Department of the Army
Pamphlet 5–5

Management

Guidance for Army Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Representatives

Headquarters
Department of the Army
Washington, DC
1 November 1996

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SUMMARY of CHANGE

DA PAM 5–5
Guidance for Army Study Sponsors, Sponsor’s Study Directors, Study Advisory Groups, and Contracting Officer Representatives

This revision--

- Provides revised administrative procedures and assistance to Army managers and support personnel in the initiation and the performance of Army study efforts (paras 1-4 through 1-7).

- Includes guidelines for planning and managing Army study efforts (paras 2-4 through 2-15).

- Describes a methodology for choosing or developing models and simulations which are frequently used as analytical tools in conducting complex studies. Ensures that verification, validation and accreditation of all models and simulations is conducted (paras 3-1 through 3-4).

- Describes the role of the Study Sponsor during each study phase which includes providing management oversight of a study through initiation; validation; development and conduct; evaluation and implementation; and documentation and reporting (paras 4-2 through 4-7).

- Describes the role of the Sponsor’s Study Director during each study phase. Ensures that all phases of the study objectives are met (paras 5-1, and 5-3 through 5-7).

- Provides procedures for organizing a study advisory group and ensures that the project remains properly focused on the study objectives, scope, expected results, and the projected plan for implementation (paras 6-1 through 6-4).

- Explains the role of the contracting officer’s representative and addresses the functions of that position (paras 7-1 and 7-2).

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History. This publication is a revision of Department of the Army Pamphlet 5–5, which was issued on 1 April 1982. This publication has been reorganized to make it compatible with the Army electronic publishing database. No content has been changed.

Summary. This pamphlet provides administrative procedures and assistance to Army managers and support personnel in the initiation and the performance of Army study efforts. It has been revised to provide valuable guidance in planning and managing each phase of conducting an Army study from initiation, validation, development and conduct, and evaluation and implementation through documentation and reporting.

Applicability. This pamphlet is provided for use by all elements of the Active Army, the Army National Guard (ARNG), and the U.S. Army Reserve (USAR).

Proponent and exception authority. The proponent of this pamphlet is the Deputy Under Secretary of the Army (Operations Research) (DUSA(OR)). The proponent has the authority to approve exceptions to this pamphlet that are consistent with controlling law and regulation. The DUSA(OR) may delegate this authority in writing.

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Glossary

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Chapter 1
General

1–1. Purpose
The purpose of this pamphlet is to provide administrative assistance to Army managers and support personnel in the initiation and the performance of Army study efforts. This guidance is not intended to replace existing management procedures where those procedures offer equivalent management control.

1–2. References
Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms
Abbreviations and special terms used in this regulation are explained in the Glossary.

1–4. Overview
In accordance with Army Regulation (AR) 5–5, this pamphlet contains important information needed for conducting studies and analyses performed by in-house study organizations, by specially formed ad hoc study groups, and by contractual arrangements with outside organizations and individuals. See AR 5–5, chapter 2 and appendix B, for a description of studies within the scope of this pamphlet.

1–5. Phases of study conduct
In this pamphlet, individual study efforts are characterized in the following phases, as described in AR 5–5:

a. Initiation. This phase determines the need for a study effort.

b. Validation. This phase justifies the need for a study effort before actual work begins.

c. Development and conduct. This phase begins when the study organization begins the work and ends when the sponsor approves the final study report (or terminates the study).

d. Evaluation and implementation. This phase occurs upon completion of a study and determines if the study objectives have been achieved. The implementation phase will follow the evaluation and determine which results should be implemented.

e. Documentation and reporting. This phase involves documenting and submitting information reports and study products. It occurs before, during, and after the study effort.

1–6. Study management lessons learned
a. The success and utility of studies depends on how well persons responsible for the studies perform their management, monitorship, and administrative tasks. The more management attention given during all phases of a study effort, the higher the probability of success. On the other hand, those studies that receive minimal management attention are often those that provide unsatisfactory results.

b. Chapter 2 of this pamphlet provides factors and practices that influence the success of Army studies. These lessons have been derived from principles of good management practices in the conduct of studies. Management personnel should consider these factors, together with others, which might influence the quality and success of studies they are planning and managing.

1–7. Study contracts
a. AR 5–14 provides guidance for conducting studies using contractor support. Chapter 4 of AR 5–14 covers the details in managing Contracted Advisory and Assistance Services efforts over the life of a contracted study.

b. A study contract may be used when the following conditions are met:

(1) Study by an independent group is in the Government's best interest.

(2) Suitable in-house capability is unavailable or cannot be readily obtained in time to meet the needs of the Army organization, or it is not cost-effective to establish an in-house capability.

(3) The function being contracted for is not an inherently governmental function that must be performed in-house. See Office of Federal Procurement Policy Letter 92–1, dated 23 September 1992.

c. Contract studies should not be conducted as isolated activities. There must be command commitment to support the effort and ensure overall benefit from the study to the organization.

1–8. Contract funding for studies
a. Requirements for study activities are developed by Headquarters, Department of the Army (HQDA), and the major Army commands (MACOMs) each year and are reported as part of their combined program objective memorandum (POM)/budget estimate submission (BES) input.

b. Those contract studies that support research and development activities (such as research, technology exploration and development, systems and equipment analyses, and development efforts) including development and test of initial tactics and doctrine, should be budgeted with research, development, test and evaluation (RDT&E) funds. In those cases where a clear determination is not possible based on the above, the guideline will be to attempt to fund such studies in RDT&E if the sponsoring organization is a part of the research and development (R&D) community. In instances where a materiel system has reached the procurement stage and contract studies are required, funding is authorized from procurement funds. The study must be directly related to a specific item of equipment for which the procurement funds are authorized. All other contract studies should be budgeted in the operation and maintenance (O&M) appropriations.

c. Funds for in-house studies are budgeted in the appropriation that finances the organization conducting the study.

d. Fund requirements for automatic data processing (ADP) services and equipment in support of studies are included in the organization's ADP budget submission.

e. Fund requirements for studies to be performed by federally funded research and development centers (FFRDCs) are identified by the MACOMs and agencies as part of their combined POM/BES submissions. The amount of funding that may be provided to the FFRDCs each year is constrained by the Congress and allocated by Office of the Secretary of Defense (OSD). The Arroyo Center is the Department of the Army's (DA) FFRDC (see AR 5–21). Support for the Arroyo Center is controlled at HQDA by the Arroyo Center Policy Committee (ACPC). The ACPC executive agent, the director of the Program Analysis and Evaluation Directorate, provides instructions during the Planning, Programming, Budgeting, and Execution System cycle for programming and budgeting for FFRDC support.

1–9. Contract offloading
According to Army offloading policy, Army "requiring" activities shall obtain their acquisition support, including contracting support, from the Army or other Department of Defense (DOD) organization that is best equipped to satisfy that requirement in terms of technical capability, quality, cost (including administrative support costs) and timeliness (see app N). Heads of contract activities should have offloading procedures that promote advance planning and effective communication between customers and their supporting contracting office(s), including tracking of transactions; offloading procedures should integrate product and process management teams working on acquisition excellence solutions. Users/requiring activities should give their assigned supporting contracting office the opportunity to execute and manage significant procurement actions before they are offloaded to other Army activities.

Chapter 2
Important Considerations

2–1. Success factors
This chapter describes some important factors and practices which influence the success of Army studies. The following is not an

exhaustive list but provides valuable guidance in planning and managing Army study efforts.

2–2. Problem definition

Clear definition of the problem is the very foundation of a successful study. Although in rare cases, the problem may need to be defined during the study itself, waiting to define the problem during the performance of the study may result in defining a problem that the designated study group can readily solve, rather than the problem the decisionmaker needs help with. In some cases, a short ad hoc staff study may be necessary to define the problem adequately for formal study. The study problem should be clearly defined in the study initiation directive for in-house studies or the statement of work (SOW) for contract studies.

2–3. Measures of effectiveness

Measures of effectiveness (MOEs) should directly relate to essential elements of analysis (see para B–5*e*). An MOE is described as a quantitative description of the level of success achieved. The following loss exchange ratio (LER) is an example of an MOE: (LER = red losses/blue losses). Selection of the MOE is perhaps the most crucial part of any analysis. Poor problem definition will almost certainly lead to inadequate measures of effectiveness. This will result in misleading or incorrect conclusions. Even good problem definition does not guarantee good measures of effectiveness. Too often the measures used are those most easily generated by a model but not necessarily those most directly related to the real world variables being assessed.

2–4. Study management

a. The sponsoring agency and sponsor's study director (SSD) should be formally designated in study initiation documents and should be at least at the officer 0–4 or civilian General Schedule (GS) –13 level. The SSD, the key management individual, should be prepared to expend considerable time in providing overall sponsor-level guidance to the study. (See chap 5.)

b. The study advisory group (SAG) should have active, knowledgeable, and responsible representatives who can speak with authority for the head of the agency that they represent and can assist in review of the study initiation document. The SAG ensures the project remains focused on the study objectives, scope, expected results, and the projected plan for implementation.

c. There is no substitute for experienced, knowledgeable study team leaders and study analysts. A multidisciplinary team should be selected to meet the skill and experience requirements of the study.

d. Because solving problems is a learning process and one that frequently extends over a period of years, continuity of study personnel is essential.

2–5. Timeliness

The time provided to conduct a study should match the problem being addressed. In some urgent cases, incomplete results received on time are better than complete results received a week late. However, solid quality is usually more important than an exact schedule. Given the uncertainties of problem solving, planning should allow for schedule flexibility, rather than prescribing the time and accepting whatever results are available at that time. An exception is a level of effort or "term" study contract where the contractor agrees to dedicate specific personnel resources to study a problem for a set period of time.

2–6. Objectivity

Even the appearance of advocacy is to be avoided. Lack of objectivity tends to lower the credibility of all Army studies and deprives the Army of useful information that an objective study might produce. Decisionmakers may use other bases than a study to arrive at a decision or a recommendation to higher authority, but they should not allow themselves or their supervisors to be blindsided by a biased study.

2–7. Uncertainty analyses

A study can easily produce erroneous results through failure to consider the uncertainty of inputs. A study should define the range of conditions within which results remain valid. This is determined through systematic variation of inputs and assumptions.

2–8. Long-range planning

Many Army problems are of such complexity or novelty that successful resolution requires a series of studies over several years. These may start with data collection and model developments as major efforts in their own right and continue with separate but related studies about different parts of the overall problem. To be avoided is a process of random, inadequately prepared attempts with no plan to get to an eventual resolution. The result is the need to start over again the next year. The essential difference between a successful and an unsuccessful long-range plan is determination to reach a resolution of the problem rather than a determination just to study the problem. When an individual contract study effort is defined, historical and ongoing contract or in-house efforts related to the problem should be identified and analyzed to avoid duplication. This data should be synopsized in the background narrative of the SOW.

2–9. Interaction with decisionmakers

If the problem is significant enough to be addressed by a formal Army study, it is significant enough to command the attention of the responsible decisionmaker. This is important for a full understanding of the problem and for credibility and acceptance of results by the person who will use them. In general, study results cannot be reduced to a few numbers or to a "yes" or "no." Rather, the results form a better understanding of complex operations or relations, and these are best communicated through progressive direct interactions with the decisionmaker.

2–10. The whole context

Define how the study is related to other problems and situations. Results of a study frequently affect more than the immediate problem being addressed. Audiences other than the study sponsor may have vital interests in the outcome of the study.

2–11. In-process reviews

The frequent use of in-process reviews (IPRs) may result in a common complaint that too much time is required to prepare and present formal IPRs and interim study reports, detracting from the forward momentum of the study effort. All IPRs should be planned at appropriate phase-points when it is necessary to report on progress or obtain management guidance. The IPRs should be scheduled at the beginning of the study effort to permit coordinated advanced planning for each IPR.

2–12. Presentation of results

Study reports are often too lengthy. Clear, concise presentation of results should be the pride of every analyst. If the study report is too long, it may not be read. Too often, report writing is considered a bureaucratic task that is done after the real study is over. Writing the report is an integral part of the study and is a real test of the study team's understanding of what has been learned. The report serves as permanent physical evidence of what the study achieved and must be documented in the Defense Technical Information Center (DTIC). (See app M.)

2–13. Liaison and exchange of information

A continuing exchange of information is required between the study-performing team and the agencies and MACOMs affected by the study. This will ensure that up-to-date information is used. It will ensure that the study will be relevant to interests of the agencies and MACOMs and will help facilitate adoption of final study recommendations.

