exchange (DLSIE), or other relevant data repositories.

c. The Director of Resource Management (DRM) shall:

- (1) Designate functional areas to provide general policy guidance for the identification, acquisition, management, and use of CAAS resources.
- (2) Review implementing instructions before publication to ensure compliance with DoDD 4205.2; and that CAAS systems, procedures, and practices adhere to their implementing instructions.
- (3) Review and recommend approval to the DeCA Director for CAAS:
 - (a) All individual CAAS procurement requests in accordance with the procedures outlined in this directive.
 - (b) The DeCA CAAS Operating Plans
 - (c) The DeCA Annual CAAS Budget Exhibit
- (4) Provide budget and accounting guidance, as necessary to ensure compliance with DoDD and this directive and any applicable provisions of the law.

d. The →Manpower and Program Division, Manpower Branch (RMMM)← shall:
→IMPulse, Mar/Apr 96←

- (1) Provide general policy and procedures for the identification, acquisition, management and the use of CAAS resources are in compliance with the revised DoDD 4205.2, OMB, the Congress and other services regarding CAAS and implementation of the DoDD.
- (2) Serve as a focal point on all matter related to CAAS involving DeCA.
- (3) Establish procedures to ensure that CAAS funds are obligated for the purposes specified in the annual plan and CAAS budget exhibit, or, when deviations are justified, they adhere to DoD and DeCA funding policy.

- (4) Compile DeCA's requiring activity(ies) reports identifying completed, on-going, and future CAAS needs for input to the Budget Division for submission to the annual CAAS budget exhibit, to ensure that it is accurate, complete, and forwarded for approval to DeCA Director for CAAS.
- (5) Monitor CAAS activities to avoid unnecessary duplication; and to ensure each proposed contract action shall be evaluated separately to determine if the services required meet the CAAS definition.
- (6) Promote cooperation and coordination of CAAS related policy and procedures among functional areas and the DeCA Director for CAAS.
- (7) Provide manpower policy and guidance. To assist in determining when procurement of CAAS is appropriate to perform necessary DeCA requirements. The manpower function implements Government policy within DeCA for the use of contractor support. It also implements Government policy and guidelines on what constitutes inherently governmental functions. It validates the feasibility and availability of in-house resources and coordinates on procurement requests for contractor support. →*IMpulse*, Mar/Apr 96←
- (8) Ensure that adequate and consistent procedures are implemented within DeCA to identify planned and actual obligations for CAAS.
- (9) Ensure adequate controls are established, at the appropriate level of accountability, so that CAAS resources are used for the purposes identified in the CAAS operating plan. When changes to the operating plan occur, adhere to procedures established for review, approval, reporting, and recommend termination of CAAS when appropriate.
- (10) Ensure accurate and timely reporting to the DTIC, the DLSIE, or other relevant data repositories.
- (11) Ensure accurate budget submissions reflecting current and future CAAS requirements are submitted to DoD CAAS Director.
- (12) Provide an annual assessment to the DeCA Director for CAAS and DoD CAAS Director on implementation of CAAS policy for the identification, acquisition, and management of CAAS resources.
- (13) Ensure CAAS operating plans are periodically reviewed at an appropriate organizational level, to identify opportunities for savings through consolidation of similar requirements.
- (14) Ensure compliance with DoDD 5010.38 (reference b) covers CAAS through management control assessable units. Management must ensure that reasonable management controls are in effect throughout the CAAS acquisition process as a matter of routine oversight. The DoDD 5010.38 requires management to periodically test and report on the status of management controls within areas of responsibility. These reviews are called "risk assessments" and should be conducted as required by this

directive to help ensure the adequacy of management controls.

(15) Implement DeCA CAAS training for the identification, acquisition, management, use, and termination-for-cause of CAAS contracts.

(16) Provide manpower policy and guidance to assist in determining when procurement of CAAS is appropriate to support necessary DeCA requirements.

(17) Validate the existence and availability/-nonavailability of in-house resources to perform the requirements designated in the statement of work with a written statement certifying that in-house capability does/does not exist to perform the services requested. This statement shall become a component to the Management Decision Document (MDD) for contractor support and forwarded to DRM, ATTN: →RMMM← for processing. →*IMpulse*, Mar/Apr 96←

e. Resource Management, Budget Division (RMB) shall:

(1) Ensure budget and accounting procedures for reporting CAAS are coordinated with the →RMMM← Branch to ensure compliance with this directive. →*IMpulse*, Mar/Apr 96←

(2) Ensure CAAS funds are obligated for the purposes specified in the annual plan and CAAS budget exhibit, or when deviations are justified, and they adhere to DoD and DeCA funding policy.

(3) Establish procedures or system for separately identifying and controlling CAAS expenditures (i.e., additional document number or digit/code). Funds will be committed, obligated, expensed, and disbursed against this procedure for each CAAS approved for procurement to ensure proper accounting and object classification. Three basic categories for identifying and controlling CAAS (excludes the employment of experts and consultants) are Studies, Analyses and Evaluations (SAE); Management and Professional Support Services (MPSS); and Engineering and Technical Services (ETS).

(4) Certify that properly chargeable funds are available for contractor support; compiles/develops an internal system for separately identifying CAAS; and submits the budget request with certification to the →RMMM← for insertion into the request for procurement package. →*IMpulse*, Mar/Apr 96←

(5) Ensure all CAAS obligations are recorded in the accounting system of DeCA in accordance with this directive and DoD 7220.9-M and current changes thereto (referenced).

(6) Monitor the budget authority after Congressional approval of the budget

requests and compile the annual CAAS Budget Exhibit.

(7) Ensure the adequacy of an accounting system to track and monitor CAAS commitments, obligations, and expenditures, as well as any other useful historical information in accordance with OMB Circular No. A-11 Revised (reference h, Appendix A).

(8) Ensure that accurate budget submissions reflecting current and future CAAS requirements are submitted from all DeCA organizations projecting the use of CAAS.

(9) For interdepartmental transfer of funds, the Budget Division issuing the funds, rather than the organization receiving the funds, shall ensure the funds are properly reported in the DeCA accounting system and CAAS budget exhibit.

f. DeCA Requiring Activity:

(1) To ensure the successful acquisition and use of contractor support requires the skills, cooperation, and teamwork between the requiring activities and the various functional areas that participate in the overall process of CAAS. Each participant in the process has their area of responsibility; but, they should also be aware of how their area interacts with others. Requirements for CAAS shall be identified as far in advance as possible to permit competition to the maximum practical extent.

(2) The requiring activity identifies and justifies the resources (both in-house and contractor support) needed to accomplish the mission; and has the primary responsibility for reporting CAAS requirements to ensure that CAAS is used only when necessary or cost effective to meet mission requirements, achieves its intended purpose, and is procured at a fair and reasonable price.

(a) Annually, before the end of the fiscal year, or when major changes occur, DeCA managers are required to review their assigned missions and work load to report and forecast procurement requests and identify completed, on-going, and future CAAS needs to the Director of Resource Management, ATTN: →RMMM←, who is responsible for compiling the above reports and forecasts for input to the Budget Division for submission to the annual CAAS budget exhibit. →IMpulse, Mar/Apr 96←

(1) The requiring activity will initiate request for CAAS when the requirement is determined to be mission essential, most cost effective, and does not unnecessarily duplicate previously performed work or services. In coordination with the personnel office, identifies and justifies the resources (both in-house and contractor support) it needs to accomplish CAAS requirements to ensure in-house capability does not exist, and forwards information and a memorandum, Management Decision Document (MDD) (see Appendix D).

(2) The procurement phase includes preparation of the necessary paperwork to specify what the contractor will do, and an estimate of how much it will cost, specify how the contractor's performance will be monitored, and the development of evaluation criteria to help select a qualified contractor.

(3) Each purchase request package for CAAS, including task orders, must include the following information:

(a) A statement of work (SOW) (see Appendix E), describing to the extent necessary, the work to be performed, the deliverable(s), and the specified period of performance. The SOW shall be written in as clear and unambiguous terms as possible the work to be performed, the

deliverable(s), and a specified period of performance. When drafting the SOW, it is important to keep in mind that proposal evaluation criteria (for competitively negotiated procurements) and the contract surveillance plan must be directly related to the SOW requirements (see Appendix E).

