



JOINT STAFF INSTRUCTION

J8
DISTRIBUTION: J

JSI 5640.01B
30 June 2004
Current as of 7 July 2006

CONTRACTED ADVISORY AND ASSISTANCE SERVICES

References: See Enclosure L.

1. Purpose. This instruction:

a. Establishes policy, assigns responsibilities, and prescribes procedures for planning, managing, evaluating, and reporting Contracted Advisory and Assistance Services (CAAS).

b. Incorporates and combines the essential provisions of references a through e.

2. Cancellation. JSI 5640.01A, 1 November 2001, is cancelled.

3. Applicability. This instruction:

a. Applies to Joint Staff directorates and offices.

b. Applies to advisory and assistance services acquired directly by contract from non-governmental sources to support or improve organization policy development, decision-making, management and administration, program and/or project management and administration, or to improve the effectiveness of management processes or procedures. Such services may take the form of information, advice, opinions, alternatives, analyses, evaluations, recommendations, training and technical support. CAAS activities can be broadly aggregated as engineering and technical services, management and professional support services, and studies. To maximize the use of Joint Staff funds, studies conducted through CAAS are subject to review and valuation as discussed in references b and c. Examples (not to be interpreted as an

exhaustive list) of the kinds of advisory and assistance services covered include:

(1) Obtaining specialized opinions and professional and technical advice or assistance not available within the Department of Defense or another government agency.

(2) Obtaining outside points of view to enhance understanding or develop alternative positions and/or solutions to various issues or problem areas.

(3) Obtaining reviews, analyses, appraisals, or summaries of information on subjects of highly specialized areas of concern.

(4) Obtaining improved program and/or project management of DOD systems or programs through advice, assistance, or training, to include program monitoring, resource management, planning and programming, and milestone and schedule tracking.

(5) Supporting or improving the management and/or administration of the Joint Staff.

(6) Providing advice for the efficient and/or effective operation of fielded weapons, weapon support and communication systems, equipment, or components.

(7) Assisting in the introduction and transfer of engineering and technical knowledge for fielded systems, equipment, and components (for example, contracted technical representatives providing information, instruction, or hands-on training associated with the operation of such systems).

c. Does not apply to advisory and assistance services obtained by personnel appointments under the Federal Personnel Manual or from chartered Federal advisory committees.

d. Does not apply to:

(1) The National Foreign Intelligence Program.

(2) The General Defense Intelligence Program.

(3) Tactical intelligence and related activities.

(4) Programs managed by the Director, National Security Agency/Central Security Service.

(5) Information technology consulting services that have large-scale systems acquisition and integration or large-scale software development as their primary outcome.

(6) Personnel appointments and advisory committees that are classified in object class 11.3, other than full-time permanent.

(7) Contracts with the private sector for routine operation and maintenance of information technology and telecommunication services that are classified in object class 25.7, operation and maintenance of equipment.

(8) Architectural and engineering services as defined in the Federal Acquisition Regulation (FAR) 36.102 (40 U.S.C. 541).

(9) Research on theoretical mathematics and basic medical, biological, physical, social, psychological, or other phenomena, that are classified in object class 2.5, research and development contracts.

(10) Other contractual services classified in object class 25.2, other services, through object class 25.8, subsistence and support of persons, and 26.0, supplies and materials.

4. Policy

a. The Joint Staff will establish and maintain staff and resources to perform planning; policy development, interpretation, and enforcement; program and budget decision-making; resource management; and financial accountability functions associated with the legal administration of CAAS as required by public law and DOD directives.

b. The acquisition of CAAS is a legitimate means to support DOD services and operations. CAAS may be used at all organizational levels to help managers achieve maximum effectiveness or economy to meet mission requirements.

c. CAAS will not be:

(1) Used to perform inherently governmental functions discussed in reference a and as defined in the Federal Acquisition Regulation (FAR), SubPart 7.5.

(2) Used to bypass or undermine personnel ceilings, pay limitations, or competitive employment procedures.

(3) Awarded on a preferential basis to former government employees.

(4) Used under any circumstances specifically to aid in influencing or enacting legislation.

(5) Procured through grants or cooperative agreements.

(6) Used to perform impermissible personal services.

d. The following guidelines should be used to determine when CAAS is an appropriate resource:

(1) When suitable in-house capability is unavailable or cannot be obtained in time to meet the needs of the Joint Staff, or it is not cost effective to establish an in-house capability (for example, because the special or unique skills or expertise are not required full time).