2–14. Analysis of alternatives

Alternatives are frequently identified and analyzed. It is tempting to

select a favorite alternative, present a comprehensive analysis of it, and provide less than a complete analysis of the other alternatives. Analysis of alternatives is meaningful only when each is given balanced treatment. It is also beneficial to develop criteria for the judgment of the alternatives, thereby permitting managers or other analysts to apply the same criteria to the various alternatives.

2–15. The final study report

Preparation and coordination of final study reports require more time and effort than usually envisioned. This frequently results in a heavy workload near the end of the study. Care should be taken in developing the study calendar to allow sufficient time for careful deliberate preparation and coordination of copies of a final report. The required number of copies of the final report are often underestimated. Once the report is printed, individuals and organizations not previously identified will need copies. Therefore, it is essential that copies are provided to DTIC to satisfy continuing requests. (See app M.)

2–16. External reviews

The best test of study quality, short of implementing the study recommendations and observing effects, is a review by qualified analysts outside the study agency and outside the proponent community. Study agencies should obtain external reviews of random samples of their studies.

2–17. Publication reviews and sponsor feedback

Thorough and objective internal pre-publication reviews of draft study products should be conducted by study agency peer analysts as well as by management personnel. Also, study sponsor feedback of information on strengths, weaknesses, and uses of the study results should be obtained.

2–18. Identification of completed studies

The integrity and identity of completed reports of studies should be preserved. The agency organizational label should be printed clearly as part of the report cover; the principal authors and significant contributors should also be displayed conspicuously on the cover of the report.

2–19. Implementation planning

Implementation planning should proceed concurrently with conduct of the study. Emerging study results approved by the sponsor may be implemented while the study is in progress. A final product of the study team, in addition to the usual study documents, should be an implementation plan with defined time-phased actions and assigned responsibilities. Responsibility for overseeing the implementation actions should be assigned to an official at a level of the organization that can effectively coordinate the implementation actions.

2–20. Evaluation

Sometimes it is only after a study has been completed that the problem is understood well enough to design a good study to solve it. This "Monday-morning quarterbacking" is valuable for deciding whether or how, to implement study results and for initiation of a follow-on study in the same area. Evaluation of a completed study should review the basic ingredients as follows:

a. Was the problem clearly defined?

b. Was it too narrow in scope to cover the important determinants or was it so broad that little depth of analysis was possible?

c. Were the objectives and essential elements of analysis appropriate to the problem? Were all of them completed? If not, why not?

d. Were the models or methods used adequate for the purpose? What else would have helped?

e. Were the available data adequate to get good results? Would it have been better to spend more time collecting data before doing the analysis? Exactly what better data should have been collected?

f. Within what range of variation of major inputs and assumptions are the results valid?

g. Are the results good enough to take action on? If not, why not?

h. Was the study group adequate for the job? What other skills would have been helpful?

i. If the study could be redone with unlimited resources, how should it be done?

2–21. Cost savings

One purpose of studies is to find ways of accomplishing Army missions more efficiently. For example, improved organizations may require fewer people, or improved equipment may reduce the number of items needed initially or as replacements. In some cases, cost saving is in the form of future costs avoided rather than actual costs reduced. In such cases, estimate the consequences if a study were not done. For example, a weapon system being studied may cost $1 billion with configuration options that depend on study findings varying by $8 million. Therefore, the potential savings are on the order of $8 million. Sometimes cost savings can be described only qualitatively. This is particularly true of policy and strategy studies and methodology or data studies in which particular applications or consequences are not yet defined.

Chapter 3
Models and Simulations

3–1. Models and simulations

a. Choosing or developing a methodology to help analyze a system is the most difficult part of a study. Careful review of available techniques and consultation with experienced analysts are important. Because of the complexity of military operations, models and simulations are frequently used as analytical tools. Considerable preliminary analysis of key issues and assumptions regarding the candidate model or simulation is needed to represent the key factors and make the necessary distinctions.

b. Army policy (AR 5–11) requires verification, validation, and accreditation (VV&A) of models and simulations (M&S) used in support of a major Army decision process. Army studies support major Army decision processes; thus any M&S used in a study must undergo VV&A, regardless of the M&S developer (Government, contractor, or FFRDC). Each study is unique, and VV&A procedures should be uniquely tailored to each specific study. The procedures selected depend on the criticality of the M&S results, the complexity of the M&S selected, and the VV&A resources available. (See DA Pam 5–11.)

3–2. Verification

Verification is the process of determining that M&S accurately represent the developer's conceptual description and specifications. Verification methods include logical verification (documentation review, design walk-throughs, and design-requirements comparison) and code verification (sensitivity analyses, code walk-throughs, automated test tools, mathematical stability across platforms, peer review, and statistical test designs).

3–3. Validation

Validation is the process of determining the extent to which M&S are an accurate representation of the real world from the perspective of the intended use of the M&S. Validation methods include structural validation (examination of assumptions, M&S architecture review, algorithm review, sensitivity to inputs, real-world functionality, balance of representations, fidelity, and consistency) and output validation (comparison to real-world data, historical data, test results, exercise results, and other M&S results).

3–4. Accreditation

Accreditation is an official determination by management that M&S are acceptable for a specific purpose. The SSD is usually the person who accredits M&S for the study. Accreditation should be a formal decision based on sound verification and validation principles. Any

use of the M&S results in a study is de facto accreditation; however the preferred method of accreditation involves a determination before use that the M&S are appropriate for the study. For more detail on verification, validation, and accreditation, refer to DA Pam 5–11.

Chapter 4
Study Sponsor

4–1. Role of the study sponsor

a. Individual studies are sponsored by commanders and managers of organizations throughout the Army. The study sponsor (SS) is the head of a Headquarters, Department of the Army (HQDA), organization or the commander of a MACOM responsible for a study. The study requirement may have been originated by a higher or lower authority. The SS validates the need for the study and provides for management oversight of the study effort. The SS's overall objectives are—

(1) To achieve the best product consistent with resources expended.

(2) To ensure that the study results fulfill the Army's requirements.

(3) To ensure that study results are implemented on a timely basis.

b. The SS may organize a SAG, as described in AR 5–5, paragraph 5–4, and amplified in chapter 6 of this pamphlet. The SAG will provide advice and assistance to the SS, contracting officer, and the study performing organization. It is recommended that a SAG be convened for all studies conducted in support of the program objective memorandum development, to include Total Army analysis and value added analysis.

c. The study requirement may originate outside the sponsoring organization. The SS may or may not be the decisionmaker on results of the study. In such cases, the SS establishes and maintains close contact with the originator and the ultimate decisionmaker. This is to assure clear initial understanding of the problems and constraints, and that the final study objectives are met.

4–2. Study sponsor's functions

The actions that the SS performs during each of the study phases (study initiation, validation, development and conduct, evaluation and implementation, and documentation and reporting) are described below.

4–3. Initiation

The SS—

a. Establishes a need for the study relating planned results to solutions of Army problems.

b. Appoints an SSD for the study (O–4, GS–13, or higher). The SSD may serve as chairperson of the SAG.

c. Provides guidance to the SSD during definition of the study problem and objectives. If the review indicates a need for the study, then a more detailed initiation directive or SOW will be prepared. Provides for a literature search to ensure that a valid requirement for the effort exists and that there is no unnecessary duplication.

d. Organizes a SAG, if deemed necessary, and convenes the SAG early enough to assist in review of the other study documentation.

4–4. Validation

The SS—

a. Approves the initiation study directive (format of this document may be found in app B) or other management approval document used by your command for in-house studies. This approval authority for in-house studies may be delegated to subordinate commanders or managers.

b. Obtains approval of the management decision document (MDD) (a sample MDD is located in app F), with SOW for contract studies in accordance with AR 5–14, paragraph 4–3.

c. Ensures the MDD for any study over $250,000 is forwarded to the Army Study Program Management Office for approval.

d. For contract studies, nominates a contracting officer's representative (COR). This responsibility may be delegated to managers or commanders of subordinate organizations.

4–5. Development and conduct

The SS—

a. Monitors study progress through formal progress reviews, in process reviews, and informal discussions with the SSD.

b. Reviews and approves all SAG meeting minutes.

c. Requests termination of a study contract prior to the scheduled completion date when appropriate. Termination may be appropriate when it is clear that study objectives are unattainable, the study issues are no longer relevant, or the questions are answered through some other means.

4–6. Evaluation and implementation

The SS—

a. Approves findings and recommendations of the study or, as appropriate, forwards for approval by higher authority. In addition, the SS reviews and approves an evaluation of the contractor performance and product 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.

b. Provides for implementation of study results; initiates implementation plan when appropriate.

c. Monitors the implementation plan through completion.

4–7. Documentation and reporting

The SS will certify completion of all documentation and reporting as stated in paragraph 5–7 of this pamphlet.

Chapter 5
Sponsor's Study Director

5–1. Role of the sponsor's study director

The sponsor's study director (SSD) is a member of the study sponsor's organization. The SSD is appointed by the SS and is responsible for ensuring that the study objectives are met. The grade of the SSD is commensurate with the importance of the study effort but should be at least at the level of officer O–4 or civilian GS–13. A higher rank or grade person is preferable in order to secure the necessary support for the study. When a SAG is organized for the study, the SSD may serve as the SAG chairperson (see chap 6 for an explanation of SAG functions). The SSD represents the SS in establishing the requirement for the study. The SSD also provides technical direction for the SS to the organization performing the study and guidance to the SAG and COR. The SSD may be assisted in the performance of his or her functions by additional staff action officers and analysts.

5–2. SSD functions

The SSD ensures that the study objectives are met, represents the SS in establishing the requirements for the study, provides technical direction for the SS, and performs actions during each of the following study phases described below.

5–3. Initiation

a. Define the study problem and objectives. A study directive may be used (format can be found in app B) or the problem and objectives may be defined during preparation of the MDD and SOW.

b. Determine when study results are needed, end products desired, and potential uses of the products.

c. Perform preliminary literature search.

d. Determine if the study should be accomplished in-house or by contract. If a contract is needed, recommend whether competitive or noncompetitive acquisition is appropriate. (See AR 5–14, para 4–3*b*,

for specific guidance.) In certain cases, the study-performing agency will be directed to prepare a study plan for the overall study effort. At this time a determination will be made as to whether a contract will be required.

e. Maintain a positive and responsive working relationship with the SS. Ensure an understanding of the delegation of authority to the SSD.

f. Arrange an appropriate schedule of meetings with the SS to provide information on the study progress as required.

g. Initiate a file of record for the study.

5–4. Validation

a. Review applicable portions of AR 5–5 pertaining to individual studies.

b. Develop justification for the study through the following:

(1) Identify potential uses for anticipated study results.

(2) Estimate, if possible, potential cost and personnel savings. These estimates may be used to help justify the need for the study. These savings may be estimated as accurately as possible from available data, for example, possible savings from eliminated equipment or personnel spaces or from differences between costs of current processes and replacement processes. The estimates may include future costs avoided or actual costs reduced.

(3) Estimate the cost of conducting the study by fiscal year.

c. Conduct a thorough literature search. Instructions for conducting the literature search can be found in paragraph M–2. For additional guidance see AR 5–5, paragraph 5–5*c*(3), and AR 5–14, paragraph 4–3*a*. A literature search will assist the SSD in becoming familiar with related studies.

d. Prepare a study authorization document:

(1) For a contract study, prepare a SOW and MDD (see AR 5–14, fig 4–1 and fig 4–2). For all HQDA contract studies and for any MACOM contract studies that cost over $250,000, forward SOWs and MDDs through the Army Study Program Management Office for approval by the Deputy Under Secretary of the Army (Operations Research) (DUSA(OR)). (See AR 5–5, para 5–5*c*(5), and AR 5–14, para 4–3*f*, for management approval authority guidance.)

(2) For an in-house study, prepare a study directive or other suitable management approval document (see app B for preparation format). Obtain approval of the SS or delegated approving official.

e. Prepare contracting documents for a contract study to ensure that the contracting documents and procedures described in subparagraphs (1)-(9) and (14) below are prepared in coordination with the contracting officer. In cases where in-house study agencies are to use a contract, the contract documents may be prepared by the study agencies. These documents should be protected from unauthorized release by appropriate markings or classification. FOR OFFICIAL USE ONLY is normally used as a minimum.

(1) The approved MDD including a SOW and other materials provided with or attached to the MDD that are needed by the contracting officer.