(b) Evaluation and selection criteria for competitively negotiated awards should be tailored to the individual acquisition; and include only those factors which will have an impact on the selection decision. Proposed evaluation and selection criteria for competitive awards to include surveillance plans specifying how contractor performance, performance standards, and deduction schedules, as required, shall be assessed (determined by the kind of service being procured) must be clearly stated in the Request For Proposal (RFP) and should be developed in coordination with the contracting office to ensure compliance with applicable policy and procedures. Ensure the CAAS contract action is properly evaluated at its conclusion or when otherwise deemed appropriate (e.g., prior to renewal of an option, completion of a separate task or service, etc.) to assess its utility to the organization and the performance of the contractor. For each CAAS contract completed, the final evaluation shall be prepared and forwarded through DRM, ATTN: →RMMM← to DeCA Director for CAAS. Individual evaluations shall include, at a minimum, how the findings, conclusions, recommendations, or services were used, and how the contractor performed. These evaluations shall form a principal input to the annual report (see Appendix F). →*IMpulse*, Mar/Apr 96←

(c) Estimated cost and level of effort expressed in staff-years, staff-months or staff-hours, or some other detailed estimate of the cost to the Government. This information is needed by the contracting officer to evaluate proposals, prepare the Government's negotiation position, and to determine whether the contract price is fair and reasonable. Price and past performance are evaluated as general considerations along with the other established criteria. Again, evaluation factors should be considered in coordination with the contracting office and decided upon prior to release of the solicitation or RFP.

(d) Identification of the CAAS reporting category that best defines the service being procured to ensure proper accounting and/or object classification. The three categories are:

- 1 Studies, Analyses and/or Evaluations
- 2 Management & Professional Support Services
- 3 Engineering and Technical Support.

(e) Certification by the approving official that the services do not unnecessarily duplicate previously performed work or services; and are being obtained in the most cost-effective manner.

(f) Contracts for CAAS may not be continued for longer than 5 years without review by the DeCA Director for CAAS. If the CAAS requirement is considered long-term and could be cost-effectively done by in-house resources, a statement citing action being taken to hire additional resources or an explanation of why contracting out is necessary shall be included.

(g) Properly chargeable funds must be certified by RM, Budget Division.

(b) CAAS should be procured through a separate contract action, if possible. When CAAS is a portion of a contract action, it shall be a separately identified contract line item number and separately priced.

(c) Procurement requests for studies must contain a statement that the DTIC and other applicable information sources have been queried and that no known existing scientific, technical, or management report could fulfill the requirement. When the deliverable of the service contract is a study, an analysis or a technical report, copies of the final report should be submitted to the DTIC. This requirement should also be included in the contract.

(d) All CAAS procurement requests shall, as a minimum, be approved by an official at a level above the requiring activity. Additionally, approval for all CAAS procurement requests initiated during the fourth quarter of the fiscal year, for award during the same fiscal year, shall be by an official at a second level or higher, above the requiring activity.

(e) All individual CAAS procurement requests must follow the process outlined in DoDD 4205.2 and DeCAD 70-14. Each proposed contract action shall be evaluated separately to determine if required services meet the CAAS definition.

(f) All CAAS obligations shall be recorded in the accounting system of DeCA in accordance with DoD 7220.9-M (reference d).

(g) A file shall be maintained by the requiring activity to include a copy of the approved procurement request and appropriate supporting documentation, listing, or summary of contract items delivered, and documentation of Government acceptance.

(h) In the instance where the requiring activity provides funding to another activity (Intra/Interagency) and may not have knowledge whether a specific requirement will be accomplished in-house or by contract, the organization placing the requirement is responsible for notifying the organization requesting the service whether the requirement was performed with in-house or contractor support to ensure accurate recording of obligation and expenditure information into the accounting system and CAAS budget exhibit.

(3) During disagreement/→uncertainty← as to whether a specific action constitutes CAAS, the DeCA Director for CAAS shall make the final determination. →Any cases of uncertainty in categorizing services as CAAS or Non-CAAS shall be referred by either the CAAS requestor or the assigned contracting officer to DeCA-RMMM for review and determination prior to initiating the procurement.← →Impulse, Apr94←

(4) While the requiring activity initiates the procurement request, the contracting officer is the individual responsible for the procurement method and the resulting contract action. The requiring activity must →nominate←, and the contracting officer →appoint←, an individual or team of individuals with sufficient expertise and technical knowledge to evaluate contractor performance. This person is the Contracting Officer's Representative (COR). Efforts to avoid abuse in the acquisition and use

of CAAS must be monitored to prevent: →*IMpulse*, Mar/Apr 96←

(a) Inadequate procedures for determining what services are appropriate for contracting out and to avoid contractors from performing inherently governmental functions--both prior to and during contract performance.

(b) Contracting out long-term or recurring requirements that can be done more cost-effectively using in-house resources.

(c) Duplication of services already available (i.e., limited use of DTIC repository or completed studies, analyses, and reports).

(d) Limited competition, excessive use of sole-source contracts, unsolicited proposals and contract modifications to avoid compliance with the Competition-in-Contracting Act (CICA).

(e) Inadequate controls and procedures to avoid potential conflicts of interest.

(f) Inaccurate identification and reporting of CAAS.

(5) Ensure accurate and timely reporting of appropriate CAAS contract actions and outputs (especially studies) to →RMMM← for submission to DTIC (DoDD 3200.12, reference (1)), and other relevant data repositories. →*IMpulse*, Mar/Apr 96←

g. →Deleted← →*IMpulse*, Mar/Apr 96←

(1) →Moved to Para 5d(16)←

(2) →Moved to Para 5d(17)←

h. The Director, Information Resources Management (IM) shall:

(1) Review all Automated Data Processing (ADP) related contracts to ensure compliance with the DoD Information Resource Management (IRM) program and related government laws and regulations.

(2) Ensure DeCA policy and procedures, to include standardization and configuration management controls, are addressed.

(3) Ensure CAAS requirements have been included in the approved IM and Information Technology Systems Budgets.

(4) Evaluate requirements to ensure integration with other DoD related and IRM supported DeCA systems.

(5) Review functional requirements and provide technical solution alternatives that support the requirement, ensuring consistency of information and processes and resolution of technical and functional issues across functional areas.

(6) Ensure computing, communications, information, and security issues are included as appropriate.

i. The Director, Region/Service Center:

(1) The contracting office is responsible for procuring contractor support in accordance with laws and regulations set forth in the Federal Acquisition Regulation (FAR) and its supplements. In carrying out this responsibility, contracting office should advise and assist customers in all phases of the acquisition process. Contracting office actions usually begin upon receipt of a procurement request initiated by the requiring activity after passing through the →RMMM← to determine if the services required meet the CAAS definition, availability of funds, and certification of manpower resources. Any time during the acquisition process, organizations having questions or needing information related to contracted services, should contact the contracting office for assistance. →IMPulse, Mar/Apr 96←

(a) The contracting office in coordination with →RMMM←, will ensure that each proposed contract action (regardless of dollar value) constituting CAAS shall be evaluated separately and shall procure contractor support to comply with provisions of the FAR and supplements thereto. →IMPulse, Mar/Apr 96←

(b) The requirements of the FAR and DFARS shall be met in the solicitation, award, and administration of all CAAS. Requirements for the CAAS shall be identified by the requiring activity as far in advance as possible to permit competition to the maximum practical extent. Contracts for CAAS may not be continued longer than 5 years without review by the DeCA Director for CAAS, or appointed designee, for compliance with this directive.

(2) Responsibilities of the ESC-AM include:

(a) Review procurement requests for completeness, possible conflicts of interest, and any restrictions on opportunities for competitive bidding.

(b) Determine appropriate contract type.

(c) Develop, in coordination with the requiring activity, the synopsis for the Commerce Business Daily.

(d) Assist the requiring activity, with development of evaluation factors and selection criteria. The proposal evaluation criteria should be tailored to the individual acquisition and include only those factors which will have an impact on the selection decision. The criteria must be clearly stated in the RFP and should be developed to ensure compliance with applicable policy and procedures.

(e) In coordination with the legal office, ensure that the proposed contract action is consistent with existing laws and regulations.

(f) Issue the solicitation, oversee the selection process, make contract award, and notify the other relevant functions/organizations of award.