(2) When the requirement is anticipated to be of a short-term, temporary nature. If the requirement is for a long or continuing period, the office generating the requirement should perform an analysis to determine if in-house or contracting services are the most efficient means of performance.

e. The work to be done must be specific enough so that a contract can be written describing the services required in clear and unambiguous terms.

f. The requirements of the Federal Acquisition Regulations (FAR) and Defense Federal Acquisition Regulations (DFAR) will be met in the solicitation, award, and administration of all CAAS. Requirements for CAAS will be identified as far in advance as possible to permit competition to the maximum extent practicable. (Please note that lack of planning will not be a basis to justify contracting for other than full and open competition.)

g. Contracts for CAAS may not be continued for longer than 5 years without review for compliance with reference a by the J8/DDFM as the Joint Staff CAAS Program Executive.

5. Responsibilities. See Enclosure A.

6. Summary of Changes. Revised Enclosures I and J.

30 June 2004

7. Releasability. This instruction is approved for public release; distribution is unlimited. DOD components (to include the combatant commands), other Federal agencies, and the public may obtain copies of this instruction through the Internet from the CJCS Directives Home Page--<http://www.dtic.mil/doctrine>. Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.
8. Effective Date. Effective upon receipt.



T. J. KEATING
VADM, USN
DIRECTOR, JOINT STAFF

Enclosures:

- A - Responsibilities
- B - Procedures
- C - Study Proposal Requirements Template
- D - Completing JS Form 136 for CAAS Projects
- E - Completing SD Form 419 for CAAS Projects
- F - Independent Government Cost Estimate (IGCE)
- G - Recommended Sources/Evaluation Criteria (Sample)
- H - Completing DD Form 1498 for R&D Funded CAAS Projects
- I - Sole Source Justification (Sample)
- J - Sole Source Justification for FFRDC (Sample)
- K - Completing DD Form 254 for CAAS Projects
- L - References

(INTENTIONALLY BLANK)

ENCLOSURE A

RESPONSIBILITIES

1. Director, Joint Staff (DJS). The DJS approves the Joint Staff CAAS Annual Plan for execution and is the final oversight authority for CAAS.
2. Vice Director, Joint Staff (VDJS). As Chairman of the Joint Staff Resource Management Council, the Joint Staff Acquisition Authority, and the Joint Staff Director for CAAS, the VDJS approves each CAAS project acquisition and funding execution action. The VDJS also provides oversight to the CAAS Program Executive to ensure adherence to DOD CAAS policy and procedures.
3. Joint Capabilities Board (JCB). The JCB Chairman, in consultation with the JCB and Functional Capabilities Board (FCB) general/flag officers, will approve and prioritize FCB CAAS requests for submission to the J-8 RMC.
4. Joint Staff Resource Management Council (JS RMC). The JS RMC provides review and oversight of Joint Staff resource allocation for the Joint Staff. The JS RMC will make resource allocation decisions for Joint Staff studies consistent with reference b.
5. Joint Staff Working Resource Management Council (JS WRMC). The JS WRMC reviews and develops Joint Staff programs and budget. Each JS WRMC member coordinates CAAS requirements for their individual directorates.
6. J-8 Deputy Director for Force Management (DDFM). The J-8 DDFM is appointed the CAAS Program Executive for the Joint Staff and is charged with the following:
 - a. Responsibility for the administration of CAAS activities for the Joint Staff including contract studies and analysis, professional and management services, and Federally Funded Research and Development Centers (FFRDC) requirements oversight.
 - b. In conjunction with the role as Executive Agent for Study Resourcing and Management (EA SRM), DDFM, as discussed in references b and c, will provide assessments on proposed CAAS studies to the VDJS. These assessments will address issues associated with the administration and execution of CAAS for Joint Staff studies and oversight of the collaborative study valuation process.
7. Joint Staff CAAS Program Manager. The Joint Staff CAAS Program Manager will:

- a. Ensure that the Joint Staff's overall CAAS process, procedures, and practices for the identification, acquisition, and management of CAAS resources comply with this instruction and other applicable public law and DOD guidance.
- b. Ensure that adequate controls are established at the appropriate level of accountability so that CAAS resources are used for the purposes identified when requesting resources.
- c. Ensure that CAAS operating plans are periodically reviewed by the EA SRM to identify opportunities for savings through consolidation of similar requirements.
- d. Ensure implementation of Joint Staff CAAS training for the identification, acquisition, management, and use of CAAS.
- e. In conjunction with the EA SRM, ensure that CAAS contract actions are properly evaluated at their conclusion, or when otherwise deemed appropriate (e.g., prior to renewal of an option, completion of a separate task or service, etc.), to assess utility to the organization and performance of the contractor.
- f. Ensure accurate and timely reporting of appropriate CAAS contract actions and outputs (especially studies) to the Defense Technical Information Center (DTIC) and other relevant data repositories.
- g. Review Joint Staff CAAS requirements for appropriate CAAS classification and funding.
- h. Recommend necessary funding adjustments in CAAS projects to the EA SRM.
- i. Prepare required plans in accordance with DOD CAAS reporting requirements.
- j. Monitor execution of the Joint Staff CAAS plan.
- k. Develop Joint Staff procedures for CAAS monitoring, feedback, and documentation.
- l. Keep the Joint Staff CAAS operating plan current at all times.
- m. Assist directorate CAAS coordinators on all CAAS matters.
- n. Assist review teams in conducting internal control reviews as required.