(2) Independent Government estimate (see app D for preparation instructions).

(3) Justification for other than full and open competition if applicable (see Army Federal Acquisition Regulation Supplement, subpart 53.9004, part 53 - Forms; see app O).

(4) If known, provide a list of recommended sources, to include the names and addresses of the potential contractors with known capability to perform the task.

(5) Guidelines and criteria for proposal evaluation, where applicable, composed of evaluation factors, factor weights, and evaluation score sheet. (See app E for example.)

(6) Patent checklist when conducting R&D study. (See Federal Acquistion Regulation (FAR) 4.8.)

(7) Use Department of Defense (DD) Form 254 (Contract Security Classification Specifications) when prime contractors require access to classified information. (See app G for instructions.)

(8) The DD 1423 (Contract Data Requirements List) when required. Include applicable data item descriptions to the contract data requirements list. (See DFARS 204.7105 (a)(6).)

(9) Letter of appointment of contract proposal evaluation panel. (See app H for a sample letter.)

(10) Request that agencies and MACOMs provide SAG members and observers. (See app J for sample request memorandum.)

(11) Prepare SAG membership roster.

(12) Identify points of contact in other organizations having a clear functional interest in the study topic who can provide assistance and expertise.

(13) Make arrangements to provide input data required by the study-performing organization.

(14) Ensure that a contract proposal evaluation panel is convened. Ensure that the evaluation of proposals is provided to the contracting officer to assist in negotiations and for source selection and award of the contract.

5–5. Development and conduct

a. The study plan is usually prepared by the study-performing organization. If a study directive has been published, the plan must be prepared in accordance with guidance in the directive.

b. Develop a preliminary plan for implementation of anticipated study results as appropriate. This preliminary implementation plan may be a part of the study plan.

c. Coordinate a review of the study plan and obtain management or command approval.

d. Become familiar with the study methodology, for example, techniques, games, and models being used. (See chap 3 for guidance on the use of M&S.)

e. When appropriate, ensure that threat-related studies are conducted in accordance with AR 381–11.

f. If selected for the SAG chairman position, perform SAG chairperson functions described in paragraph 6–3.

g. Monitor the progress of the study through frequent contact with the study-performing organization.

h. Direct the conduct of formal progress reviews to inform the SS on progress of the study.

i. Continuously provide SAG and the study-performing organization with necessary information on policies, projects, trends, and so forth that potentially influence the study effort.

j. Consider options and methods for implementation of the study results concurrently with study effort. Refine implementation plan.

k. Ensure that unapproved deviations from study objectives are not made.

l. Reorient or modify studies only after careful consideration of additional costs and time constraints. For contract studies, this must be accomplished through the contracting officer, after receiving management or command approval for the modifications. (See AR 5–5, para 5–5*c*(5), and AR 5–14, para 4–3*f*, for management approval authority guidance.)

m. Review fund status monthly or when an appropriate milestone, level of effort, or study phase has been completed.

n. Ensure that the Work Unit Information System (WUIS) worksheet is prepared and forwarded at appropriate times to the DTIC. (See app K for worksheet preparation instructions.)

5–6. Evaluation and implementation

a. Direct a review of draft study documents by the SAG when appropriate.

b. Coordinate review of draft study documents with interested agencies and MACOMs.

c. Evaluate results of reviews and direct actions to resolve issues.

d. Determine the extent to which study objectives have been achieved.

e. Evaluate the management of a contract study, including lessons learned during conduct of the study, and prepare a study management evaluation in accordance with AR 5–14, paragraph 4–5*c*.

f. Provide feedback to the study-performing organization relative to the organization's performance and study product.

g. Submit study findings and recommendations to the SS for approval.

h. Communicate study results to all affected organizations.

i. Validate or revise implementation plans that relate to or influence the study effort.

j. Coordinate execution of the implementation plan. Ensure that appropriate follow-up actions are taken.

5–7. Documentation and reporting

a. Ensure the preparation of final study reports.

b. Ensure that the first page of the final study report (next under the report cover) is a completed Standard Form 298 (Report Documentation Page). An example format can be found in appendix L.

c. Ensure assignment of an appropriate security classification for completed study reports.

d. Ensure that proper information is printed on the cover of each study report. The cover page is prepared for each document, identifying as a minimum the sponsoring organization (including office identification and location), the responsible person within the organization, and a disclaimer statement such as— "The views, opinions, and findings in this document are those of the author(s) and should not be construed as official DA position, policy, or decision, unless so designated by other official documentation."

e. Ensure that sufficient copies of the final report are prepared and that a distribution list is provided to the study-performing organization.

f. Ensure that two copies of each final report are forwarded to the National Security Agency/Central Security Service (NSA/CSS) or to the DTIC. (See app M.)

g. Ensure that one copy of each final report is forwarded to the Pentagon Library. (See app M.)

h. Ensure that two copies of the final logistics study reports are forwarded to the Defense Logistics Studies Information Exchange (DLSIE). (See app M for address.)

i. Ensure that the final WUIS worksheet is prepared and forwarded to NSA/CSS or DTIC. (See app K for preparation guidance.) Ensure that an evaluation of the results of the study effort are included on the WUIS.

j. Ensure that proper and current information is forwarded electronically to the Army Study Program Management Office. These data will be maintained in the Army Information on Models, Simulations, and Study System (AIMSSS) database. (See app M for guidance.)

Chapter 6
Study Advisory Group

6–1. Role of the study advisory group

a. A study advisory group (SAG) is organized by the sponsor of a study. The SSD may serve as the SAG chairperson. When only one agency is involved, the SSD may perform the functions of the SAG.

b. The primary role of the SAG is to provide advice and assistance to the sponsor, contracting officer, and the study performing organization. The SAG assists in making sure that the project remains properly focused on the study objectives, scope, expected results, and the projected plan for implementation. The SAG members also help with coordination during the application and evaluation phase of the study.

c. The SAG convenes early enough to assist in meeting prescribed requirements for planning and monitoring performance of the study effort in accordance with study objectives. For example, the SAG may assist in review of study concept papers, study plans, SOWs, and study directives.

6–2. Composition of the SAG

a. The SAG consists of a chairperson, SSD, recorder, members, and observers, as appropriate. When contract studies have a separate COR, the COR may also be a member (see chap 7 for elaboration of COR functions). Other members include representatives from agencies and MACOMs that have a clear functional interest in potential results of the study or can provide expert guidance or assistance. For HQDA-sponsored studies, SAG membership will be determined by the SS and will be dependent upon the level of the study and the interest in it. When a MACOM organizes a SAG, the MACOM will invite HQDA membership, as appropriate, to obtain HQDA points of view.

b. Members of the SAG should be available to participate through completion of the study. The continuity of SAG members is essential in order to provide high quality advice and assistance for the study efforts. Bringing new members up-to-date results in loss of time and may result in unnecessary changes in study emphasis and areas of interest.

6–3. SAG chairperson functions

The SAG chairperson, generally the SSD, performs the actions shown below. Instructions for preparing these documents and related SAG documents can be found in appendix J.

a. Validation.

(1) Schedule the first SAG meeting and prepare the agenda; notify SAG members and provide the agenda.

(2) Ensure that documents to be approved during the next meeting are provided to the SAG members far enough in advance for a thorough review.

(3) Schedule, convene, and conduct SAG meetings.

(4) At the first SAG meeting, provide guidance and review SAG responsibilities.

(5) Coordinate review of all study initiation documents, for example, study plan, study directive, or statement of work.

(6) Submit the SAG meeting minutes to the sponsor for approval, then distribute them within 10 working days after first SAG meeting.

b. Development and conduct.

(1) Schedule, convene, and conduct SAG meetings.

(2) Task the SAG members for advice and assistance, as required.

(3) Submit SAG meeting minutes to the sponsor for approval, then distribute them within 10 working days after each SAG meeting.

(4) Coordinate a SAG review and evaluation of study draft reports when appropriate.

(5) Appoint subgroups within the SAG and other experts, as required, to provide recommendations and required support in specific areas, for example, data input, model development, and threats.

(6) Recommend to the sponsor termination of the study, when appropriate.

c. Evaluation.

(1) Direct a SAG review and evaluation of study final reports.

(2) Coordinate comments and prepare the SAG's position. Ensure that SAG recommendations fairly represent all views represented by the SAG members.

(3) Forward final SAG meeting minutes to the study sponsor.

6–4. SAG member functions

a. Validation.

(1) Review the study plan, that is, the objectives, scope, assumptions, resource and data requirements, threat, schedule, milestones, desired product, intended uses, and existing Army policy related to the effort.

(2) Advise on the development of assumptions and guidelines for the study.

(3) Become familiar with related studies and models if appropriate.

(4) Identify potential uses for study results.

(5) Coordinate study documentation requiring parent agency or MACOM positions.

b. Development and conduct.

(1) Attend all SAG meetings. Notify an alternate when attendance is not possible.

(2) Present the perspective of the parent organization.

(3) Keep the parent organization informed of study progress and implementation implications. Ensure that the study efforts are coordinated and integrated with the parent organization's efforts.

c. Evaluation and implementation.

(1) Review and evaluate study results and reports, and present agency or MACOM positions.

(2) Provide agency or MACOM input to the final implementation plan.

(3) Coordinate implementation actions with the parent agency or MACOM and obtain final approval authority for implementation of study recommendations.

Chapter 7
Contracting Officer's Representative

7–1. Role of the contracting officer's representative

a. When studies are performed by contract with a non-Government study organization or individual, the contract is executed by a contracting officer in a Government procurement office. The contracting officer is responsible for all the technical and legal aspects of the contract in accordance with procurement law and provisions of the FAR, DFARS, and the Army FAR Supplement (AFARS).

b. The contracting officer may designate a Government employee to act as a contracting officer's representative (COR). The COR will serve as an authorized representative to assist in certain contract administration functions. The decision on whether or not to use a COR rests with the contracting officer.

c. Policy guidance addressing COR qualifications, authority, and limitations can be found in AFARS, 1.602–2–90. More specific COR duties and limitations are usually provided by the contracting officer in the designation letter. The COR should be certified as qualified by virtue of his or her education and experience. The individual should have successfully passed an accredited COR course.

d. The sponsor or subordinate organization manager or commander nominates the COR to the contracting officer who formally designates the COR.

e. The COR is usually appointed for the life of the contract. For purposes of continuity, it is important that an action officer be nominated who is expected to remain with the organization until the contract is completed. The activities of a COR are very technical. The COR develops a complex working relationship with the contracting officer and the study contractor. It is extremely difficult for a new COR to take over from another while a study contract is in progress without losing some amount of substantive control of the contract.

f. Appointment of the COR is made simultaneously with, or subsequent to, the contract award. Prior to contract award (during study validation), the term *COR nominee* is technically correct.

g. Prior to any contract award, COR nominees and other Government officials should take care not to disclose unauthorized information or to make statements or representations that would compromise the Government's position on any matter. Additionally, there are ethical rules and standards that should be considered (see DOD 5500.7–R). Specifically, all Government personnel should avoid providing any firm or individual an unfair advantage in the source selection process. Care should be taken to avoid the release of advance procurement information such as requirements specifications, source selection criteria, or acquisition strategies. If any information is released, it will be released to all interested prospective contractors at the same time. After the Government has invited proposals for a solicitation, extreme care also must be taken to protect the integrity of the source selection process and the release of proprietary information. After contract award, Government officials must avoid directing contractors in taking any action beyond the scope of the contract or to consent to any change in, or relaxation of, contract requirements.

7–2. COR functions

The COR (or COR nominee) is responsible during the study phases for the following actions.

a. Validation.

(1) Assist the SSD in preparation of contract documents required for acquisition of the study contract.

(2) Assist the contract proposal evaluation panel in its evaluation of contractors' proposals.

(3) Assist the SSD in development of the record file of documents related to the contract study.

b. Development and conduct.

(1) Advise and assist the contracting officer in all technical matters.

(2) Understand restrictions imposed by the basic contract and modifications and by the COR designation letter. In this respect the COR may not—

(a) Delegate any authority to any other person.

(b) Change any of the terms or conditions of the contract or sign any modification to the contract.

(c) Obligate the payment of any money by the Government.

(d) Cause the contractor to incur costs not otherwise covered in the contract.

(3) Remain cognizant of the contractor's technical efforts and the progress being made on the study contract.

(4) Exercise appropriate surveillance of the contractor's performance to ensure that the contractor is not using inefficient or wasteful methods.