(g) Ensure that the appropriate Federal Procurement Data System (FPDS) service category code is selected and included in the FPDS/DD 350 system.

(3) The teamwork between the requiring activity and the contracting office does not stop with the award of a contract and approval of a surveillance plan. The requiring activity must →nominate←, and the contracting officer →appoint←, an individual or team of individuals with sufficient expertise and technical knowledge to evaluate contractor performance. This person is the Acquisition Business Unit COR. →*IMpulse*, Mar/Apr 96←

(a) The COR must be trained to perform contract monitoring responsibilities and assist in the development of the surveillance plan to ensure the responsibilities of the contractor and the Government are accomplished. All discrepancies should be reported to the contracting officer immediately, so appropriate contractual remedies can be exercised.

(b) The COR will ensure that the contractor is not asked to perform tasks that are not covered in the SOW.

(c) The job of the COR and technical personnel is not complete when the contract period ends. While the contract is underway, an objective evaluation of contractor performance is done using the surveillance plan. When the contract is completed, a more subjective final evaluation is done and serves as a tool to determine if the Government got what it asked for.

(d) The COR has overall responsibility for contractor evaluation report; but should seek input from the contracting officer and others with significant involvement in the contract. Guidelines to assist in the evaluation are provided.

(1) Did the Contractor meet the requirement(s)?

(2) How were the results of the contract used?

(3) How did the contractor perform?

(4) Again, successful acquisition and use of contractor support requires the skills, cooperation and teamwork between the requiring activities and the various functional areas that participate in the overall process.

6. PROCEDURES:

a. Annually, or when major changes occur, DeCA managers are expected to review their assigned missions and workload to ensure that their total force requirements represent the most cost effective and flexible mix of resources necessary to support mission accomplishment.

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b. When reviewing available resources, caution should be exercised to ensure that inherently governmental functions are performed by DeCA employees; and that a sufficient number of DeCA employees are maintained to satisfy essential core capability requirements. However, utilization of contractor support continues to represent a cost-effective and viable option to satisfying workload requirements that are not inherently governmental or core. Other alternatives include use of overtime, temporary employees, and inter/intra-agency support agreements; justifying additional full- or part-time permanent staff; and reprioritizing workload or retraining existing staff.

c. Requirements for CAAS shall be identified as far in advance as possible to permit competition to the maximum practical extent. Forecast procurement requests through the →RMMM← for input to the Advanced Acquisition Planning System, identifying CAAS needs for the next year. →IMPulse, Mar/Apr 96←

d. If contractor services/support is decided upon, funding must be identified. Depending upon when the requirement(s) was known and when it must be completed, the requiring activity may have:

- (1) Previously budgeted for funds to be available for anticipated contractor support;
- (2) To request funds during the budget process to be available in the future; or
- (3) To request that funds be made immediately available from another source.

e. Identifying and Reporting CAAS.

(1) Ensure the following guidelines are used to determine when CAAS is an appropriate resource:

(a) When suitable in-house capability is unavailable or cannot be obtained in time to meet the needs of DeCA's mission requirements (this statement does not justify or substantiate the lack of proper planning by the requiring activity), or it is not cost effective to establish an in-house capability (e.g., because the special or unique skills or expertise are not required full-time). Certification from Directorate of Personnel and Training is required.

(b) When the requirement is anticipated to be a short-term, temporary period of time. If the requirement is for a long or continuing period, an analysis should be performed to determine if in-house or contracting out is the most efficient means of performance.

(c) Requestors must retain the technical capability to prescribe, monitor, evaluate the work of the contractor, and recommend termination of services when no longer needed.

(2) Submit memorandum requests for CAAS to Directorate of Resource Management for processing. The appropriate category shall be designated by the requiring activity to ensure proper accounting and/or object classification.

(3) A file shall be maintained by the requiring activity to include a copy of the approved procurement request and appropriate supporting documentation, listing, or summary of contract

items delivered, and documentation of Government acceptance.

(4) Within 30 days after contract award, and within 30 days after completion of a contract, submit DD Form 1498, "Research and Technology Work Unit Summary," (see Appendix G) to Directorate of Resource Management. Within 60 days after completion of contract, a final DD Form 1498 will be prepared and forwarded to HQ DeCA, ATTN: →RMMM←, together with three copies of the completed studies, analyses and evaluations. Evaluations shall include, at a minimum, how the findings, conclusions, recommendations or services were used and how the contractor performed (see Appendix F for format). These evaluations shall form a principal input to the annual report prepared by Directorate of Resource Management. →IMPulse, Mar/Apr 96←

→f←. Director Of Resource Management (RM) shall: →IMPulse, Mar/Apr 96←

(1) Review requests for CAAS, together with DeCA's annual CAAS plan and annual budget exhibits, to ensure the overall CAAS process, procedures, and practices for the identification, acquisition, and management of CAAS resources are accurate, complete, and coordinated with the DeCA CAAS Director.

(2) Record all CAAS obligations in the accounting system of DeCA in accordance with DoD 7220.9-M, Department of Defense Accounting Manual. If not previously submitted/documented in these plans, ensure justification is included and if determined to be CAAS qualified, forward ADP requests to DeCA Information Resources Management Directorate (IM).

(3) Coordinate with →Logistics Support Division (SAL) and Operations Support Center Acquisition Business Unit (ABU)← on procurement requests and with RM Budget Division to certify funds. →IMPulse, Mar/Apr 96←

(4) DoD 7220.9-M, "Contracted Advisory and Assistance Services (CAAS),"

establishes accounting procedures to aid in identifying and controlling CAAS expenditures and that actual data for all categories of contract effort are reported to Congress. Appropriate codes shall be entered on applicable requests for procurement and on the associated contracts.

(5) When CAAS is procured in a predominantly non-CAAS contract, the CAAS portion shall be separately identified and coded for identification in the budget exhibit. The predominance rule which pertains to the assignment of codes for the Federal Procurement Data System (DD Form 350) has no bearing on the identification of CAAS for budget and accounting purposes. Expenditures shall be accumulated by budget exhibit category as they are entered into the DoD accounting systems.

(6) When interdepartmental transfers of funds, such as a Military Interdepartmental Purchase Request or Inter-Agency Cost Reimbursable Order are used to procure CAAS, the Budget Division shall ensure the funds are properly reported in the DoD accounting system and CAAS budget exhibit.

(7) Ensure requesting DeCA activity has obtained all necessary determinations required under the Economy Act (31 USC 1535), FAR Subpart 17.5, and DeCA Policy Letter 10-2.

(8) Maintain CAAS operating plans. Operating plans shall be kept current at all times and include as a minimum the following information for each ongoing and projected CAAS requirement:

(a) Description of the requirement.

(b) Justification of the need.

(c) Estimated cost.

(d) Explanation of why contractual services are needed to satisfy the requirements. CAAS operating plans are periodically reviewed at an appropriate organizational level to identify opportunities for savings through consolidation of similar requirements.

(9) Maintain appropriate suspense files to ensure receipt of initial and final DD Form 1498, Research and Technology Work Unit Summary; receive evaluations of completed contracts from requesting activity; review for completeness and accuracy.

(10) Implementation of DeCA CAAS training for the identification, acquisition, management, and use of CAAS.

(11) Ensure the CAAS contract action is properly evaluated at its conclusion or when otherwise deemed appropriate (e.g., prior to renewal of an option, completion of a separate task or service, etc.) to assess its utility to the organization and the performance of the contractor.

(12) Maintain a historical file which shall: include the approved procurement request and appropriate supporting documentation, progress reports, contract items delivered, documentation of Government acceptance, and the formal evaluation report.

→g←. →Logistics Support Division (SAL)← shall certify proper evaluation of available in-house resources has been accomplished in accordance with the requirements of the requesting activity to meet essential mission accomplishments; and that the need for help from an alternative resource, such as contractor support, is/is not valid. →IMPulse, Mar/Apr 96←

→h←. →Logistics Support Division (SAL)← is responsible for preparing and processing necessary documents for procuring supplies and services required in the Statement of Work (SOW). →IMPulse, Mar/Apr 96←

→i←. →Operations Support Center Acquisition Business Unit (ABU)←: →IMPulse, Mar/Apr 96←

(1) Procurement and Contract Administration. The Project Officer for the requiring activity, →Operations Support← Center COR and Contracting Officer must all be involved in ensuring a successful procurement. The responsibilities and duties shift from one to another throughout

this part of the overall process. The following guidelines apply: →*IMPulse*, Mar/Apr 96←

(a) CAAS should be procured through a separate contract action, if possible. When CAAS is a portion of a contract action, it shall be a separately identified contract line item number (CLIN) and separately priced.