o. Clearly document the corrective action on internal control weaknesses reported from risk assessments, internal control reviews, and other sources.

p. Facilitate the annual call for Joint Staff CAAS requirements throughout the Joint Staff. Input is used to develop the Joint Staff CAAS Annual Plan for CAAS and facilitate resource allocation planning.

8. Joint Staff Comptroller. The Joint Staff Comptroller is responsible for budget execution of the annual CAAS program and chairs the JS WRMC. The Comptroller is responsible for funding approved programs.

9. Joint Staff Acquisition Manager. The Joint Staff Acquisition Manager (located within the Office of the Joint Staff Comptroller) is responsible for determining compliance with the references and this instruction (including the guidelines in Enclosure C). The Acquisition Manager is also responsible for advising Joint Staff personnel on the development and implementation of acquisition actions (to include determining the appropriateness of applicable appropriations) and assisting directorates to manage contracts after award. In addition, the Acquisition Manager serves as the informal Competition Advocate to challenge barriers to and to promote full and open competition on Joint Staff acquisitions.

10. Directorate CAAS Coordinators. As the directorate focal points for CAAS issues, directorate CAAS coordinators will:

a. Evaluate each proposed contract action to determine if the proposed services requested fall within the guidelines of this instruction for CAAS funding.

b. Provide and coordinate all CAAS execution documents with the Joint Staff CAAS Program Executive and Manager.

c. At the end of each fiscal year, ensure that directorate project managers submit SD Form 419-1, "Office of the Secretary of Defense Contract Advisory and Assistance Services (CAAS) Evaluation," to the Joint Staff CAAS Program Manager.

d. Ensure that directorate CAAS project managers maintain an appropriate file record for management and audit reviews for each separate CAAS for 5 years from project initiation.

11. Directorate Project Managers for CAAS Projects. CAAS directorate project managers will:

- a. In consonance with the Joint Staff Acquisition Manager, ensure that CAAS actions reflect sound acquisition planning and conformance with applicable acquisition and financial statutes and regulations.
- b. Prepare all documentation for CAAS projects.
- c. Ensure that resources for CAAS projects are managed and used prudently and efficiently.
- d. Provide input to the Joint Staff CAAS Program Manager on internal control matters relating to their CAAS projects as tasked.
- e. Provide input to the Joint Staff Studies Resourcing and Management Program Manager on study details, programmatics, and status.
- f. Maintain a file consisting of all correspondence; signed SD Forms 419, "Office of the Secretary of Defense Request for Contracted Advisory and Assistance Services (CAAS);" the contract; all deliverables; DD Form 1498, "Research and Technology Work Unit Summary" (for R&D-funded projects); DD Forms 250, "Material Inspection and Receiving Report;" signed SD Forms 419-1; and any other relevant material for 5 years from project initiation. (At the end of the fiscal year, CAAS directorate project managers must prepare an SD Form 419-1 on each CAAS project and submit it to the Joint Staff CAAS Program Manager, who will process it for VDJS approval (Block 8).)

ENCLOSURE B

PROCEDURES

1. There are three types of CAAS funding requirements, and each requirement is submitted as described below. The information provided in Enclosure C through Enclosure L are intended to augment Automated Contract Management System (ACMS).

a. Study Requirements. Every Joint Staff CAAS study requirement to be funded using Joint Staff OSD study money will be submitted to the Joint Staff CAAS Program Manager through the directorate's CAAS Manager. A call for Joint Staff CAAS study requirements will be issued yearly (usually in May) by the Joint Staff CAAS Program Manager. The May call for CAAS requirements will be used to build the annual Joint Staff CAAS study plan and create planning documents for the following fiscal year (Enclosure C).

b. Functional Capability Board (FCB) Requirements. Every Joint Staff FCB CAAS study requirement to be funded using JROC resources will be submitted to the J-8/Joint Capabilities Division (JCD) using ACMS.

c. J-Directorate CAAS Requirements. Every J-Directorate CAAS requirement to be funded using J-Directorate funding will be submitted to the appropriate directorate project managers for CAAS projects using the ACMS.