(5) Keep the contracting officer and SSD informed at frequent and regular intervals of actions and difficulties related to the contract.

(6) Advise the contractor on releasability of any interim, draft, or final documents. Paragraph 4–6*b* of AR 5–14 contains specific releasability guidance.

(7) Certify for security purposes the "need to know" of requests by the contractor to—

(a) Obtain access to classified documents and materials.

(b) Make official visits to Government and other contractor facilities.

(8) Obtain travel approval for contractor personnel, if required and authorized by the contract.

(9) Assure the performance of sponsor's functions for the study; for example, compliance with reporting requirements; timely access to relevant documents, historical records, and other information identified by the contractor; and logistical support as needed.

c. Evaluation. Provide input to the SAG for use in preparing the evaluation of the contractor's performance and product.

Appendix A
References

Section I
Required Publications

AR 5–5
Army Studies and Analyses.
(Cited in paras 1–2, 1–3, 4–1*b*, 5–4*a*, 5–4*c*, 5–4*d*(1), and 5–5l and in fig B–1 (para 8a).)

AR 5–11
Army Model and Simulation Management Program. (Cited in para 3–1*b*.)

AR 5–14
Management of Contracted Advisory and Assistance Services. (Cited in paras 1–5*a*, 4–4*b*, 5–3*d*, 5–4*c*, 5–4*d*(1), 5–6*e*, 5–5l, and 7–2*b*(6) and fig B–1 (para 8a), para C–2, fig F–1 (paras 2e and 2f), and table I–1.

AR 5–21
Army Policies and Responsibilities for the Arroyo Center. (Cited in para 1–6*e*.)

AR 70–31
Standards for Technical Reporting. (Cited in para L–2.)

AR 70–45
Scientific and Technical Information Program. (Cited in para K–4.)

AR 380–5
Department of the Army Information Security Program Regulation. (Cited in para L–2.)

AR 380–49
Industrial Security Program. (Cited para G–3.)

AR 381–11
Threat Support to U.S. Army Force, Combat and Materiel Development. (Cited 5–5(*e*), fig B–1 (para 5f(2)).)

DA Pam 5–11
Verification, Validation and Accreditation of Army Models and Simulations. (Cited in paras 3–1*b*, 3–4.)

Section II
Related Publications

A related publication is merely a source of additional information. The user does not have to read it to understand this publication.

AFARS Subpart 53.9004
Army Federal Acquisition Regulation Supplement.
(This publication may be obtained from ATTN SFAE–CSA–PP, US ARMY CONTRACTING SUPPORT AGENCY, 5109 LEESBURG PIKE, FALLS CHURCH VA 22041.)

AFARS 1.602–2–90
Contracting Officer Representatives. (This publication may be obtained from the SFAE–CSA–PP address cited above.)

The Defense Supply Service–Washington (DSS–W) Acquisition Guide
(This 28 June 1995 document may be obtained from DEFENSE SUPPLY SERVICE–WASHINGTON, 5600 ARMY PENTAGON, WASHINGTON DC 20310–5600.)

DFAR 204.7105(a)(e)
Defense Federal Acquisition Regulation. (This regulation may be obtained from the Government Printing Office (GPO): SUPERINTENDENT OF DOCUMENTS, GOVERNMENT PRINTING OFFICE, WASHINGTON DC 20503.)

DFAR 204.7105(a)(6)
Contract Exhibits and Attachments.
(This regulation may be obtained from the GPO address cited above.)

DFAR Supplement 217.5
(This DFAR supplement may be obtained from the US DEPARTMENT OF COMMERCE, NATIONAL TECHNICAL INFORMATION SERVICE, 5285 PORT ROYAL ROAD, SPRINGFIELD VA 22161.)

DOD 5500.7–R
Joint Ethics Regulation (JER).
(This regulation may be obtained from the U.S. Department of Commerce address cited above.)

DODI 4000.19
Interservice and Intergovernmental Support.
(This DODI may be obtained from the U.S. Department of Commerce address cited above.)

FAR 6.302–2
(This regulation may be obtained from the GPO address cited above.)

Office of Federal Procurement Policy Letter 92–1, 23 Sep 1992
(This policy letter may be obtained from THE PUBLICATION OFFICE (ROOM 2200), EXECUTIVE OFFICE OF THE PRESIDENT, 725 17TH STREET NW, WASHINGTON DC 20503.

Section III
Prescribed Forms

This section contains no entries.

Section IV
Referenced Forms

DA Form 2028
Recommended Changes to Publications and Blank Forms

DD FORM 254
Contract Security Classification Specifications

DD Form 1423
Contract Data Requirements List

SF 298
Report Documentation Page

Appendix B
Study Directive Format

B–1. Introduction

The format described below may be modified to meet the requirements of each study. An approval memorandum may be used in lieu of a study directive, that is, a study proposal originating within an organization which will also perform the study. As a minimum, the directive (for example, an HQDA letter, Chief of Staff memorandum, MACOM letter, or memorandum) should describe the problem; state the scope, objectives, and assumptions; and list the essential elements of analysis. It should also indicate that a thorough

literature search has been conducted and address automated data processing requirements.

B–2. Study directive format

Figure B–1 provides the format for a study directive.

(Letterhead)

(Office symbol) *(Date)*

MEMORANDUM FOR *(Appropriate addresses)*
(or LETTER TO:)
SUBJECT: Study: *(Study Title, including acronym, if any)*

1. PURPOSE OF STUDY DIRECTIVE. State the purpose of the study directive. For example, "This directive provides for the establishment of an ad hoc study group to conduct subject study and provide recommendations to the Chief of Staff, Army."

2. BACKGROUND. Provide background information identifying the problem, condition, or reason for the effort. Include past or ongoing actions to resolve the issue.

3. STUDY SPONSOR AND SPONSOR'S STUDY DIRECTOR. Provide the title of the Army Staff agency or MACOM designated as having SS functions, and the name of the official assigned as the SSD.

4. STUDY AGENCY. Designate the organization that will conduct the study.

5. TERMS OF REFERENCE. Provide specific guidance for study content. Terms of reference will be stated completely and clearly to ensure that the study is responsive to the organization's requirement. If the terms of reference are lengthy, they may be included as an enclosure. Terms of reference will be developed by the SSD in consultation with the originator and appropriate Army Staff agencies and MACOMs. The terms will state the following:

a. Scope. Clearly define the scope of the effort.

b. Objective. State the aim of the study. List each specific objective of the study, the tasks to be performed by the study agency, and the results or products desired for each objective.

c. Timeframe. Provide the timeframe to be addressed by the effort, for example, 1997-2007.

d. Assumptions. State any assumptions that are relevant to the study.

e. Essential elements of analysis. List relevant essential elements of essential elements of analysis (EEA). The EEA are specific questions that the analysis must answer to meet the study objectives. EEA lead to quantitative and qualitative methodologies needed to answer the questions. Analysis of the data will provide the information needed to answer an EEA and to accomplish the objectives. Typical EEA examples follow:

Figure B-1. Sample study directive

(1) How combat effective is each alternative?

(2) How survivable are the alternatives?

(3) What are the logistics implications?

(4) What are the costs?

f. Environmental and threat guidance. Provide environmental and threat aspects:

(1) Identify the scenario reference and approval requirements together with directed adjustments in timing, location, deployment, and application of the scenario, as appropriate. If the scenario for the study is to be provided from any source other than the Office of the Deputy Chief of Staff for Operations and Plans (ODCSOPS) at HQDA, this fact and the reasons for it will be stated in this subparagraph.

(2) As a minimum, the threat guidance subparagraph will contain the location, general situation, and intensity of combat applicable to the study. It will direct coordination with the appropriate intelligence threat organizations in accordance with AR 381-11 to validate threat requirements and guidelines to be followed.

(3) Environmental impact considerations, such as land, water and noise pollution, should be listed. If none are contemplated, enter the following: "No environmental consequences are envisioned; however, the study agency is required to identify and address environmental considerations that develop in the course of the study effort."

g. Estimated cost savings or other benefits. Instruct the study-performing organization to develop the cost savings or avoidance or other benefits expected from implementation of study results. The study must explain what difference the results will make--how will the Army benefit? If no cost savings can be determined, nonquantifiable benefits must, as a minimum, be described.

6. RESPONSIBILITIES. List the responsibilities of all agencies involved in the study. A separate subparagraph may be used for each agency tasked to contribute input to the study. In the case of ad hoc studies, list the number and qualifications of personnel who will be assigned to the study.

7. LITERATURE SEARCH. List past or ongoing studies related to the issue and prescribe the additional research requirements for the study agency.

8. REFERENCES. List the references needed by the addressees to initiate action on the study. Each reference will be placed in a separate sub-paragraph. References are as follows:

a. Administrative and procedural, such as AR 5-5 and AR 5-14.

Figure B-1. Sample study directive—Continued

b. Substantive, such as memorandums, directives, and studies that may furnish input to the study being directed.

9. ADMINISTRATION. Provide essential administration instructions. Include all applicable topics as follows:

a. Assign responsibilities for providing funds (temporary duty (TDY), per diem, overtime, and so forth).

b. Identify administrative support to be provided, such as clerical, office space, office equipment, and so forth. Such support is usually furnished by the SS for in-house studies.

c. Cite cost limitations imposed, if applicable.

d. Provide details of contract studies already authorized or to be requested.

e. Identify current and future resources required for ADP equipment.

f. Prescribe the milestone schedule for the study. As a minimum, include the date the final report is due to the decisionmaker. Include requirements for interim status reports and in-process reviews; indicate the responsible organization and date due. An impact statement should be provided when lead-time is short or urgency is cited.

g. Identify the appointed SSD and provide instructions for the establishment of a SAG when a SAG is appropriate.

h. Designate responsibility for preparing and submitting a WUIS worksheet (see app K); final study documents to DTIC, the Army Information on Models, Simulations, and Studies System (AIMSSS) (and for logistics studies, a search of Defense Logistics Studies Information Exchange (DLSIE) is mandatory). (See app M.)

i. Attach any specific study outline or format that is desired as an enclosure.

j. Prescribe specific action documents to be prepared and submitted with the study, for example, the executive summary, policy papers, an implementation plan, or regulations.

(Authority line)

Encls *(list)* *(Signature block)*

CF: *(copy furnished)*
(Suspenses: Provide milestone dates for responsibilities assigned and reference the appropriate paragraph of the directive.)

Figure B-1. Sample study directive—Continued

Appendix C
Recommended Files for Sponsor's Study Director

C–1. Study file
The SSD initiates a file of pertinent study reference papers. This study file is necessary for reference by management and auditors or investigative personnel who may conduct special reviews of study efforts. The requiring activity shall contact their organization's Acquisition Office (the SAG should be able to advise) to assure certain files are retained in accordance with their own activity.

C–2. Historical file
The requiring activity is required to also maintain a historical file continuously through the termination of the study, including a copy of the approved procurement request and appropriate supporting documentation, listing, or summary of contract items delivered, progress reports, formal evaluation report, and documentation of Government acceptance (AR 5–14, paras 2–7*h*, 2–9*d*, and 2–11*c*).

Appendix D
Independent Government Estimate
As cited in 28 June 1995 DSS–W Acquisition Guide.

D–1. Introduction
An independent Government estimate (IGE) must be prepared for every new acquisition which exceeds the simplified acquisition threshold of $100K. It is a useful tool, when properly prepared, to assist the contracting officer in determining a fair and reasonable price. A secondary purpose of a well-prepared IGE would be to assist the contracting officer in conducting a "cost realism analysis," which is required on all cost reimbursement contracts and is a quantitative assessment of what the project will likely cost, as compared to what the offeror states it will cost. While preparation of an IGE is the responsibility of the requiring activity, your organization's Acquisition Office will be able to answer any questions you may have. It is hoped that after reviewing this section, most potential questions will be answered.

D–2. General
a. Even though IGE documentation is a part of the Government procurement cycle, there is no detailed guidance on how to prepare an IGE in the FAR nor the Armed Services Pricing Manual.

b. Development of an IGE should bear a close relationship to funding available. The IGE should be independently prepared and not prepared with the assistance of the contractor.

c. In order to prepare a reliable IGE, one should possess knowledge of the product or service being purchased and a comprehensive knowledge of the SOW/scope of work.

d. When buying a commercial item with stable specifications, the estimator, when preparing an IGE, should research past price history and make adjustments for any change in specifications, and changes in quantities and inflation factors. For items which do not have a detailed pricing history it is necessary to do a detailed analysis of individual cost elements. The detailed guidance on how to prepare an IGE assumes that there has been no detailed pricing history and therefore individual elements must be broken down.

e. In most studies and analyses, the service contracted for consists almost entirely of labor. Therefore, the most frequently applied tool in developing an IGE is management experience in estimating staff resources required to accomplish a project.