(b) Each purchase request package for CAAS, including task orders, shall include the information prescribed in DoDD 4205.2.

(2) All CAAS procurement requests shall, as a minimum, be approved by an official at a level above the requiring activity. Additionally, approval for all CAAS procurement requests initiated during the fourth quarter of the fiscal year, for award during the same fiscal year, shall be by an official at a second level or higher, above the requiring activity.

(3) The requirements of the Federal Acquisition Regulation (FAR) and DoD FAR supplement shall be met in the solicitation, award, and administration of all CAAS contracts.

(4) All CAAS procurement requests shall be approved or disapproved by DeCA Director for CAAS. The DeCA Director for CAAS may delegate, in writing, approval authority consistent with existing statutes and regulations.

7. **APPLICATION AND EVALUATION.** This phase occurs during and after completion of the contract. The requiring activity, or the COR if one has been appointed:

- a. Evaluates results and determines the extent to which desired objectives are achieved.
- b. Ensures that proper follow-up actions are taken, such as communicating the results to all

those affected; and implementing the conclusions and recommendations by either of the following:

- (1) Making decisions or developing policies.
- (2) Providing information to proper officials for subsequent decision-making or policy development.

c. Evaluates management and contractor performance. A written evaluation of the administration and conduct of the contract must be prepared within 30 days after completion (or termination) of the contract. The evaluation must be forwarded to the contracting officer for inclusion in the official file. The evaluation must also be maintained in the requiring activity's file. The evaluation discusses the effectiveness of the contractor in performing the effort and the requiring activity's management and support of the effort.

8. **DOCUMENTATION AND REPORTING.** The following actions take place before, during, and after the life of the contract. The DD Form 1498, Research and Technology Work Unit Summary are prepared and submitted as follows:

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Initiation. Submit within 15 days following initiation of the study.

Termination. Submit within 15 days following cancellation or suspension of a study for more than 3 months.

Completion. Submit within 30 days following completion of a study.

Evaluation. Submit within 30 days after implementation of study results or within 6 months after study completion date, whichever occurs first.

a. **Information reports.** The DD Form 1498 is maintained by DTIC/DLSIE. The DTIC system provides information on individual efforts through automated retrieval. For each SAE contract, the requiring activity must prepare a DD Form 1498 at each of the milestones and submit the form to DTIC.

(1) For SAE contracts, the instructions on when to submit; and how to complete the DD Form 1498 should be followed.

(2) Included with the technical reports or other information are one-page source-prepared summaries consisting of standardized data elements. DTIC will use these summaries as the basis for its processing, announcing, and cross-referencing to other data collections. This summary is provided on SF 298, Report Documentation Page (see Appendix H). The number of copies required is two (2). Mail the completed form to Defense Technical Information Center, Office of User Services and Marketing, Building #5, Cameron Station, Alexandria, VA 22304-6145.

b. **Control of preparation and distribution of documents.** Certain activities in the preparation and distribution of documents, for a CAAS contract, are performed by the contractor, when required by the terms of the contract; in others, by military and civilian employees. In the first case, the contracting officer is responsible for the control of such activities according to the FAR and its departmental supplements and the terms of the contract. The requiring activity can assist the contracting officer in monitoring compliance with the controls listed in (1) through (8) below. In the second case, the requiring activity is responsible for ensuring that the controls below are applied.

(1) Preparation, review, publication, and distribution of documents must be accomplished according to DoDD 4205.2 and DeCAD 70-14. This function also involves maintaining proper security measures.

(2) Personal data collected or assessed during the effort must be managed according to the Privacy Act of 1974 (5 USC 552a), as implemented.

(3) Proprietary information in a document produced by a contractor must be controlled as stipulated in the contract.

(4) Freedom of Information Act (FOIA) requests must be responded to according to the FOIA (5 USC 552), as implemented. Only the Initial Denial Authority may deny information requested under the FOIA.

(5) The controlling authority for release of documents produced by a CAAS contract (beyond the distribution required by the contract) is the requiring activity's designated representative in coordination with the contracting officer. This requirement must be included in the contract and emphasized to the contractor during contract negotiations.

(6) Results of ongoing or completed efforts, even when official review is lacking, will be provided upon request to General Accounting Office (GAO) representatives according to public law. However, the requiring activity or controlling authority may believe that the information is extremely sensitive or sufficiently incomplete to cause confusion or lead to conflicting conclusions. If so, then guidance should be requested through Resource Management, ATTN: →RMMM← (CAAS Coordinator), the OPR for DeCA. →IMPulse, Mar/Apr 96←

(7) Information and materials produced by CAAS efforts may normally be made available to all interested parties, when consistent with security classification, proprietary information, and Privacy Act constraints. However, if there is evidence that release of emerging results would significantly impair the performance of missions or cause confusion or misunderstanding about DeCA's goals or policies, the information and materials should be withheld until the effort has been completed and release has been permitted by the controlling authority ((5) above).

(8) The cover of each document produced by the contractor must contain, as a minimum, the information listed in (a) through (d) below.

NOTE: This requirement must be included in the purchase request requirements statement.

(a) Name and business address of the contractor.

(b) Contract number.

(c) Requiring activity (name, address, and office identification).

(d) Disclaimer statement, such as "The views, opinions, and findings contained in this document are those of the author(s) and should not be construed as official Defense Commissary Agency's position, policy, or decision, unless so designated by official documentation.

c. Final reports

(1) The requiring activity must submit two copies of each final study report, with completed Standard Form 298 (Report Documentation Page), bound together, to Commander, Defense Technical Information Center, ATTN: DoD Studies, Cameron Station, Alexandria, VA 22314.

(2) The requiring activity must submit one copy of each final study report to the Pentagon Library, ATTN: DoD Studies, Pentagon, Washington, DC 20310.

(3) The requiring activity will forward an information copy of study reports, DD

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Form 1498, SF 298, and Management Evaluation to Director, Resource Management, ATTN:

→RMMM←. →*IMpulse*, Mar/Apr 96←

9. **APPEALS PROCESS:**

a. Disapproved CAAS requests may be appealed to the DeCA Director for CAAS when the requesting activity affirms the omission of vital and/or pertinent facts or information by enclosure of the information; or submits additional rationale why request should not be disapproved.

b. The requesting activity shall submit the CAAS request through the RM to the DeCA Director for CAAS by memorandum with additional rationale requesting a review and final decision.

c. The requesting activity will be notified, in writing, of the appeal decision.

10. **MANAGEMENT CONTROL PROGRAM:**

a. The Management Control Review Checklist (MCRC) (see Appendix E), will be completed during the fiscal year specified by the Management Control Plan (MCP). (Reference paragraph 2f.)

b. Assessable unit managers designated in the MCRC and the MCP, are responsible for completing the applicable portions of the checklist and personally signing the statement of the assessable unit manager on the last page.

c. Completion of this checklist will be reflected in the annual assurance statement submitted for the appropriate fiscal year. Weaknesses detected will be addressed in the assurance statement.

11. **EFFECTIVE DATE AND IMPLEMENTATION:** This directive is effective immediately.

12. **FILE RETENTION:** Files pertaining to this directive will be disposed of in accordance with DeCA Directive 30-2, "Information Resources Management Defense Commissary Agency Filing System," (3RD DRAFT, not dated).