2. Action officers for individual CAAS requirements prepare acquisition packages using ACMS. Additional guidance on preparing acquisition packages (ACMS video link) can be found on the ACMS Homepage. Standard forms listed below are available within ACMS. Acquisition packages will be reviewed electronically by the Joint Staff Acquisition Manager, Joint Staff Legal Counsel, Joint Staff CAAS Program Manager, Joint Staff Program Manager for Study Resourcing and Management, and others as identified and will include the following:

a. JS Form 136, "Joint Staff Action Processing Form." Enclosure D addresses.

b. SD Form 419 (see reference a, Appendix 8). Enclosure E addresses.

c. Independent Government Cost Estimate (IGCE). ACMS provides the format for completion of the IGCE (Enclosure F outlines the typical information required on an IGCE).

d. Statement of Work (SOW)/Task Order. (See reference c, Appendix 3, SOW Guidelines).

e. Recommended Sources/Evaluation Criteria (Enclosure G).

f. DD Form 1498, "Research and Technology Work Unit Summary." This form is necessary only for CAAS initiatives to be funded with R&D dollars. Enclosure H and the backside of the form provide detailed preparation instructions.

g. Sole-source justification, if required (Enclosure I).

h. Requirement and Justification (R & J) document for using a Federally Funded Research and Development Center (FFRDC) (Enclosure J), as required. A general officer/flag officer (GO/FO) or SES must sign this document.

i. DD Form 254, "Department of Defense Contract Security Classification Specification". ACMS provides the format for completion of the 254 (Enclosure K outlines components of the 254).

3. CAAS package routing is established by ACMS based on the directorate of origin. After directorate approval, steps d through j apply.

a. Action officer's division chief approval to include all individual Joint Directorate coordination requirements.

b. Directorate vice director approval (for use of contractors vice government resources).

c. Directorate GO/FO or SES signature (directorate approval).

d. J-8/Joint Capabilities Division (JROC resource manager) for FCB requirements.

e. J-8/Studies and Analysis Management Division

f. J-8/Resources and Acquisition Management Office (CAAS Program Manager).

g. J-8/Deputy Director for Force Management (DDFM) (CAAS Executive Manager).

h. Joint Staff Acquisition Manager (Acquisition Review).

i. Joint Staff Legal Counsel (Legal Review).

- j. Vice Director Joint Staff (acquisition approval).
 - k. Joint Staff Comptroller (fiscal release).
 - l. Contracting (for contract award).
4. Directorate program managers will submit SD Form 419-1 on approved CAAS projects at the end of each fiscal year and also at the time of project completion.
 5. CAAS packages described above may be submitted at any time during the year.
 6. Directorate financial managers and/or budget analysts should ensure that funding documents (DD 1262 or DD 448) reflect the appropriate object classification code (OCC) for the CAAS activity described in the statement of work.

This page intentionally left blank.

ENCLOSURE C

STUDY PROPOSAL REQUIREMENTS TEMPLATE

Directorate/:	Date:
Sponsoring Activity Project Number:	

Study Title:
Source of requirement (specific):
Supported decision/document:
Study legacy/association:

Directorate Rank:	
POC:	Office:
Phone:	E-mail:
Address (Optional):	

Desired Start date:	Projected end date:
Required Delivery Dates:	
Schedule:	

FY XX Funding Request Amount:	Expected Funding Source:
Funding history:	
Projected funding requirement:	
CAAS package available for review?:	

STUDY PROPOSAL REQUIREMENTS TEMPLATE (cont.)

Purpose:
Objectives:
Deliverables:
Project Maturity:
Classification:
Keywords:

ENCLOSURE D

COMPLETING JS FORM 136 FOR CAAS PROJECTS

The JS Form 136 is addressed to the Vice Director, Joint Staff (VDJS) for approval. The JS Form 136 will be automatically generated by ACMS by properly completing the “overview” section of ACMS. The following information shall be included in the executive summary of JS Form 136 via the “Overview” section of ACMS:

1. Purpose. To obtain VDJS approval to obligate funds for CAAS project.
2. Discussion
 - a. Origin/requirement.
 - b. Product to be produced or service to be rendered.
 - c. How will product/service be used and by whom?
 - d. Specific benefits expected from the proposed effort.
 - e. Funding history and appropriation (include prior fiscal year, current fiscal year, and outyears).
 - f. Detailed deliverables.
 - g. Source of funds (ORC or other) and appropriation.
 - h. Type of contract (desired type of contract, i.e., firm fixed-price, time and material, level of effort, etc.)
 - i. Certification “VDJ-X certifies that no governmental sources are available or are adequate to perform the work.”
3. Recommendation: VDJS sign Block 10c of the attached SD Form 419.