D–3. Format for developing an IGE
When costs must be broken down to develop an estimate, the IGE should include the following elements: direct cost, indirect cost, and profit/fee. Direct cost and indirect cost can each be composed of several sub-elements. A discussion of each follows immediately.

a. General. In discussing the three main cost elements of IGE, we will focus our attention on the methodologies that are most frequently applied within your organization's Acquisition Office.

b. Cost elements.

(1) *Direct labor.* Each labor category required should be listed including hours, rates, and extended amounts for each. Then total labor expense should be aggregated.

(2) *Labor burden (fringe benefit).* This cost is accumulated in indirect cost pools; however, sometimes it is treated as direct cost. In any event, it is used as a percentage of direct labor expense. Typically this would run around 30 percent. It includes elements such as payroll records, Federal Insurance Compensation Act, workmen's compensation, employee benefits, health and welfare, and vacation and holidays.

(3) *Overhead.* This is an indirect rate, as subelements contained within this category cannot be applied to a specific cost objective. Included here are such expenses as utility expense, rent expense, indirect supplies, property taxes, and depreciation. This is expressed as a percentage of the aggregate cost of direct labor and labor burden. Typically this would run between 60–80 percent.

(4) *Other direct cost.* Generally these costs can be charged directly against a specific contract. Examples are materials, equipment, travel and per diem, training, and printing/graphics.

(5) *Transportation.* If this cost is not identifiable with specified contract/cost objective or expressed in (insignificant) percentage it is treated as an indirect cost.

(6) *General and administrative expense (G&A).* This includes expenses of a company's general and executive offices, and the cost of such staff services as legal, public relations, and financial. It is expressed as a percentage of the aggregate of (1) through (5) above. Typical G&A rates range between 10–20 percent.

(7) *Profit/fee.* The profit/fee is the responsibility of the contracting officer. For the purpose of estimation, one may assume 15 percent of all of the above.

c. Total price. (1)+(2)+(3)+(4)+(5)+(6)+(7).

D–4. Methodologies
The following tools can be used when developing an IGE. At times, the estimator will be able to develop an estimate without having to break down individual cost elements, but in other circumstances where historical bottom line pricing data is absent, a breakdown as discussed above will be necessary.

a. Historical data. The IGE and the cost/price structure of an existing contract or similar service contract could be used as a reference. When multiple years are being planned, this should be escalated.

b. Similar work. Analysis and comparison with current prices paid for similar work.

c. Market survey. Conduct a market survey. In conducting the market survey, one has to be careful, keeping in mind that in this competitive procurement arena, the IGE must be prepared without coordination with any potential contractors).

d. Catalog price.

e. Statistics. Department of Labor statistics, past or current, on how the contractor accounts for its cost.

Appendix E
Guidelines and Criteria for Proposal Evaluation
As cited in the 28 June 1995 DSS–W Acquisition Guide.

E–1. Introduction
Information below is provided as a guide in evaluating contract proposals. To facilitate this process, a source selection plan should be developed.

E–2. Functions of the source selection plan
a. Required documentation prior to solicitation.

(1) Prepare evaluation criteria and include scores by factor and subfactor.

(2) Provide evaluation score sheet for review by the contracting officer.

b. Purpose of the plan. The purpose of this plan is to provide administrative guidance, organizational responsibilities, technical evaluation criteria, and other procedures for evaluating proposals received in response to the Government's request for proposals (RFP).

c. Implementation of this plan.

(1) Ensures that each participant has a clear understanding of the evaluation process.

(2) Assures impartial, comprehensive, and timely evaluation of proposals to identify offerors whose expertise and capabilities satisfy the solicitation requirements.

(3) Provides the contracting officer with a comprehensive technical evaluation based on the independent and collective judgments of experienced technical and management personnel.

(4) Provides an official record of the evaluation process.

d. The plan objectives.

(1) Delineate the source selection evaluation panel responsibilities.

(2) Establish the procedures for conducting the proposal evaluations.

(3) Specify criteria to be used in the evaluation together with the applicable scoring technique.

e. Qualification. The nature of the work to be performed and the resulting contract type make it imperative that the best qualified offeror be selected. Selection based solely upon the lowest bid offers no assurance of quality performance. The Government solicitation requires that offerors provide both technical and cost proposals. The contract will be awarded on an unrestricted basis.

E–3. Description of procurement

The sponsor shall include in the SOW all requirements necessary for the offeror to provide technical, analytical, developmental and program management support associated with the study. The requirements shall be provided in accordance with the SOW entitled "Statement of Work for (PROJECT TITLE)" and the date.

E–4. Procurement strategy

a. For the evaluation process, interested offerors will submit technical and cost proposals. Technical proposals must provide the information needed to all of the panel members to perform the evaluation in accordance with the award factors and criteria as stipulated in this plan and contained in section M of the RFP. The RFP also requires a cost proposal consistent with the technical proposal and in sufficient detail for evaluation and determination of a reasonable price to the Government.

b. Technical proposals will concentrate on four distinct areas:

(1) Corporate qualifications and staff experience.

(2) Technical approach and schedule.

(3) Understanding the project.

(4) Understanding the objective.

c. The cost proposal will include prices for all labor categories for the services to be performed and other information. The cost proposal will be evaluated by the contracting officer in accordance with applicable directives. Assistance and/or input may be provided by the technical evaluation panel as directed by the contracting officer.

E–5. Source selection personnel

Safeguards—Members of the panel should meet to ensure they understand evaluation procedures and are following the same ground rules:

a. Make certain that none of the panel members, either voting or nonvoting, have any financial or other conflict of interest inrelation to the acquisition. Read and sign all nondisclosure forms, financial interest forms, and procurement official certification forms furnished by the contracting officer.

b. Do not divulge any information concerning the proposals or assessment to anyone during the evaluation until a report is prepared and forwarded to the contracting officer. Afterwards, do not divulge any information unless at the express direction of the contracting officer.

E–6. Evaluation steps

a. Requirements validation. This step involves the screening of proposals at a fairly high level to ensure that any mandatory solicitation requirements have been addressed. In some cases, compliance with the requirement may be self-evident, though in a vast majority of cases, elaboration on the approach is needed. Any offeror failing to meet mandatory minimum requirements shall be eliminated from the competitive range.

b. Past performance. This includes the contractor's record of conforming to specifications and to standards of good workmanship; the contractor's record of containing and forecasting costs on any previously performed cost-reimbursable contracts; the contractor's adherence to contract schedules, including the administrative aspects of performance; the contractor's history for reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the contractor's business-like concern for the interest of the customer.

c. Assessment of proposals. This is done by point scoring each offeror against the evaluation factors set forth in the solicitation. While inherently subjective, there should be a factual base for all the scoring. To help the evaluator and, later on, the contracting officer, specific comments on the proposal, both positive and negative, should be made on the scoresheet(s). Evaluators should feel free to consult with each other during the evaluation process. In no case should proposals be compared against each other.

E–7. Preparation of report

Preparation of the report must include the following:

a. An executive summary outlining the main findings and rank ordering of proposals.

b. A detailed analysis of the strengths and weaknesses of each proposal with specific, not generalized, backup for assessments. For those proposals not highly ranked, generally those which are marginal or unacceptable, include an assessment as to whether they are susceptible to being made acceptable. Evaluator score sheets and all notes taken during evaluation must be included. A technical analysis of each proposal must be included. Adequacy of staff hours, supplies and materials, and travel must be addressed.

c. A recommendation of those offerors who should be included in the competitive range for discussions. This includes all firms with a reasonable chance of being awarded the contract. It is unusual to be able to award based on initial proposal submissions.

d. Proposed discussion issues to be addressed to firms in the competitive range. These may include requests for clarifications and weaknesses noted, including shortcomings or omissions, and factual errors. Discussions—

(1) Involve all firms in the competitive range.

(2) May be face-to-face, reduced to writing, or both.

(3) May include technical issues, costs, or both.

(4) Culminate in best and final offers (BAFOs).

E–8. Rescoring of proposals

Rescoring of proposals is necessary when technical issues are involved in discussions. Rescoring will involve a total assessment of the initial proposal, address any presentation during face-to-face discussion and the BAFO submission. The product will be a report in a format similar to the original evaluation. It will include a recommended awardee and supporting rationale for that recommendation.

E–9. Debriefings

a. Losing offerors are entitled to a debriefing so they can be informed why they were not selected.

b. The contracting officer may request technical assistance.

c. Allow contracting officer to run the meeting. Follow the lead.

d. When called upon to speak, never divulge point scores of the offeror being debriefed or any competitors. Never compare the proposal of one contractor against another contractor's.

Appendix F
Management Decision Document

Figure F–1 following is an example of an MDD.

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 SOW is attached as 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 are in the SOW.

d. Explanation of how the service supports the mission of the agency or command.

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, para 4-3a.)

f. Certification that the service is not an inherently governmental function, cannot be performed in-house, or that contract performance is more cost effective. (Appropriate here is a description of the actions taken to satisfy AR 5-14, para 4-3b.)

g. Statement of whether using other than full and open competition is planned; if so, provide proper justification.

h. Description of control procedures, including--

(1) Description of quantitative or qualitative measures that will be used 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 a contracting officer's representative (COR) will be nominated; if so and if the proposed COR is different from the POC, provide the COR's name, organization, and telephone number.

Figure F-1. Sample management decision document

(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.

j. Statement that funds are available, with identification of funding appropriation and recommended Element of Resource.

k. Recommendation of the appropriate Federal Supply Class Code.

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

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

Figure F-1. Sample management decision document—Continued

Appendix G
Department of Defense Contract Security Classification Specification Form (DD Form 254)

G–1. Requirements

The DD Form 254 specifies the requirements and responsibilities related to classified acquisitions by a user agency in connection with prime contractors requiring access to classified information.

G–2. Sample

A sample DD Form 254 is illustrated at figure G–1.

G–3. Security guidance

Security guidance is found in AR 380–49.

G–4. Distribution

Distribute the DD Form 254 in accordance with AR 380–49, paragraph 7–103.

DEPARTMENT OF DEFENSE
CONTRACT SECURITY CLASSIFICATION SPECIFICATION

(The requirements of the DoD Industrial Security Manual apply to all security aspects of this effort.)

1. CLEARANCE AND SAFEGUARDING
a. FACILITY CLEARANCE REQUIRED: SECRET
b. LEVEL OF SAFEGUARDING REQUIRED: SECRET

2. THIS SPECIFICATION IS FOR: *(X and complete as applicable)*

	a. PRIME CONTRACT NUMBER	
	b. SUBCONTRACT NUMBER	
	c. SOLICITATION OR OTHER NUMBER	Due Date *(YYMMDD)*

3. THIS SPECIFICATION IS: *(X and complete as applicable)*

X	a. ORIGINAL *(Complete date in all cases)*		Date *(YYMMDD)* 960823
	b. REVISED *(Supersedes all previous specs)*	Revision No.	Date *(YYMMDD)*
	c. FINAL *(Complete Item 5 in all cases)*		Date *(YYMMDD)*

4. IS THIS A FOLLOW-ON CONTRACT? [ ] YES [X] NO. If Yes, complete the following:
Classified material received or generated under _____ *(Preceding Contract Number)* is transferred to this follow-on contract.