RELATED REFERENCES

The following references will assist the DeCA staff in implementing instructions contained within this directive. They are not needed below HQ DeCA and →Operations Support← Center Contracting Division. →*IMpulse*, Mar/Apr 96←

- a. Defense Federal Acquisition Regulation Supplement (DFARS), current edition.
- b. DoD Directive 3200.12, "DoD Scientific and Technical Information Program," February 15, 1983.
- c. Federal Acquisition Regulation (FAR), current edition.
- d. Federal Information Resources Management Regulation (FIRMR) (Title 41, Code of Federal Regulations, Part 201).
- e. Federal Personnel Manual, current edition.
- f. Section 2315 of title 10, United States Code.
- g. Military Handbook (MIL-HDBK-245C), "Preparation of Statement of Work (SOW)," September 10, 1991.
- h. Office of Management and Budget (OMB) Circular No. A-11 Revised, "preparation and Submission of Budget Estimates, July 2, 1992

**ACQUIRING AND MANAGING
CONTRACTED ADVISORY AND ASSISTANCE SERVICES
(CAAS)**

Glossary

A. Abbreviations:

➔ABU - Operations Support Center – Acquisition Business Unit◀ ➔*IMpulse*, Mar/Apr 96◀

ADP – Automated Data Processing

CAAS - Contracted Advisory and Assistance Services

CICA - Competition-in-Contracting Act

COR - Contracting Officer's Representative

DeCA - Defense Commissary Agency

DFARS - Department of Defense Federal Acquisition Regulation Supplement

DoD - Department of Defense

DoDD - Department of Defense Directive

DLSIE - Defense Logistics Studies Information Exchange

DTIC - Defense Technical Information Center

➔Deleted ESC-AM◀ ➔*IMpulse*, Mar/Apr 96◀

ETS - Engineering and Technical Services

FAR - Federal Acquisition Regulation

FIRMR - Federal Information Resources Management Regulation

FOIA - Freedom of Information Act

FPDS - Federal Procurement Data System

GAO - General Accounting Office

GOCO - Government Owned Contractor-Operated

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IAW - In Accordance With

→Deleted IMS← →*IMpulse*, Mar/Apr 96←

IRM - Information Resource Management

MCP - Management Control Plan

MCRC - Management Control Review Checklist

MDD - Management Decision Document

MIL-HDBK - Military Handbook

MPSS - Management and Professional Support Services

OMB - Office of Management and Budget

OPR - Office of Primary Responsibility

→OSC - Operations Support Center← →*IMpulse*, Mar/Apr 96←

RFP - Request For Proposal

→Deleted RMFM← →*IMpulse*, Mar/Apr 96←

→RMMM - Resource Management Directorate, Manpower and Programs Division, Manpower Branch←
→*IMpulse*, Mar/Apr 96←

SAE - Studies, Analysis, and Evaluations

SES - Senior Executive Service

SOW - Statement of Work

USC - United States Code

WBS - Work Breakdown Structure

B. Definitions:

CAAS Accounting Procedures. DoD accounting procedures to record and report CAAS obligations and expenditures. DoD 7220.9-M, "Department of Defense Accounting Manual," contains specific guidance to be followed by DeCA Budget Division when recording and reporting CAAS

obligations, expenditures, and transactions.

CAAS Budget Exhibit. The source document from which total CAAS expenditures and estimates are derived and reported by the Department of Defense to the Office of Management and Budget (OMB) and the Congress. DoD 7110.1-M, "Department of Defense Budget Guidance Manual," contains specific instructions for completing the annual CAAS budget exhibit.

CAAS Exemptions. Specific kinds of services exempted from the purview of this directive. (Appendix C contains CAAS exemptions.)

CAAS Operating Plan. The document maintained at the Resource Management, Force Management Branch, that identifies projected and ongoing CAAS actions for a specified fiscal year.

CAAS Reporting Categories. Categories that group advisory and assistance services for reporting CAAS contract actions in the annual CAAS budget exhibit and in the DoD accounting system. CAAS reporting categories are:

1. **Studies, Analyses, and Evaluations (SAE).** These services are organized, analytic assessments to understand and/or evaluate complex issues to improve policy development, decision-making, management, or administration. These efforts result in documents containing data or leading to conclusions and/or recommendations. Databases, models, methodologies, and related software created in support of a study, analysis, or evaluation are to be considered part of the overall effort.
2. **Management and Professional Support Services (MPSS).** These services provide engineering or technical support, assistance, advice, or training for the efficient and effective management and operation of DoD organizations, activities, or systems. They are normally closely related to the basic responsibilities and mission of the using organization. This category includes efforts that support or contribute to improved organization or program management, logistics management, project monitoring and reporting, data collection, budgeting, accounting, auditing, and administrative and/or technical support for conferences and training programs.
3. **Engineering and Technical Services (ETS).** These services (i.e., technical representatives) take the form of advice, assistance, training, or hands-on training (e.g., direct assistance) necessary to maintain and operate fielded weapon systems, equipment, and components (including software when applicable) at design or required levels of effectiveness.

Engineering and technical services consist of:

- a. Contract field services, which are engineering and technical services provided on-site at DoD locations by the trained and qualified engineers and technicians of commercial or industrial companies.
- b. Contract plant services, which are engineering and technical services, provided by the trained and qualified engineers and technicians of a manufacturer of military equipment or components in the manufacturer's own plants and facilities.

(c) Field service representatives, which are employees of a manufacturer of military equipment or components, who provide a liaison or advisory service between their company and the military users of their company's equipment or components.

Core Capability. Core capability includes:

1. A sufficient number of trained and experienced Government staff to properly manage and be accountable for its work;
2. Maintaining a capability to write and/or administer related service contracts;
and
3. Retaining a residual capability to perform certain complex service requirements in emergency situations. For example, when contracting for highly specialized services (a typical use of CAAS) organizations must remain accountable and retain control over decisions and other governmental functions that may be based on the contractor's performance and work products. Organization officials should ensure that the technical expertise is available within the organization to make sound judgments on:
 - a. What the requirements should be;
 - b. The estimated costs; and
 - c. Whether the contractor is performing to the contract terms and conditions.
4. Contracting out too many functions/requirements could deplete the core capability.

Contracted Advisory and Assistance Services (CAAS). Those services acquired by contract from nongovernmental sources to support or improve organization policy development, decision-making, management and administration, program and/or project management and administration, or to improve the effectiveness of management processes or procedures.

Contracted Services. Services that directly engage the time and effort of a contractor to perform an identifiable task rather than furnish an end item of supply. Includes separately identified services delivered under a contract when the primary purpose is to provide supplies, equipment, or hardware.

Contracting Action. Any written action obligating or de-obligating funds for procuring services to meet DoD requirements, to include definitive contracts; purchase orders; job orders; task orders; delivery orders; other orders against existing contracts; and contract modifications; change orders or agreements; supplemental agreements; funding changes; option exercises; and notices of termination or cancellation.

Inherently Governmental Functions. This has the same meaning as Governmental functions in Section 6.e. of OMB Circular A-76, "Performance of Commercial Activities." That section provides as

follows: A Governmental function that is so intimately related to the public interest as to mandate performance by Government employees. These functions include those activities that require either the exercise of discretion in applying Government authority or the use of value judgements in making decisions for the Government. Government functions normally fall into two categories:

a. The act of governing: The discretionary exercise of Government authority. Examples include criminal investigations, prosecutions, and other judicial functions; management of Government programs requiring value judgments, as in direction of the national defense; management and direction of the Armed Services; activities performed exclusively by military personnel who are subject to deployment in a combat, combat support, or combat service role; conduct of foreign relations; selection of program priorities; direction of Federal employees; regulation of the use of space, oceans, navigable rivers, and other natural resources; direction of intelligence and counter-intelligence operations; and regulation of industry and commerce, including food and drugs.

b. Monetary transactions and entitlements, such as tax collection and revenue disbursements; control of treasury accounts and money supply; and the administration of public trusts. An inherently governmental function involves the determination of policy and the direction and control of Federal employees or, in some cases, of activities and property of private citizens. Such functions do not normally include functions that are primarily ministerial and internal in nature, such as: building security; mail operations; operation of libraries and cafeterias; housekeeping; and the maintenance of the physical plant, vehicles, or other electrical or mechanical equipment. Inherently governmental functions do not encompass functions considered "commercial," as defined in OMB Circular No. A-76.

Inter-Agency. Of or having to do with two or more governmental agencies.

Intra-Agency. Within the same governmental agency; however, the agency may not be located within the same area, district, city, etc.

Requiring Activity. The HQ DeCA staff element that identified the requirement for CAAS.