This page intentionally left blank.

ENCLOSURE E

COMPLETING SD FORM 419 FOR CAAS PROJECTS

(The SD Form 419 will be automatically generated through proper completion of the ACMS package. The below information is provided to assist the action officer in understanding the components of the SD Form 419.

- Block 1. Enter identification number from organization's approved annual plan. If request is not contained in approved annual plan, explain why in the lead-in sentence in Block 12, "Statement of Work."
- Block 2. Enter date of submission of SD Form 419 for processing.
- Block 3. If this SD Form 419 is to modify an existing contract, check the yes box and identify the appropriate contract number being modified. If this SD Form 419 is to initiate another delivery order under an existing contract vehicle (including the GSA schedule) check the no box.
- Block 4. Enter project title. Make sure it is accurate, descriptive of work to be undertaken, and relevant to organization defense mission. (The project title should be the same as the title used in your Statement of Work.)
- Block 5. Enter highest level of access to classified information required by contractor. Attach completed DD Form 254 if classification is indicated.
- Block 6a. Enter applicable data for cognizant officer who is responsible for the specific technical/substantive tasks and details of the study.
- 6.b. Enter the applicable data for the contract officer representative (COR).
- Block 7a. Enter total estimated amount of money for contract. (The amount entered should match the amount on your independent government cost estimate. However, if your contract is being funded from two sources, only input the amount of Joint Staff money being funded on the task.)
- 7.b. Enter fiscal year of money.

- 7.c. Enter Program Element number for type of appropriation entered on 7d.
- 7.d. Check appropriate box that describes type of appropriation.
- 7.e. Check as appropriate.
- 7.f. Check as appropriate.
- 7.g. Check as appropriate.
- 7.h. Check appropriate box if funds are being transferred to or from OSD/OJCS via Military Interdepartmental Purchase Request (MIPR), interagency agreement (IA), or by memorandum of understanding (MOU). Provide name and address of activity receiving or sending funds, name and phone number of point of contact (POC), and the amount of funding being transferred. In the case of an IA or an MOU, a copy of the agreement must accompany the Form 419. The agreement must include a fiscal paragraph and fund cite from Budget Division, WHS. An example follows:

Sample Fiscal Paragraph —

Transfer of Funds: The (Name of Agency) will remit an SF 1080 in the amount of \$500,000 to the Director of Budget and Finance, Washington Headquarters Services, Room 3B287, The Pentagon, Washington, D.C., 20301. The SF 1080 should reference the following accounting classification:
(To be provided by the Budget and Finance Directorate, WHS)

- Block 8. To be entered by the Budget and Finance Directorate, WHS.
- Block 9. Coordination required will be the responsibility of the requesting activity.
- Block 10. Obtain approval from appropriate authority as specified in OSD Administrative Instruction No. 54. OMB Circular A-120 (reference f) states “Written approval of all consulting service arrangements will be required at a level above the organization sponsoring the activity. Additionally, written approval for all consulting service arrangements during the fourth quarter will be required at the second level above the organization sponsoring the activity.” See DOD Directive 4205.2 (reference b).

- Block 11. Obtain budget and program clearance from the Budget and Finance Directorate, WHS.
- Block 12. Provide a clear, detailed statement of what work or tasks are to be purchased and performed by the contractor. The criteria to be applied in the development of the work statement is that the Department of Defense is obligated to ensure that each prospective contractor fully understands the details of the various phases of the DOD requirement.
- Block 13. Enter the terms of the contract, schedule of performance, reports, other deliverables, and services to be delivered, acquired, or retained by the government. When DOD review of contractor-prepared materials is necessary before completion of contractual obligations, sufficient time will be provided and specified in the basic contract. Any data developed during the performance of the contract that the Department of Defense desires to acquire should be specified.
- Block 14. Check the appropriate boxes. If sole source is checked, provide a written justification explaining why the source selected is unique and why no other contractor can perform this service. Cite specific references from the FAR, DFAR Supplement, and Competition in Contracting Act to justify use of sole-source exemption. Provide justification and approval.
- Block 15. Enter name of contractor if sole source or names of prospective contractors if competitive. (When using the GSA schedule, enter the company name, point of contact name, point of contact phone number, and GSA number of each recommended source. Three recommended sources are required.
- Block 16. Check appropriate box. Attach DD Form 1498, which the OSD Study Coordinator will submit to Defense Technical Information Center (DTIC).
- Block 17.a. Enter the appropriate capital letter-number-small letter to accurately identify the PB 27 category. Neither the type of money, such as O&M or RDT&E nor the organizational function requesting the service determines the DD 350 code category, only the type of service being procured does, i.e., an R400 or R500 series code (see block 17.b., also

pages 5-6 of this enclosure).