5. IS THIS A FINAL DD FORM 254? [ ] YES [X] NO. If Yes, complete the following:
In response to the contractor's request dated _____, retention of the identified classified material is authorized for the period of _____

6. CONTRACTOR *(Include Commercial and Government Entity (CAGE) Code)*

a. NAME, ADDRESS, AND ZIP CODE	b. CAGE CODE	c. COGNIZANT SECURITY OFFICE *(Name, Address, and Zip Code)*
ACME Corp International 1367 Main Street Any Town, USA		Director of Industrial Security 3605 Long Beach Blvd Suite 405 Long Beach, CA 90807-4013

7. SUBCONTRACTOR

a. NAME, ADDRESS, AND ZIP CODE	b. CAGE CODE	c. COGNIZANT SECURITY OFFICE *(Name, Address, and Zip Code)*
Podunk University 7631 Smith Avenue Any Town, USA		Director of Industrial Security 2461 Eisenhower Avenue Rm. 730/744 Alexandria, VA 22331-1000

8. ACTUAL PERFORMANCE

a. LOCATION	b. CAGE CODE	c. COGNIZANT SECURITY OFFICE *(Name, Address, and Zip Code)*

9. GENERAL IDENTIFICATION OF THIS PROCUREMENT

Army Study Contract

10. THIS CONTRACT WILL REQUIRE ACCESS TO:	YES	NO
a. COMMUNICATIONS SECURITY (COMSEC) INFORMATION		X
b. RESTRICTED DATA	X	
c. CRITICAL NUCLEAR WEAPON DESIGN INFORMATION		X
d. FORMERLY RESTRICTED DATA	X	
e. INTELLIGENCE INFORMATION:		
(1) Sensitive Compartmented Information (SCI)	X	
(2) Non-SCI	X	
f. SPECIAL ACCESS INFORMATION		X
g. NATO INFORMATION	X	
h. FOREIGN GOVERNMENT INFORMATION	X	
i. LIMITED DISSEMINATION INFORMATION	X	
j. FOR OFFICIAL USE ONLY INFORMATION	X	
k. OTHER *(Specify)*		

11. IN PERFORMING THIS CONTRACT, THE CONTRACTOR WILL:	YES	NO
a. HAVE ACCESS TO CLASSIFIED INFORMATION ONLY AT ANOTHER CONTRACTOR'S FACILITY OR A GOVERNMENT ACTIVITY		X
b. RECEIVE CLASSIFIED DOCUMENTS ONLY		X
c. RECEIVE AND GENERATE CLASSIFIED MATERIAL	X	
d. FABRICATE, MODIFY, OR STORE CLASSIFIED HARDWARE	X	
e. PERFORM SERVICES ONLY		X
f. HAVE ACCESS TO U.S. CLASSIFIED INFORMATION OUTSIDE THE U.S., PUERTO RICO, U.S. POSSESSIONS AND TRUST TERRITORIES		X
g. BE AUTHORIZED TO USE THE SERVICES OF DEFENSE TECHNICAL INFORMATION CENTER (DTIC) OR OTHER SECONDARY DISTRIBUTION CENTER	X	
h. REQUIRE A COMSEC ACCOUNT		X
i. HAVE TEMPEST REQUIREMENTS		X
j. HAVE OPERATIONS SECURITY (OPSEC) REQUIREMENTS		X
k. BE AUTHORIZED TO USE THE DEFENSE COURIER SERVICE	X	
l. OTHER *(Specify)*		

DD Form 254, DEC 90 *Previous editions are obsolete.* 805/340

Figure G-1. Sample DD Form 254

12. PUBLIC RELEASE. Any information *(classified or unclassified)* pertaining to this contract shall not be released for public dissemination except as provided by the Industrial Security Manual or unless it has been approved for public release by appropriate U.S. Government authority. Proposed public releases shall be submitted for approval prior to release

[ ] Direct [ ] Through *(Specify)*:

None Authorized.

to the Directorate for Freedom of Information and Security Review, Office of the Assistant Secretary of Defense (Public Affairs)* for review.
* In the case of non-DoD User Agencies, requests for disclosure shall be submitted to that agency.

13. SECURITY GUIDANCE. The security classification guidance needed for this classified effort is identified below. If any difficulty is encountered in applying this guidance or if any other contributing factor indicates a need for changes in this guidance, the contractor is authorized and encouraged to provide recommended changes; to challenge the guidance or the classification assigned to any information or material furnished or generated under this contract; and to submit any questions for interpretation of this guidance to the official identified below. Pending final decision, the information involved shall be handled and protected at the highest level of classification assigned or recommended. *(Fill in as appropriate for the classified effort. Attach, or forward under separate correspondence, any documents/guides/extracts referenced herein. Add additional pages as needed to provide complete guidance.)*

Information developed or produced under this contract will be classified according to the following guidance:

1. If derived from classified sources, the material will be classified according to the source documentation, unless higher classification is appropriate because the information is augmented.

2. If the information is newly developed by the contractor, it will be classified by comparing the newly developed informaton with similar material produced elsewhere in the defense establishment; the highest classification of similar information will be applied.

3. Any doubtful or confusing cases will be referred to the official identified in box 16 of this form. Referral will be made sufficiently prior to publication of the information to allow useful and timely guidance to be provided. Prior to the receipt of guidance, the information will be marked "Classification determination pending. Protect as though classified SECRET, unless higher level of protection is more reasonable."

14. ADDITIONAL SECURITY REQUIREMENTS. Requirements, in addition to ISM requirements, are established for this contract. *(If Yes, identify the pertinent contractual clauses in the contract document itself, or provide an appropriate statement which identifies the additional requirements. Provide a copy of the requirements to the cognizant security office. Use Item 13 if additional space is needed.)* [ ] Yes [ ] No

15. INSPECTIONS. Elements of this contract are outside the inspection responsibility of the cognizant security office. *(If Yes, explain and identify specific areas or elements carved out and the activity responsible for inspections. Use Item 13 if additional space is needed.)* [ ] Yes [ ] No

16. CERTIFICATION AND SIGNATURE. Security requirements stated herein are complete and adequate for safeguarding the classified information to be released or generated under this classified effort. All questions shall be referred to the official named below.

a. TYPED NAME OF CERTIFYING OFFICIAL	b. TITLE	c. TELEPHONE *(Include Area Code)*
I.M. Smart	Contracting Officer's Representative	(703) 697-7777

d. ADDRESS *(Include Zip Code)*	17. REQUIRED DISTRIBUTION	
Room 7B777, The Pentagon Washington, DC 20310	X	a. CONTRACTOR
		b. SUBCONTRACTOR
	X	c. COGNIZANT SECURITY OFFICE FOR PRIME AND SUBCONTRACTOR
e. SIGNATURE		d. U.S. ACTIVITY RESPONSIBLE FOR OVERSEAS SECURITY ADMINISTRATION
	X	e. ADMINISTRATIVE CONTRACTING OFFICER
		f. OTHERS AS NECESSARY

DD Form 254 Reverse, DEC 90

*U.S. Government Printing Office: 1991 — 281-485/40288

Figure G-1. Sample DD Form 254—Continued

Appendix H
Letter of Appointment of Contract Proposal Evaluation Panel

An example of the letter of appointment for a contract proposal evaluation panel is illustrated at figure H–1. The SSD is responsible for ensuring that an evaluation panel is convened to evaluate contract proposals and assist the contracting officer in negotiations for a source selection and contract award.

(Letterhead)

(Office symbol) *(Date)*

Colonel *(Name)*
Director
Defense Supply Service--Washington
Pentagon
Washington, DC 20310-5200

Dear Colonel *(Name)*:

The following individuals will constitute the contract evaluation panel for the Study:

Dr. *(Name)*, Office of Deputy Under Secretary of the Army (Operations Research)
Ms. *(Name)*, Office of the Technical Advisor to the DCSOPS, HQDA
Ms. *(Name)*, US Army Concepts Analysis Agency
Mr. *(Name)*, US Army Concepts Analysis Agency

All individuals have signed a statement indicating that they have read and understand DOD 5500.7-R, Joint Ethics Regulation (JER).

(Authority line)

(Signature block)

Figure H-1. Sample letter of appointment of contract proposal evaluation panel

Appendix I
Required Documents and Reports Related to Individual Study Efforts

The SS will certify completion of the documents and reports listed in table I–1. This table applies to both in-house and contract studies and acts as a checklist to ensure that proper study data are maintained.

Table I–1
Required documents and reports related to individual study efforts

Reports/documents	References	In-house studies	Contract studies
1. Management decision document (letter or memorandum) with SOW.	AR 5–5, para 5–5*c*(5) AR 5–14, para 4–3*f*		X
2. Study directive (or appropriate management approval document) (app B).	AR 5–5, para 5–5*c*(6)	X	
3. Study plan.	AR 5–5, para 5–6*c*(2)	X	X
4. WUIS worksheet (see app K).	AR 5–5, para 5–9*a* AR 5–14, para 4–6*a*	X	X

Table I–1
Required documents and reports related to individual study efforts—Continued

Reports/documents	References	In-house studies	Contract studies
5. Study management evaluation within 30 days after completion/termination of contract study.	AR 5–14, para 4–5		X
	AR 5–5, para 5–7*c*(1)	X	
6. Two copies of final study reports (documents) with SF 298 (see app L).	AR 5–5, para 5–9*c*(1)	X	
	AR 5–14, para 4–6*c*(1)		X

Appendix J
Study Advisory Group

J–1. Representation

The SAG is formed by the SS. It consists of representatives from Army elements having a clear functional interest in the study topic or the use of the study results. The SAG is to advise and assist the SS on conduct of the study and to provide assistance, coordination, and support to the study-performing organization. Certain correspondence is required during the formation and conclusion of the SAG.

J–2. Illustrations

The following figures illustrate--

a. Sample request for SAG members or observers (see fig J-1).
b. Sample SAG meeting notification (see fig J-2).
c. SAG meeting agenda guide (see fig J-3).
d. Sample SAG meeting agenda (see fig J-4).
e. Sample SAG meeting minutes (see fig J-5).
f. Sample SAG tasking memorandum (see fig J-6).

(Letterhead)

(Office symbol) *(Date)*

SUBJECT: Formation of a Study Advisory Group for *(Study title)*

MEMORANDUM FOR: SEE DISTRIBUTION

1. *(Description of study effort).*

2. *(Study tasks).*

3. A Study Advisory Group (SAG) is being formed to monitor and provide direction to this effort. Membership on the SAG has been extended to the Office of the Deputy Under Secretary of the Army (Operations Research) (ODUSA(OR)), the Program Analysis and Evaluation Directorate (PA&E), the Office of Deputy Chief of Staff for Operations and Plans (ODCSOPS), the Office of the Deputy Chief of Staff for Personnel (ODCSPER), the Office of the Deputy Chief of Staff for Logistics (ODCSLOG), the Office of the Chief of Staff, United States Army (OCSA), and the Office of The Surgeon General (OTSG).

4. Request that your office participate in an advisory capacity by providing a member to the SAG who is knowledgeable of the study subject as it pertains to your area of interest. The SAG member should be available to serve on the SAG for the life of the study which has an estimated completion date of *(Month/Year)*. Stability of SAG membership is very important to timely study development and completion.

5. The name and the telephone number of the appointed member should be provided to the office of the SS not later than *(Date)*. Additional representatives may be designated to attend the SAG meetings in an observer status.

(Authority)

(Study sponsor signature block)

DISTRIBUTION:

Figure J-1. Sample request for SAG members or observers

(Letterhead)

(Office symbol) *(Date)*

MEMORANDUM FOR SAG Members, *(Study title)*

SUBJECT: SAG Meeting

1. The SAG will convene on *(Date)* at *(Time)*, in *(Room #)*, *(Building #)*, *(Location)* to review the final draft report.

2. The purpose of the meeting is to obtain Agency and MACOM formal comments on the final draft report and evaluate the contractor's performance and product. The implementation plan will also be discussed. An agenda and copy of the final draft report are enclosed.

(Authority line)

(SAG chairperson signature block)

Enclosures

Figure J-2. Sample SAG meeting notification

SAG MEETING AGENDA GUIDE

This guide outlines a sequence for agenda items for the first SAG meeting after study approval. Other meetings may follow the same sequence; however, the scope of presentations may be reduced or expanded based on the emphasis desired by the chairperson. A similar sequence can be used for preparing meeting minutes.

1. Chairperson's presentation

a. State the problem. Explain the Army's need for the study. Include the historical events that generated the requirement and the date of initiation of the study.

b. State the objectives for the study. State what must be done.

c. State the results desired. State what the Army expects from the study; describe the products that are required (for example, specific type, frequency, and format of reports) and establish a due date for all products.

d. State the anticipated uses. State how the Army will use and implement the results and who will have an interest in the results.

e. Outline the task and milestone schedule. Provide specific dates for studies of a year's duration (or less) or for the first year of longer studies.

f. Review the SAG purpose, organization, and duties. Indicate that an accurate SAG roster must be maintained.

g. Describe reports and documents that the SAG will prepare or require.

h. For contract studies, explain briefly the contracting officer's and COR's authority and responsibilities. Discuss the limitations of SAG authority.

i. Outline the sequence of the remainder of the meeting.