CAAS EXEMPTIONS

CAAS Exemptions. The following kinds of service or activities are exempted from the purview of this directive:

- A. Activities that are reviewed and/or acquired in accordance with the OMB Circular A-76, "Performance of Commercial Activities" program.
- B. Architectural and engineering services for construction and construction management services procured in accordance with the FAR, Part 36. Work not related to construction as defined by Part 36, and that meets the CAAS definition under existing architectural and engineering contracts, shall come under the purview of this directive.
- C. Day-to-day operation of facilities and housekeeping services and functions (i.e., building and grounds maintenance, and physical security).
- D. Routine maintenance of systems, equipment, and software; routine administrative services; printing services; and direct advertising (media) services.
- E. Initial training services acquired as an integral part of the procurement of weapon systems, automated data processing systems, equipment or components, and training obtained for individual professional development.
- F. Basic operation and management contracts for Government-owned, contractor-operated facilities (GOCOs). Any contract action meeting the CAAS definition in Appendix B, and procured under the GOCO basic contract, shall come under the purview of this directive.
- G. Clinical and medical services for direct health care.
- H. ADP and/or telecommunication functions and related services controlled in accordance with the FIRMR and reported in Budget Exhibit 43a, "Report on Information Technology Systems" (DoD 7110.1-M, "Department of Defense Budget Guidance Manual").
- I. ADP and/or telecommunication functions and related services exempted from FIRMR control pursuant to Section 2315 of Title 10 United States Code and reported in Budget Exhibit 43a, "Report of Information Technology Systems," of DoD 7110.1-M, "Department of Defense Budget Guidance Manual."
- J. Services supporting the policy development, management, and administration of the Foreign Military Sales Program that are not paid for with funds appropriated by the U.S. Congress. (Includes CAAS funded with appropriated funds and reimbursed by the foreign customer.)
- K. Services (i.e., systems engineering and technical services) acquired by or for a program office to increase the design performance capabilities of existing or new systems; or where they are integral to the logistics support and maintenance of a system or major component and/or end item of equipment essential to the operation of the system before final Government acceptance of a complete hardware system.

Care must be exercised to avoid exempting services acquired to advise and assist the program offices and/or manager for program and/or contractor oversight and administration processes, resource management, planning and programming, milestone and schedule tracking, or other professional or administrative services necessary in performing its mission.

L. Research on theoretical mathematics and basic medical, biological, physical, social, psychological, or other phenomena.

M. Auctioneers, realty-brokers, appraisers, and surveyors.

N. Services procured with funds from the Defense Environmental Restoration Account.

(LETTER HEAD)

(OFFICE SYMBOL)

(DATE)

MEMORANDUM THRU: DEFENSE COMMISSARY AGENCY DIRECTOR, RESOURCE
MANAGEMENT, ATTN: →RMMM← →*IMpulse*, Mar/Apr 96←

FOR: DEFENSE COMMISSARY AGENCY CONTRACTED ADVISORY
AND ASSISTANCE SERVICES (CAAS) DIRECTOR

SUBJECT: Study: (Title of study for contract service)

PURPOSE. State the purpose of the study directive (e.g., This directive provides for the establishment of an ad hoc study group to conduct subject study and provide recommendations to DeCA Comptroller.)

BACKGROUND. (Provide in this paragraph, or attach as enclosures to the document, the following information:)

- a. Indication that the Statement of Work (SOW) is attached/enclosed.
- b. Description of problem or reason for service. Include past or ongoing actions to resolve the issue.
- c. Objectives of the effort. Include summaries of the proposed tasks and anticipated products. Indicate that detailed descriptions of tasks are in the SOW (Attachment 1).
- d. Explanation of how the service supports the mission of the agency.
- 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 conducting a literature search. Essential in this process is a review of proper reference material. List the references needed by the addressees to initiate action on the study. Each reference will be placed in a separate subparagraph. References are: (a) administrative and procedural, such as DeCAD 70-14, and (b) substantive, such as memorandums, directives, and studies which may furnish input to the study being directed. Such a review ensures that a valid requirement for the effort exists, enables the objectives and scope to be refined, and prevents duplication.
- f. Certification that the service, is not an inherently governmental function, cannot be performed in-house, or that contract performance is more cost effective.
- g. Whether using other than full and open competition is planned; if so, proper justification is required.
- h. Description of control procedures, including--

the-- (1) Description of quantitative and qualitative measures that will be used to evaluate

(a) Progress of the contractor.

(b) Quality and effectiveness of the final results and products.

(2) Name, organization, and telephone number of requiring activity's study sponsor (POC) and the requiring activity's study director.

(3) Whether a Contracting Officer's Representative(s) (COR) will be nominated; if so, and if the proposed COR is different from the POC then the COR's name, organization, and telephone number.

(4) Proposed organizational makeup of progress review group.

(5) Milestone schedule, including schedules for progress review meetings.

i. Anticipated total cost, with detailed cost estimate if available and estimated cost savings or other benefits expected from implementation of study results. If no cost savings can be determined, nonquantifiable benefits must be described as a minimum.

j. Statement that funds are available, with identification of funding appropriation and applicable Element Of Resource (EOR).

k. Recommendation of the appropriate Federal Supply Class Code.

COORDINATION. The requirement for the proposed contract has been coordinated with: (List organizations and offices).

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

APPROPRIATE SIGNATURE BLOCK

Attachment/Enclosure(list)
COPY FURNISHED:

SAMPLE MANAGEMENT DECISION DOCUMENT

STATEMENT OF WORK (SOW) FORMAT

(TYPE 0 THRU TYPE V)

1.0 **SCOPE.** This section includes a brief statement of what the SOW does and does not cover. The scope paragraph defines the breadth and limitations of the work to be done. For Types 0, I, & V, some background information may be helpful to clarify the needs of the procurement. The items listed below **shall not** be included in the "Scope" section:

- a. Directions to the contractor to perform work tasks.
- b. Specification of data requirements.
- c. Description of deliverable products.

1.1 **BACKGROUND.** Background information should be limited to only that information needed to acquaint the proposer with the basic acquisition requirement.

1.2 Where preliminary studies involving systems analyses, preliminary cost effectiveness, or trade off studies are to be contracted, there are certain distinctive elements of information to be included in the SOW. These can be included in either the introduction or background description of the Scope in Section 1.

1.2.1 These areas are as follows:

- a. *Statement of the problem(s).* A brief description and background of the problem(s) to be solved, and a succinct discussion of the need giving rise to this requirement.
- b. *System description.* A short functional description of the overall system. If practicable, a pictorial representation that will quickly orient the reader to the desired system and the proposed use should be considered for inclusion in this Section of the SOW.
- c. *Major milestones.* A graphic display of major program milestones should be included in the background information.

2.0 **APPLICABLE DOCUMENTS.** References only the minimal applicable specifications and standards pertinent to the tasks. Selectively invokes documents only to the extent required to satisfy the existing requirements. (The tailoring of reference document requirements should result in a reduction to the overall costs otherwise incurred if all requirements stated in a document are invoked.) All documents invoked in the requirements section of the SOW must be listed in this section by document number and title. These documents may include Standards, Specifications and other reference documents needed to identify and clarify the work task or deliverable product. However, DoD and Departmental Instructions are provided to control in-house work effort and shall not be used in the SOW to control contractor effort. Also, any document listed in this section must be invoked and selectively tailored to meet minimal needs of the planned procurement in the requirements section.

2.1 Specifications, Standards and Handbooks. Military handbooks, government instructions, service regulations, technical orders, and policy letters, as a type, are not written in language suitable for contract application. In the event requirements of these documents must be included in a SOW task, excerpts only shall be used and then be made a declarative or the document shall be clearly referenced as guidance only, and not for contract compliance. Cites only the minimal applicable specification and standards, in whole or in part, and is tailored or scoped downward to limit cost drivers.

2.2 Other Government Documents, Drawings and Publications. References and copies of specifications, standards, handbooks, drawings, and publications required by manufacturers/contractors in connection with specific acquisition functions should be obtained from the contracting activity or as directed by the contracting officer.

3.0 **REQUIREMENTS.** The arrangement of technical tasks and subtasks within the Requirements section will be dictated by program requirements. If a WBS is being used in the program, tasks should be arranged in accordance with that WBS. It may be helpful to have a general task to orient the planning and use of the subsequent subtasks. The following outline is a generalization. Care should be exercised to scope the program tasks to meet only the minimal needs for the phase SOW or requirements.