Block 17.b. Enter the appropriate alphanumeric code (see pages 5-7 of this enclosure) for use on the DD Form 350.

Block 17.c. Check the appropriate box based on definition in FAR, DFAR Supplement, DOD Directives and OMB Circulars. Consulting Services “means those services of a purely advisory nature relating to the governmental functions of agency administration and management and agency program management. These services are normally provided by persons and/or organizations that are generally considered to have knowledge and special abilities that are not generally available within the agency. The form of compensation is irrelevant to the definition.” (From FAR, Part 37, Subpart 37.2, Paragraph 37.201, Page 37-3 (reference g)).

Block 18. If the proposed procurement necessitates the use of government-furnished property or facilities, check the appropriate box and describe what property or facilities need to be furnished.

CODES FOR USE IN BLOCK 17.a.

Use one of the following codes.

CATEGORY	TITLE	CODE
A	INDIVIDUAL EXPERTS AND CONSULTANTS (IEC) Contract Consultants Note: Leave block 17.b. blank when using this code in block 17.a.	A.2.
B	STUDIES, ANALYSES, AND EVALUATIONS (SAE) Contract Studies and Analysis Note: You may only use an R500 series code in block 17.b. when using this code in block 17.a.	B.2.
C	MANAGEMENT SUPPORT SERVICES (MSS) Program Management Support Policy Review and Development Specification Development Technology Sharing and Utilization Logistic Support Services Technical Data Collection Public Relations and Advertising Other Professional and Management Services	C.1.B. C.2.B. C.3. C.5.B C.6.B. C.7.B. C.8.B. C.9.B.

NOTE: You may only use R400, R600, or R700 series product service codes in block 17.b. when using these codes in block 17.a.

PRODUCT SERVICE CODES FOR USE IN BLOCK 17.b.

<u>TITLE</u>	<u>CODE</u>
MANAGEMENT & PROFESSIONAL SERVICES	R404
Land Surveys, Cadastral Services (Non-construction)	R405
Operations Research Services	R406
Policy Review/Development Services	R407
Program Evaluation Services	R408
Program Management Support Services	R409
Program Review/Development Services	R411
Real Property Appraisal Services	R412
Simulation	R413
Specifications Development Services	R414
Systems Engineering Services	R415
Technology Sharing/Utilization Services	R416
Care of Animals	R418
Legal Services	R419
Education Services	R420
Certifications & Accreditation's	R421
Technical Assistance	R422
Telephone & Field Interview Services	R423
Intelligence Services	R424
Engineering Technical Services	R425
Communications Services	R426
Personal Services	R497
Other Professional Services	R498
Other Management Services	R499
SPECIAL STUDIES & ANALYSES	
Air Quality Analyses	R502
Archeological/Paleontological Studies	R503
Chemical/Biological Studies & Analyses	R504
Cost Benefit Analyses	R505
Data Analyses (Other than Scientific)	R506
Economic/Socio-Economic & Labor Studies	R507
Endangered Species Studies - Plant & Animal	R509
Environmental Assessments	R510
Environmental Baseline Studies	R511
Environmental Impact Studies	R512
Feasibility Studies (Non-construction)	R513
Animal & Fisheries Studies	R516
Geological Studies	R517
Geophysical Studies	R518
Geotechnical Studies	R519

Grazing/Range Studies	R520
Historical Studies	R521
Legal/Litigation Studies	R522
Mathematical/Statistical Analyses	R524
Natural Resource Studies	R525
Oceanological Studies	R526
Recreation Studies	R527
Regulatory Studies	R528
Scientific Data Studies	R529
Seismological Studies	R530
Soil Studies	R532
Water Quality Studies	R533
Wildlife Studies	R534
Medical & Health Studies	R537
Intelligence Studies	R538
Aeronautic/Space Studies	R539
Building Technology Studies	R540
Defense Studies	R541
Education Studies & Analyses	R542
Energy Studies	R543
Technology Studies	R544
Housing & Community Development Studies	R545
Security Studies (Physical & Personal)	R546
Accounting/Financial Management Studies	R547
Trade Issue Studies	R548
Foreign Policy/National Security Policy Studies	R549
Organization/Administrative/Personnel Studies	R550
Mobilization/Preparedness Studies	R551
Manpower Studies	R552
Communications Studies	R553
Acquisition Policy/Procedures Studies	R554
Other Special Studies & Analyses	R599
ADMINISTRATIVE SUPPORT SERVICES	
Other Administrative Support Services	R699
MANAGEMENT SUPPORT SERVICES	
Logistic Support Services	R706
Contract, Procurement & Acquisition Support Services	R707
Other Management Support Services	R799