2. Study agency's representative presentation

a. Review the study plan. Describe the potential application of information developed from literature search. Explain the study methodology to be used. Review the task and milestone schedule. Describe how task objectives are designed to address study objectives. Identify sources of data and required support from Government agencies.

b. Describe the expected study product.

c. State the input required from the SAG to support the study.

d. Describe progress since the previous meeting or report, if applicable.

3. Member's presentation for subsequent meetings

a. Present views and opinions as the knowledgeable representative of the agency or MACOM.

b. Present formal coordinated agency or MACOM position on the study.

Figure J-3. Sample SAG meeting agenda guide

4. Discussion

a. Evaluate study agency's actual study progress. In the final meeting, evaluate the study agency's performance and product.

b. Discuss SAG members' questions or comments that have a significant impact on study orientation, schedule, support, or funds.

c. Record results of considerations of critical issues. (Note: In the final meeting, identify the lessons learned.)

5. Chairperson's conclusion

a. Summarize the major points discussed, recapping decisions and minority viewpoints thereon and guidance given to the study agency.

b. Provide topics for the next meeting, goals to be accomplished before next meeting, and appropriate guidance.

c. Announce the tentative date, time, and location of the next meeting.

d. Adjourn the meeting.

Figure J-3. Sample SAG meeting agenda guide —Continued

SAG MEETING AGENDA
Study Advisory Group
(DATE)
(STUDY TITLE)

Time	Item	Presented/Done By
1300-1310	Introductory Remarks	SAG Chairperson
1310-1320	Guidance to SAG	SAG Chairperson
1320-1500	Working Session and Review of Final Draft Report and Presentation of Formal Comments	All SAG Members
1500-1520	Discussion of Contractor Performance Product	All SAG Members
1520-1550	Discussion of Implementation Plan	All SAG Members
1550-1600	Concluding Remarks	SAG Chairperson
	Recap Decisions and Minority Viewpoints	SAG Chairperson
	Summarize Guidance to Study Agency	SAG Chairperson

Figure J-4. Sample SAG meeting agenda

(Letterhead)

(Office symbol) *(Date)*

MEMORANDUM FOR *(Study sponsor)*

SUBJECT: SAG Meeting Minutes, *(Study title)*

1. The SAG meeting was convened on *(Date)* at *(Time)*, in *(Room #)*, *(Building #)*, *(Location)*. The purpose of the meeting was to review the Task 1 report, *(Title)*, and receive a contractor progress report. The meeting adjourned at *(Time)*.

2. A list of attendees and the agenda are enclosures 1 and 2, respectively.

3. Opening remarks by the chairperson emphasized the importance of having agency and MACOM positions on contractor submissions prior to all SAG meetings.

4. A progress report presented by *(Name)*, the contractor's representative, covered study objectives, the milestone schedule, and the performance measures to be included in the next report. The contractor's representative explained that a format that was easy to audit was an objective, and the comments should be keyed toward any omission of significant entries. One document, "Major Functional Areas," enclosure 3, was presented to the SAG. The SAG members were requested to submit comments to the contracting officer's representative by *(Date)*.

5. The Task 1 report was reviewed as indicated on the agenda, and the following recommendations were given to the contractor's representative:

a. Eliminate duplication throughout the report.
b. Define terms and explain how the objectives are to be met.
c. Condense the report and simplify the presentation.

6. The SAG approved the contractor's approach and objectives and recommended that the contractor proceed with Task 2.

7. The SAG Chairperson indicated that the next meeting, *(Date)*, would be a working session preliminary to the formal meeting.

(Authority line)

Encls *(SAG chairperson signature block)*

Figure J-5. Sample SAG meeting minutes

(Letterhead)

(Office symbol) *(Date)*

MEMORANDUM FOR SAG Members, *(Study title)*

SUBJECT: Final Draft Report

1. The draft report on *"(Study title)"* is provided for agency and MACOM review and comment.

2. The report is designed to provide the Department of the Army with an evaluation plan to assess the overall effectiveness of a system over time in conjunction with other complementary assessment efforts. An evaluation plan has also been provided for selected agencies and MACOMs. Particular attention should be given to the utility and meaningfulness of the resulting assessment product.

3. Formal comments on the final draft are requested by *(Date)* and may be carried to the SAG meeting for presentation and possible incorporation in the final report. DA Form 2028 (Recommended Changes to Publications and Blank Forms) may be used for this purpose. The final report will be published within 60 days after the Army provides the contractor with comments and distribution instructions. The point of contact is *(Name)*, *(Defense Switched Network (DSN) Telephone #)*.

(Authority line)

Enclosure *(SAG chairperson signature block)*

Figure J-6. Sample SAG tasking memorandum

Appendix K
Work Unit Information System Worksheet

K–1. Preparation
A Work Unit Information System (WUIS) worksheet is prepared for each study. A single hard copy of a TOP SECRET WUIS worksheet is provided to J63, NATIONAL SECURITY AGENCY, 9800 SAVAGE ROAD SUITE 6415, FORT GEORGE G MEADE MD 20755. The WUIS worksheets that are classified SECRET and below are provided to the DTIC via the COMMANDER, US ARMY RESEARCH LABORATORY, ATTN AMSRL–TT–TAX, 2800 POWDERMILL ROAD, ADELPHI MD 20783. Those organizations with access to the Army WUIS Input System (WInS) submit extract diskettes to the Army contractor, BRTRC, ATTN ARMY WINS TASK SUITE 800, 8260 WILLOW OAKS CORP DRIVE, FAIRFAX VA 22031. Other organizations will mail hard copies to the above address. If the study topic is logistics, copies of the worksheets are forwarded to the DLSIE, FORT LEE VA 23801.

K–2. Schedule
The WUIS worksheet is prepared and submitted during the life cycle of the study as follows:

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

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

c. Evaluation. Submit within 30 days following completion of a study.

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

K–3. Information indexes
The SS is responsible for ensuring that the WUIS worksheet is prepared by the performer and submitted appropriately to the National Security Agency, DTIC, or DLSIE within the above timeframes. At the completion of a study, the SS ensures that a DTIC accession number is assigned.

K–4. Special instructions
Special instructions for completing the WUIS worksheets for Army studies may be obtained from BRTRC at the address above.

Appendix L
Report Documentation Page (SF 198)

L–1. Preparation
Study documents for completed in-house and contract studies are

prepared and controlled by the sponsor in accordance with AR 5–14, paragraph 4–6*c*(1), which stipulates that the final report will be accompanied by an SF 298.

L–2. Documentation guidance

Preparation, review, publication, and distribution of documents must be accomplished according to AR 70–31. This function involves maintaining proper security measures (See AR 380–5), which is accomplished, in part, by preparing an SF 298.

L–3. Information indexing

The requiring activity must submit two copies of each final study report, with completed SF 298 (Report Documentation Page) attached, to COMMANDER, DTIC, 8725 JOHN J KINGMAN ROAD SUITE 0944, FORT BELVOIR VA 22060–6218. They must also submit one copy of each final study report to the ATTN ARMY STUDIES, PENTAGON LIBRARY, 6605 ARMY PENTAGON, WASHINGTON DC 20310–6605. An information copy of intelligence-related reports will be sent to the ATTN AIA–PD, US INTELLIGENCE AGENCY, PENTAGON, WASHINGTON DC 20310–1015. (See AR 5–14, para 4–6.)

L–4. Covering form

An SF Form 298 is prepared and forwarded with each final study report. A sample form is illustrated at figure L–1.

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 October 1997	3. REPORT TYPE AND DATES COVERED Study: April 1995 - October 1996

4. TITLE AND SUBTITLE Army Study	5. FUNDING NUMBERS
6. AUTHOR(S) Ms. U. S. Important Dr. G. J. Leadership Mr. J. B. Teamer	
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Army Study Researcher and Development Pentagon, Room 8X190 Washington, DC 20310	8. PERFORMING ORGANIZATION REPORT NUMBER
9. SPONSORING / MONITORING AGENCY NAME(S) AND ADDRESS(ES) LTG XXXX Somewhere Command Fort Washington, DC	10. SPONSORING / MONITORING AGENCY REPORT NUMBER
11. SUPPLEMENTARY NOTES	
12a. DISTRIBUTION / AVAILABILITY STATEMENT (See Instructions for completing)	12b. DISTRIBUTION CODE

13. ABSTRACT *(Maximum 200 words)*

(Include a brief, maximum 200 words, factual summary of the most significant information contained in the report)

14. SUBJECT TERMS (Keywords or phrases identfying major subjects in the report)			15. NUMBER OF PAGES 100 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

NSN 7540-01-280-5500

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

Figure L-1. Sample SF Form 298

GENERAL INSTRUCTIONS FOR COMPLETING SF 298

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.***

Block 1. Agency Use Only *(Leave blank).*

Block 2. Report Date. Full publication date including day, month, and year, if available (e.g. 1 Jan 88). Must cite at least the year.

Block 3. Type of Report and Dates Covered. State whether report is interim, final, etc. If applicable, enter inclusive report dates (e.g. 10 Jun 87 - 30 Jun 88).

Block 4. Title and Subtitle. A title is taken from the part of the report that provides the most meaningful and complete information. When a report is prepared in more than one volume, repeat the primary title, add volume number, and include subtitle for the specific volume. On classified documents enter the title classification in parentheses.

Block 5. Funding Numbers. To include contract and grant numbers; may include program element number(s), project number(s), task number(s), and work unit number(s). Use the following labels:

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

Block 6. Author(s). Name(s) of person(s) responsible for writing the report, performing the research, or credited with the content of the report. If editor or compiler, this should follow the name(s).

Block 7. Performing Organization Name(s) and Address(es). Self-explanatory.

Block 8. Performing Organization Report Number. Enter the unique alphanumeric report number(s) assigned by the organization performing the report.

Block 9. Sponsoring/Monitoring Agency Name(s) and Address(es). Self-explanatory.

Block 10. Sponsoring/Monitoring Agency Report Number. *(If known)*

Block 11. Supplementary Notes. Enter information not included elsewhere such as: Prepared in cooperation with...; Trans. of ...; To be published in.... When a report is revised, include a statement whether the new report supersedes or supplements the older report.

Block 12a. Distribution/Availability Statement. Denotes public availability or limitations. Cite any availability to the public. Enter additional limitations or special markings in all capitals (e.g. NOFORN, REL, ITAR).

- **DOD** - See DoDD 5230.24, "Distribution Statements on Technical Documents."
- **DOE** - See authorities.
- **NASA** - See Handbook NHB 2200.2.
- **NTIS** - Leave blank.

Block 12b. Distribution Code.

- **DOD** - Leave blank.
- **DOE** - Enter DOE distribution categories from the Standard Distribution for Unclassified Scientific and Technical Reports.
- **NASA** - Leave Blank.
- **NTIS** - Leave Blank.

Block 13. Abstract. Include a brief *(Maximum 200 words)* factual summary of the most significant information contained in the report.

Block 14. Subject Terms. Keywords or phrases identifying major subjects in the report.

Block 15. Number of Pages. Enter the total number of pages.

Block 16. Price Code. Enter appropriate price code *(NTIS only).*

Blocks 17.-19. Security Classifications. Self-explanatory. Enter U.S. Security Classification in accordance with U.S. Security Regulations (i.e., UNCLASSIFIED). If form contains classified information, stamp classification on the top and bottom of the page.

Block 20. Limitation of Abstract. This block must be completed to assign a limitation to the abstract. Enter either UL (unlimited) or SAR (same as report). An entry in this block is necessary if the abstract is to be limited. If blank, the abstract is assumed to be unlimited.

Standard Form 298 Back (Rev. 2-89)

Figure L-1. Sample SF Form 298—Continued

Appendix M
Final Report Sources: The Defense Technical Information Center; Army Information on Models, Simulations, and Studies System; and the Defense Logistics Studies Information Exchange

M–1. The Defense Technical Information Center and the Work Unit Information System

The DTIC maintains the WUIS. The DTIC system provides information on individual efforts through automated retrieval. It is the function of the SSD to ensure that the WUIS worksheet is prepared for all studies. The requiring activity must prepare a WUIS worksheet at each of several milestones (see app K–2). Each completed worksheet is provided to the DTIC via the COMMANDER, US ARMY RESEARCH LABORATORY, ATTN SLC–TP–TI, 2800 POWDER MILL ROAD, ADELPHI MD 20783. At the completion of a study, the SSD ensures that a DTIC accession number is assigned by submitting two copies of the final report to COMMANDER DTIC, 8725 JOHN J KINGMAN ROAD SUITE 0944, FORT BELVOIR VA 22060–6218.