3.1 General. Specific work tasks are called for in SOW Section 3. These tasks, developed to satisfy program needs, are essentially the contractor work requirements. Coordination of the contracting officer and the requiring activity are necessary for the examination of SOW requirements in order to eliminate nonessential requirements; such examinations may be accomplished during development of the SOW. Specifies requirements clearly to permit the government and offerors to estimate the probable cost and the offeror to determine the levels of expertise, manpower, and other resources needed to accomplish the task.

3.2 Detail Tasks. States the specific duties of the contractor in such a way that the contractor knows what is required and completes all tasks to the satisfaction of the contract administration office. Written so specifically that there is no question of whether the contractor is obligated to perform specific tasks. Separates general information from direction so that background information and suggested procedures are clearly distinguishable from contractor responsibilities.

3.2.1 Control Procedures. Describe the means that will be used to maintain quality control.

a. Reviews. Indicate if progress review meetings will be used.

b. Reporting. Specify that the contractor must submit written progress reports to the contracting officer (and COR if used) and the frequency of the reports (e.g., monthly, bimonthly, quarterly). Specify the desired contents of the reports, such as technical progress and fund expenditure.

3.2.2 Government-Furnished Support. Specify facilities (and location), equipment, data, documents, computer software and hardware, and other materials that will be made available for contractor use, and the time schedule.

3.2.3 System Engineering.

- a. Technical studies - including life cycle costs.
- b. System effectiveness planning, for example, reliability, maintainability,
and human factors.

MANAGEMENT EVALUATION

SUBJECT: Title

1. **Purpose.** State the purpose of the effort.
2. **Chronology.** Provide the milestone dates and summary of actions accomplished.
3. **Basic Information.** Provide the following information:
 - a. Requiring Activity.
 - b. COR and/or requiring activity representative--name, organization, and phone number.
 - c. Contractor--organization name and address, POC name.
 - d. Contracting Officer--name and organization.
 - e. Contract--
 - (1) Number.
 - (2) Date of award.
 - (3) Date completed or terminated.
 - (4) Final total cost.
4. **Major Problems Encountered.** List.
5. **Major Achievements.** List.
6. **Results.** List the results. Describe the benefits to the Agency from having conducted the effort. In general, the value received from the expenditure of resources may be judged by the benefits derived from the effort. Therefore, special care must be taken to describe the present and anticipated benefits. When possible, cost savings or cost avoidances accruing to the Agency should be addressed. If definitive cost data cannot be used, well-thought-out quantitative or qualitative measures should be used to describe the benefits. Such benefits should be expressed in simple language easily understood by nontechnical personnel.
7. **Evaluation.**
 - a. Contractor--

- (1) Performance.
 - (2) Product.
 - b. Overall management of effort by this Agency.
8. **Lessons Learned.** List.
9. **Implementation of Results.** Provide the names of the agency division/office/ or commissary implementing the results, the implementation dates, principal milestones, and the action accomplished or products to be provided or published.
10. **Information Reports.** Date final DD Form 1498 (Research and Technology Work Unit Summary) for studies, analyses, and evaluations (SAEs) was submitted to Defense Technical Information Center (DTIC) or the Defense Logistics Studies and Information Exchange (DLSIE).
11. **Final Report.** Date copy of final report for SAEs was submitted to DTIC/DLSIE, and their accession number of the report.

RESEARCH AND TECHNOLOGY WORK UNIT SUMMARY						1. AGENCY ACCESSION	2. DATE OF SUMMARY	REPORT CONTROL SYMBOL	
3. DATE PREV SUM'RY	4. KIND OF SUMMARY	5. SUMMARY SCTY	6. WORK SECURITY	7. REGRADING	8. DISB'N INSTR'N	9. LEVEL OF SUM A. WORK UNIT	DD-DR&E(AR) 636		
NA	A. NEW	U	U		DP	A			
10. NO./CODES:		PROGRAM ELEMENT	PROJECT NUMBER	TASK AREA NUMBER	WORK UNIT NUMBER				
a. PRIMARY		O&M000	000000000000	00	HQCAAA-2080-2001				
b. CONTRIBUTING									
c. CONTRIBUTING									
11. TITLE (Precede with Security Classification Code) (U) Analytical Support for Verification and Validation of DeCA Bill Paying Processes for Subsistence/Resale.									
12. SUBJECT AREAS									
000400 Administration and Management 005100 Documentation.									
13. START DATE		14. ESTIMATED COMPLETION DATE		15. FUNDING ORGANIZATION		16. PERFORMANCE METHOD			
92 06		94 10		DD		B. Contract			
17. CONTRACT/GRANT					18. RESOURCES ESTIMATE				
a. DATE EFFECTIVE 920615		EXPIRATION 941031		FISCAL YEARS		a. PROFESSIONAL WORKYEARS		b. FUNDS (In thousands)	
b. CONTRACT/GRANT NUMBER DeCA00-92-P-3333				92		0.0		0	
c. TYPE J		d. AMOUNT \$50,000		93		0.4		\$50	
e. KIND OF AWARD NEW		f. CUM/TOTAL \$50,000							
19. RESPONSIBLE DOD ORGANIZATION					20. PERFORMING ORGANIZATION				
a. NAME					a. NAME				
DEFENSE COMMISSARY AGENCY					ABC CORPORATION				
b. ADDRESS (include zip code)					b. ADDRESS				
1300 E Avenue					P.O. BOX 1220				
Fort Lee, VA 23801-1800					MIDDLE GAP, VA 23800				
c. NAME OF RESPONSIBLE INDIVIDUAL					c. NAME OF PRINCIPAL INVESTIGATOR				
Peters V., LTC, Sponsor's Study Director					Smith, G., Dr. (ABC Corp.)				
d. TELEPHONE NUMBER (include area code)					d. TELEPHONE NUMBER (include area code)				
(804) 733-8764					(804) 216-4773				
21. GENERAL USE									
MILITARY/CIVILIAN APPLICATION: M					e. NAME OF ASSOCIATE INVESTIGATOR (if available)				
					Doe, J.				
					f. NAME OF ASSOCIATE INVESTIGATOR (if available)				
					Jones, K.				
22. KEYWORDS (Precede EACH with Security Classification Code)									
(U) DECA (U) BILL (U) PAYING									
23. TECHNICAL OBJECTIVE 24. APPROACH 25. PROGRESS (Precede text of each with Security Classification Code)									
23. (U) Improve quality and timeliness of DeCA's bill paying processes for commissary subsistence/resale purchases, enhance the existing bill paying processes and provide oral and written recommendations on both short and long term solutions.									
24. (U) Provide independent analytical support services to examine and evaluate overall bill paying project status. Provide weekly oral inprocess reviews evaluating tasks accomplished, overall project status, and recommended solutions to unresolved issues. Provide an oral preliminary status report with a written summary to DeCA Director on level of accomplishment and current condition of the bill paying backlog. Provide a final written summary report addressing overall results of the review and analysis of the bill paying function and related processes, as well as conclusions and recommendations.									
25. (U) None.									

REPORT DOCUMENTATION PAGE			Form Approved OMB No. 0704-0188	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188), Washington, DC 20503.				
1. AGENCY USE ONLY (Leave blank)	2. REPORT DATE April 21, 1994	3. REPORT TYPE AND DATES COVERED Independent Analytical Support Services		
4. TITLE AND SUBTITLE Analytical Support for Verification and Validation of DeCA Bill Paying Processes for Subsistence/Resale.		5. FUNDING NUMBERS C: DeCA-00-92-P-3333 PE: O&M WU: HQCAA-2080-2001		
6. AUTHOR(S) Peters, Doris V., LTC.		7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) DEPARTMENT OF DEFENSE DEFENSE COMMISSARY AGENCY ATTN: INVOICE & ACCOUNTS DIVISION FORT LEE, VA 23801-6300		
8. PERFORMING ORGANIZATION REPORT NUMBER DECA-I&AD920601		9. SPONSORING/MONITORING AGENCY NAME(S) AND ADDRESS(ES) SAME AS ITEM 7		
10. SPONSORING/MONITORING AGENCY REPORT NUMBER DeCA-RMFM920001		11. SUPPLEMENTARY NOTES		
12a. DISTRIBUTION/AVAILABILITY STATEMENT E - Contains preliminary or internally controlled information or information on planning, funding, or evaluation of DoD programs, systems, studies, or technologies that warrant protection from premature disclosure.		12b. DISTRIBUTION CODE		
13. ABSTRACT (Maximum 200 words) <p>The contractor provided weekly and in-process reviews which provided an evaluation of tasks accomplished, overall project status, and recommended solutions to unresolved issues. Interim and end of contract reports were also furnished. The written reports show his independent analytical services to (a) improve the quality and timeliness of DeCA's bill paying processes for commissary subsistence/resale purchases, and (b) enhance the existing bill paying processes with recommendations for both short and long term solutions. The contractor developed initial concepts for DeCA's Financial Management Improvement Plan. The contractor provided useful advice on development of DeCA's 'Industry's Guide to Bill Paying Process,' and its Addendum No. I, and recommendations better procedures. The report references the contractor's development of concepts for DeCA's Bill Paying Improvement Plan, including 27 major actions, progress monitoring, and management of updates. He developed a Sales versus Invoices Paid model that put parameters on the duplicate payments problem. The contractor provided useful advice/input to various congressional inquiries and Department of Defense Inspector General Management Assistance Memorandums about DeCA's bill paying problems.</p>				
14. SUBJECT TERMS DeCA Bill Paying.		15. NUMBER OF PAGES 26		16. PRICE CODE
17. SECURITY CLASSIFICATION OF REPORT UNCLASSIFIED	18. SECURITY CLASSIFICATION OF THIS PAGE UNCLASSIFIED	19. SECURITY CLASSIFICATION OF ABSTRACT UNCLASSIFIED	20. LIMITATION OF ABSTRACT SAR	

NSN 7540-01-280-5500

Standard Form 298 (Rev. 2-89)
Prescribed by ANSI Std. Z39-18
298-102

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The Report Documentation Page (RDP) is used in announcing and cataloging reports. It is important that this information be consistent with the rest of the report, particularly the cover and title page. Instructions for filling in each block of the form follow. It is important to *stay within the lines* to meet optical scanning requirements.

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C - Contract	PR - Project						
G - Grant	TA - Task						
PE - Program Element	WU - Work Unit Accession No.						

TASK: Comptroller/Resource Management

SUBTASK: Contracted Advisory and Assistance Services

THIS CHECKLIST: DeCA Contracted Advisory and Assistance Services

ORGANIZATION:

ACTION OFFICER:

REVIEWER:

DATE COMPLETED:

ASSESSABLE UNIT: The assessable units are HQ DeCA, Directorate of Resource Management, Directorate of Information Resources Management, and →Operations Support Center Acquisition Business Unit (ABU)←. Each test question is annotated to indicate which organization(s) is (are) responsible for responding to the question(s). Assessable unit managers responsible for completing this checklist are shown in the DeCA MCP. →*IMpulse*, Mar/Apr 96←

EVENT CYCLE 1: Acquiring and Managing Contracted Advisory and Assistance Services (CAAS)

Step 1: Develop and administer the CAAS program.

Risk:

1. Responsibility for identifying and reporting CAAS will not be assigned.
2. a. Guidelines for the identification, acquisition, and managing of CAAS will be unclear and will not be known.
- b. CAAS resources will not be used for the purpose identified in the CAAS operating plan.

Control Objective: Develop CAAS guidelines, procedures, and assign CAAS responsibilities.

Control Techniques:

1. Designate CAAS Director.
2. a. Develop directive to govern the management of CAAS.
- b. Disseminate additional information or guidance as it becomes available.

Test Question:

1. Has a CAAS Director been designated? (**HQ DeCA/RM**)

Response: YES ___ NO ___ NA ___

Remarks:*

2.a.(1) Is there a directive or other guidance document? **(HQ DeCA/RM)**

Response: YES ___ NO ___ NA ___

Remarks:*

(2) Does the document include responsibilities for the CAAS Director? **(HQ DeCA/RM)**

Response: YES ___ NO ___ NA ___

Remarks:*

(3) Does the document include the CAAS guidelines and procedures? **(HQ DeCA/RM)**

Response: YES ___ NO ___ NA ___

Remarks:*

b. Is CAAS guidance/information distributed to subordinate organizations to keep them abreast of the CAAS? **(HQ DeCA/RM)**

Response: YES ___ NO ___ NA ___

Remarks:*

Step 2: Establish OPR for CAAS management controls at designated organizational levels.

Risk: Specific responsibility for ensuring adequate controls for functional area will not be assigned.

Control Objective: Assign responsibility for functional area in DeCA.

Control Technique: Designate specific office having primary responsibility for functional area at appropriate level.

Test Question:

Has a DeCA staff element been identified and designated as the OPR? **(HQ DeCA/RM)**

Response: YES ___ NO ___ NA ___

Remarks:*

Step 3: Training for the identification, acquisition, management and use of CAAS.

Risk: Requiring activity for CAAS requirements will not have the necessary knowledge or skills to identify, acquisition, manage, and execute the proper use of CAAS.

Control Objective: Appropriate personnel are trained in CAAS procedures, guidelines, and requirements.

Control Technique:

1. Identify personnel for training.
2. Develop training program to meet the needs of trainees.

Test Question:

1. Are personnel responsible for the CAAS program identified and scheduled for training?
(DeCA/RM,AM,IM,ESC)

Response: YES ___ NO ___ NA ___

Remarks:*

2.a. Has a training program (formal or informal) been established? **(HQ DeCA/RM)**

Response: YES ___ NO ___ NA ___

Remarks:*

b. Is feedback provided and used to revise/improve training for appropriate personnel and staff?
(DeCA/RM,AM,IM,ESC)

Response: YES ___ NO ___ NA ___

Remarks:*

EVENT CYCLE 2: Identifying and Reporting CAAS

Step 1: Establish procedures for identifying and reporting CAAS.

Risk:

1. Noncompliance with explicit requirements for CAAS and related directives of DoD and other regulatory guidance.
2. Underreporting of CAAS, unclear, conflicting, and inadequate guidance, and improper interpretation and application of the CAAS definition.

Control Objective: Directors of HQ DeCA staff organizations will submit memorandum request for CAAS consistent with OMB, DoDD 4205.2, DeCA Dir 70-14, and specific reporting guidance issued by DeCA.

Control Technique:

1. Requesting activity will define and identify the category of CAAS being procured and related responsibilities to DeCA/RM.
2. DeCA/RM will issue reporting instructions and monitor compliance.
3. Coordinate requests for funding, concurrence by OPRs, and approval by Director of CAAS prior to final action.

Test Questions:

1. Are procedures established for identifying and reporting CAAS? (HQ DeCA/RM)

Response: YES ___ NO ___ NA ___

Remarks:*

2. Is the OPR manager informed about procedures for identifying and reporting CAAS? (HQ DeCA/RM,AM,IM,ESC)

Response: YES ___ NO ___ NA ___
Remarks:*

3. Are requests for CAAS coordinated with the appropriate DeCA Staff prior to final action by the Director of CAAS?
(HQ DeCA/RM)

Response: YES ___ NO ___ NA ___
Remarks:*

EVENT CYCLE 3: Communications

Step 1: Keeping management informed.

Risk: Inadequate involvement and support of top management will jeopardize the success and importance of the CAAS program.

Control Objective: Top management will demonstrate an active role in monitoring the effectiveness of program implementation.

Control Technique: The director and senior OPR managers of the staff will receive periodic updates on CAAS requirements, plans, progress, and problems.

Test Question:

1. Are the directors and senior managers of the staff periodically informed of their responsibility and accountability of applicable managers; compliance with OMB, DoD Dir, DeCA Dir for Acquiring and Managing CAAS? **(HQ DeCA/RM)**

Response: YES ___ NO ___ NA ___
Remarks:*

*Explain rationale for YES responses or provide cross-references where rationale can be found. For NO responses, cross-reference to where corrective action plans can be found. If response is NA, explain rationale.

DeCAD 70-14 Appendix I January 29, 1993

I attest that the above-listed management controls provide reasonable assurance that DeCA resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the management controls for this subtask throughout DeCA are adequate.

Director, Resource Management
FUNCTIONAL PROPONENT

I have reviewed this subtask within my organization and have supplemented the prescribed management control review checklist when warranted by unique environmental circumstances. The controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses).

ASSESSABLE UNIT MANAGER
(Signature)