M–2. Army Information on Models, Simulations and Studies System

Each study program coordinator will develop his or her organization's prioritized portion of the Army Study Program. This information will be forwarded electronically to the Army Study Program Management Office through the AIMSSS. The synopsis of studies is reported to HQDA or MACOM study program coordinators to ensure current information is maintained in AIMSSS. The SSD will conduct a literature search to ensure that a valid requirement for the effort exists and that there are no unnecessary duplications. This search is required for all studies and analyses regardless of whether they are performed with contractor support or in-house resources. As a minimum, the literature search should include DTIC and the AIMSSS. The address for AIMSSS is USAMISMA, ATTN SFUS–MIS, SUITE 808 CRYSTAL SQUARE 2, 1725 JEFFERSON DAVIS HIGHWAY, ARLINGTON VA 22202.

M–3. Logistics studies

For logistics studies, a search of DLSIE is also mandatory. Two copies of the final report are sent to DLSIE, FORT LEE VA 23801–6043.

Appendix N
Contract Offloading Clarification

The term *contract offload* pertains to procurements conducted by a contracting organization other than that which normally services the requiring activity. In those cases, it is Army procurement policy that a justification be submitted and approved in order for the procurement to proceed. The justification document is clarified in the following excerpt from a memorandum issued 18 March 1996 by Kenneth J. Oscar, Deputy Assistant Secretary of the Army (Procurement) (subject: Contract Offloading Clarification).

a. Some activities are interpreting Army contract "offloading" policy too narrowly and have erected bureaucratic impediments to the timely and efficient acquisition by contract of supplies and services needed to satisfy Army requirements. Therefore, a restatement of the Army policy on contract offloading is necessary.

b. This memorandum restates Army offloading policies and supersedes all previous guidance on the subject. This memorandum does not affect policies pertaining to transactions which must be accomplished pursuant to the Economy Act. The current policy regarding Economy Act transactions outside the DOD remains DOD Instruction 4000.19, Federal Acquisition Regulation Subpart 17.5, DOD FAR Supplement 217.5, and Acquisition Letter 94–5, dated 4 August 1994, and its enclosures. Economy Act Definition and Findings need not be prepared for transactions within the Army or the rest of the DOD.

c. The Army offloading policy is that Army requiring activities shall obtain their acquisition support, including contracting support, from the Army or other DOD organization best equipped to satisfy a requirement in terms of technical capability, quality, cost (including administrative support costs) and timeliness.

d. Heads of contracting activities should have offloading procedures that promote advance planning; effective communication between customers and their supporting contracting office(s), including tracking of transactions; and integrated product and process management teams working on acquisition excellence solutions.

e. Users/requiring activities should give their assigned supporting contracting office the opportunity to execute and manage significant procurement actions before they are off-loaded to other Army activities. This opportunity does not constitute a right of first refusal. If certain categories of requirements will routinely be sent to other contracting offices they should be identified in workload planning and program execution oversight meetings.

Appendix O
Justification and Approval (Other than Full and Open Competition)

As cited in the 28 June 1995 DSS–W Acquisition Guide:

O–1. General guidance

The following guidelines provide instructions for preparing the justification and approval (J&A) document for other than full and open competition.

O–2. "Contracting Activity"

Specify the contracting and requiring activities responsible for this action.

O–3. "Description of Action"

Describe the nature of the contractual action for which approval is requested (for example, new contract, modification). Include type of contract, type of funds to be used (Research and Development (R&D), Other Procurement, Army (OPA), or Operation and Maintenance, Army (OMA)) and estimated share and ceiling arrangements, when applicable.

O–4. "Description of Supplies or Services"

Describe the supplies or services to be acquired. Include the estimated total value (including options if any).

O–5. "Authority Cited"

Identify the statutory authority, FAR title, and FAR citation permitting other than full and open competition.

O–6. "Reason for Authority Cited"

Describe how this action requires the use of authority cited. 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 lead-times involved.

O–7. "Efforts to Obtain Competition"

Describe efforts made (for example, market survey) 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.

O–8. "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 complete the current acquisition; explain how competition will be increased or enhanced for the required supplies or services (to include breakout or other considerations).

O–9. "Market Survey"

Describe the extent of the market survey conducted to identify all qualified sources and the results thereof. Or, only if justified, reasons why one was not conducted. Attach a copy of the approved waiver.

O–10. "Interested Sources"

a. Include a listing of the sources that expressed written interest in the acquisition. If section 2304(c)(1), title 10, U.S. Code, is the intended authority, explain why such other sources responding to the synopsis were rejected.

Note. A "Sources Sought Synopsis" should be issued as soon as the procurement package is received so contractors may respond while the J&A is being written.

If applicable, clearly state, "To date, no other sources have expressed an interest in writing." Also, state that the notices required shall be or 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 applies.

b. In the event your activity has previously publicized this requirement, provide details or results, including, if applicable, why only one firm can perform adequately. Include an executive summary of the requirement with the J&A in your package. The executive summary should include a concise summary of the tasks to be performed and be sufficiently detailed so that interested offerors reading the synopsis DSS–W publishes in the CBD will be able to respond with a capability statement. (No negotiations may commence until 15 days have elapsed from the date of the announcement; assuming no capability statements have been received, negotiations may then commence. All capability statements must be reviewed by your office for sufficiency. If any submission is considered to be adequate, the requirement will be converted to full and open competition.)

O–11. "Other Factors"

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" (see para O–7) mentioned in that prior J&A, and explain the results thereof.

(5) If any prior award was accomplished by full and open competition, explain the changed circumstances in detail.

(6) Explain any unusual patterns which may be revealed by the procurement history, for example, 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. Required information. Reasonable efforts to retrieve required information are expected. Resources include past contract files; for AMC, also include the Commodity Command Standard System (CCSS) files (particularly the Procurement History File) and the competition Management Office files.

c. "*Acquisition Data Availability.*" Explain why technical data packages, specifications engineering descriptions, SOW 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. Describe remedial actions to be taken to provide data to compete future similar actions.

d. "*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 injury to the Government. If a requirement for first article testing is the principal reason for not awarding the contract of 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.

e. "*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.

O–12. "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)
(POSITION/TITLE)	(SIGNATURE)

O–13. "Requirements Certification"

Include the statement shown in paragraph O–12 above.

(NAME)	(DATE)
(POSITION/TITLE)	(SIGNATURE)

O–14. "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 (for example, describe techniques to be used to determine fair and reasonable price, such as cost analysis, price analysis, audit, IGE, and so forth).

O–15. "Procuring Contracting Officer Certification"

a. This person shall be the contracting officer who will sign the contract resulting from this J&A.

b. Include the following statement: "I certify that this J&A is accurate and complete to the best of my knowledge and belief."

(NAME)	(DATE)
(POSITION/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)(1), subject to availability of funds, and provided that the services and property herein described have otherwise been authorized.

(NAME)	(DATE)
(POSITION/TITLE)	(SIGNATURE)

Glossary

Section I
Abbreviations

ACPC
Arroyo Center Policy Committee

ADP
automatic data processing

AFARS
Army Federal Acquisition Regulation Supplement

AIMSSS
Army Information on Models, Simulations and Studies System

AMC
U.S. Army Materiel Command

AR
Army regulation

ARI
Army Research Institute

ARNG
Army National Guard

BAFOS
best and final offers

BES
budget estimate submission

CBD
Commerce Business Daily

CCSS
Commodity Command Standard System

COR
contracting officer's representative

DA
Department of the Army

DA PAM
Department of the Army pamphlet

DD
Department of Defense

DFARS
Defense Federal Acquisition Regulation Supplement

DLSIE
Defense Logistics Studies Information Exchange

DOD
Department of Defense

DSN
Defense Switched Network

DTIC
Defense Technical Information Center

DUSA(OR)
Deputy Under Secretary of the Army (Operations Research)

EEA
essential elements of analysis

FAR
Federal Acquisition Regulation

FFRDC
federally funded research and development center

G&A
General and Administrative

HQDA
Headquarters, Department of the Army

IGE
independent Government estimate

IPR
in-process review

J&A
justification and approval

LER
loss exchange ratio

M&S
Models and Simulations

MACOM
major Army command

MDD
management decision document

MOE
measures of effectiveness

NSA/CSS
National Security Agency/Central Security Service

OCSA
Office, Chief of Staff, Army

ODCSLOG
Office of the Deputy Chief of Staff for Logistics

ODCSOPS
Office of the Deputy Chief of Staff for Operations and Plans

ODCSPER
Office of the Deputy Chief of Staff for Personnel

ODUSA(OR)
Office of the Deputy Under Secretary of the Army (Operations Research)

O&M
Operation and Maintenance

OMA
Operation and Maintenance, Army

OPA
Other Procurement, Army

OSD
Office of the Secretary of Defense

OTSG
Office of The Surgeon General

PA&E
Program Analysis and Evaluation Directorate

POC
point of contact

POM
program objective memorandum

R&D
research and development

RDT&E
research, development, test and evaluation

RFP
request for proposal

SAG
study advisory group

SF
standard form

SOW
statement of work

SS
study sponsor

SSD
study sponsor's director

TDY
temporary duty

USAMISMA
U.S. Army Model Improvement and Study Management Agency

USAR
U.S. Army Reserve

VV&A
verification, validation and accreditation

WInS
Work Unit Input System

WUIS
Work Unit Information System worksheet

Section II
Terms

Army Study System
A series of interrelated events, organizations, and resources which provide study and analysis support to the Army.

Contract study
A study performed through a contract. Contract studies are not conducted as isolated activities. There must be management/command commitment to support the contract effort and to integrate the results into their problem solving requirements and into the overall study requirements of the organization.

Model
A representation of an object, process, or activity by symbols or procedures such that the important relations are amenable to analysis. The application of a model to a study includes preparation of input data and computer runs if necessary, technical analysis of output for system and data errors, and interpretation of output for study analysis. (Note: Not all study models are computerized.)

Professional staff year
A unit of measurement used to describe the level of effort of in-house Army (military and civilian) personnel in performing, supporting, and monitoring a study. A professional staff year includes the normal duty hour services of one researcher or analyst, supported by a proportionate share of the management, clerical, and administrative personnel, use of ADPE, and appropriate overhead for 1 year.

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

Sponsoring agency
The HQDA element, agency, FOA or MACOM responsible for a study effort. Oversees study agency's work on the study and generally is responsible for implementation of study results.

Studies, analyses and evaluations
Services that provide organized analytic assessments/evaluations in support of policy development, decision-making, management, or administration. Includes studies in support of R&D activities. Also includes models, methodologies, and related software supporting studies, analyses or evaluations. Examples include, but are not limited to: cost benefit or effectiveness analyses of concepts, plans, tactics, forces, systems, policies, personnel management methods and programs; studies specifying the application of information technology and other information resources to support mission and objectives; technology assessments and management and operations research studies in support of RDT&E objectives; evaluations of foreign force and equipment capabilities, foreign threats, net assessments and geopolitical subjects; analyses of material, personnel, logistics and management systems; and environmental impact statements.

Study advisory group
An advisory group formed by a study sponsor. It consists of representatives from Army elements having a clear functional interest in the study topic or use of the study results. The SAG is to advise and assist the study sponsor on conduct of the study, and to provide assistance, coordination, and support to the study performing organization.

Study agency
The organization charged with conducting a study. It may be the sponsoring agency or MACOM, a contractor or consultant, an ad hoc group, or an Army study organization.

Study program coordinator
An individual designated by the head of an agency or MACOM to provide advice on all matters related to Army studies.

Study sponsor
The person who is responsible for a study. The study sponsor will validate the need for the study and provide management oversight of the study effort.

Sponsor's study director
The person appointed by the sponsor to ensure that the study objectives are met. The sponsor's study director represents the sponsor in establishing the requirement for the study, providing technical direction for the sponsor to the organization performing the study, and providing guidance to the SAG, COR or contracting officer. This person may be the chairperson of the SAG.

Statement of work
The basic document that specifies the study work to be performed under a contract. The SOW is—

a. Prepared by the sponsor of a proposed study contract.

b. Coordinated through appropriate agency approval channels.

c. Provided to the contracting officer representative who, in turn, forwards to the contracting officer for use in preparation of the solicitation and resultant study contract.

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

Section III
Special Abbreviations and Terms
This section contains no entries.

Index

This index is organized alphabetically by topic and subtopic. Topics and subtopics are identified by paragraph number.

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