Supplemental Guidance for Completing Request for Contracted Advisory and Assistance Services, SD Form 419

This guidance supplements the instructions found in OSD Administrative Instruction 54 on page 5-3.

Block 3: In specifying the nature of modification, indicate whether the contract is being incrementally funded (if so, provide summary of previous and future funding) or whether options are being executed.

Block 9(2): Clarification of when General Counsel coordination is required. The AI is misleading when it states that a CAAS to be funded through a MIPR or IA does not require General Counsel coordination. If the MIPR or IA involves work to be performed either within a government agency (i.e., in-house) or to be contracted by a non-DOD agency, General Counsel coordination is not required. However, if the work is to be contracted out by another DOD agency, then General Counsel coordination is required.

Block 14: For contracts being modified, indicate whether contract was initially "sole source" or "competitive."

Block 15: If work is to be performed by a government agency, indicate such.

Block 16: A DD Form 1498 is required to be completed and attached for each proposed request, unless an appropriate reason appears in Block 16.b.(3). Acceptable reasons include:

- DOD agency receiving MIPR will submit.
- In the case of RAND, IDA, and LMI, contractor will submit.
- Effort is not appropriate for DTIC submission because it is (too sensitive, internal office support, etc.).

For contract modifications, submit a copy of the original DD Form 1498 with annotated changes.

- Block 17.a.: Use only one of the following categories:
- Individual Experts and Consultants
 - Studies, Analyses, and Evaluations
 - Management Support Services
 - Engineering and Technical Services
 - Category E for an FFRDC is no longer valid
- Block 17.c.: Not being used.

(INTENTIONALLY BLANK)

ENCLOSURE F

INDEPENDENT GOVERNMENT COST ESTIMATE (IGCE)
(Enclosure F outlines the typical information required in an IGCE. ACMS will generate an IGCE for the CAAS package)

NO CONTRACTORS - For Official Use Only

Sponsoring Organization:
Project Title:

LABOR	Category	Hourly Rate	# of Hours	Amount
-------	----------	-------------	------------	--------

Totals:
Overhead:

Total Labor Costs:

MATERIAL	Item	Unit Cost	Quantity	Amount
----------	------	-----------	----------	--------

Totals:
Overhead:

Total Material Costs:

OTHER
DIRECT
COSTS
(ODC)

Category	Amount
----------	--------

Travel
Training
Other

Total Other Direct Costs:

GENERAL &
ADMINISTRATIVE
& FEE

Category	Rate	Amount
----------	------	--------

G&A
Fee

Total General & Administrative & Fee:

Estimator's Name / Title / Phone:

Date:

Approving Official's Name / Title / Phone

Date:

(INTENTIONALLY BLANK)

ENCLOSURE G

RECOMMENDED SOURCES/EVALUATION CRITERIA (SAMPLE)

(Enclosure G outlines the typical information required for the sources and evaluation criteria documents. ACMS will generate a sources document and an evaluation criteria document for CAAS packages that are to be completed. Otherwise, ACMS will require a sole source justification memorandum to be completed.)

MEMORANDUM FOR DEFENSE CONTRACTING COMMAND - WASHINGTON

Attention: (See J-8/RAMO) for addressee

Subject: Protection FCB Onsite Assessment Support

1. Our recommended sources are shown below:

- a. Company A
 - (1) POC:
 - (2) Phone #:
 - (3) Fax #
 - (4) E-mail address
 - (5) GSA #:

- b. Company B
 - (1) POC:
 - (2) Phone #:
 - (3) Fax #
 - (4) E-mail address
 - (5) GSA #:

- c. Company C
 - (1) POC:
 - (2) Phone #:
 - (3) Fax #
 - (4) E-mail address
 - (5) GSA #:

2. Evaluation Criteria:

- a. Go/No Go Criteria: On-site contractor must have a TOP SECRET clearance. Supporting contractors must have SECRET-level clearances.

b. Contractor's proposals should be evaluated based on the following factors listed in descending order of importance:

- Expertise
- On-site analyst must be entirely familiar with current counterproliferation strategy and policy and national weapons of mass destruction (WMD) counterproliferation efforts, with a working knowledge of overseas presence and nuclear strategy issues. Must have a minimum of 24 months experience with the roles, organization, process interrelationships, management, and operation of the Functional Capabilities Board (FCB) process and the Joint Requirements Oversight Council (JROC) process, to include the requirements generation process (CJCSI 3170.01D). Analysts' experience must include a complete knowledge of the core FCB working group functions, and integration/standardization function. A working knowledge of ongoing FCB working group assessments is vitally important (specifically, efforts to develop an integrated counterproliferation operational concept and architecture). The on-site analyst must have knowledge and experience with the Planning, Programming, and Budget System (PPBS) and the Services' NBC Defense requirements process.
- Personnel Experience
- On-site contractor should be a senior analyst with at least 3 years experience in the counterproliferation/WMD field. Must have current proficiency with Microsoft Office (Word, Excel, and PowerPoint) software. Contractor must have the capacity to work on-site at the Pentagon 5 days a week and be willing to conduct periodic travel with the FCB team leader to COCOM/JTF headquarters both stateside and overseas.
- Program Management
- Lead contract manager should have broad technical and operational knowledge of the counterproliferation, overseas presence, and nuclear strategy fields. The lead contractor should have the capability to "reach down" to support contractors that have a more extensive subject matter expertise and operational background in the chemical/biological warfare field at the tactical warfighting level. The contract manager should have available experts in three working group domains within the Protection FCB -- counterproliferation of weapons of mass destruction, nuclear strategy, and overseas presence. Direct oversight/involvement is at the senior policy analyst level in FCB activities, to include representative attendance at regular FCB meetings. Intent is to follow CoCom/JTF and Service needs and issues to determine the need for technical direction and analytical team support to the on-site contractor as necessary. The ability to direct

administrative support functions for on-site contractor requirements from a local program management office in the Washington, D.C., metropolitan area is desired.

- Past Performance
 - Request contract award to a firm with a history of successful completion of projects/studies that parallel and complement efforts in the NBC defense and counterproliferation of weapons of mass destruction arena. Place importance on successful conformity to contract specifications, ability to forecast and contain costs, adherence to period of performance/schedule constraints, and a history of commitment to customer satisfaction and contractor-client interface.
3. Your assistance in this matter is greatly appreciated.

(insert action officer's signature)

(INTENTIONALLY BLANK)

ENCLOSURE H

COMPLETING DD FORM 1498 FOR R&D FUNDED CAAS PROJECTS

1. "DD" for OSD
2. "yymmdd" (year, month, day)
3. "yymmdd" (blank for new effort)
4. "A"- new
"D" - update
"K"- completed study
"H" - stopped before completion
5. "U" (classification of this summary)
6. "U," "C," "S," or "T" (classification of study)
7. Leave blank
8. "DX" - distribution limited DOD components/their contractors
"CX" - distribution limited US Government/their contractors
9. Leave Blank
10. Not necessary
11. Title of Study
12. Subject Areas (see attached list)
13. Estimated start date: "yymm" (year, month)
14. Estimated completion date: "yymm" (year, month)
15. "DD" for OSD
16. "B" for contract
17. Contract data: DSS-W will fill in for new contract; for modification to existing contract, option execution, or incremental funding this should be completed by requesting office.
18. Resources estimate (dollars in thousands)
19. Requesting organization
20. Contractor information (on new competitive awards; DSS-W will complete)
21. Leave blank
22. List several key specific terms (key words) which identify the subject of study

(INTENTIONALLY BLANK)

ENCLOSURE I

SOLE SOURCE JUSTIFICATION (SAMPLE)

(For open market competition under \$500K may use the following format in a memorandum addressed to Contracting Officer. For over \$500K must follow FAR Part 6.3 format. Sole Source procurements require well-justified rationale for exemption to competing a requirement. Reference DCC-W Acquisition Guide and JSI 7500.01B for more guidance. ACMS will guide users and provide examples of justification documents).

For DCC-W Acquisition under \$500K, the DCC-W Contracting Officer may accept the following format:

****You should refer to the Federal Acquisition Regulation (FAR) SubPart 6 (justification for other than full and open competition), or SubPart 16 (exceptions to the fair opportunity process) for additional information. In order to perform historically based casualty analysis that estimates probable casualty levels associated with alternative scenarios arising from US participation in peacekeeping operations in Bosnia, the participation of several independent analysts is required. Analysts must possess the requisite high level of expertise to accurately predict personnel casualties against an unfolding sequence of national and international current events. Analysts will posit logical scenarios that include the commitment of US forces and the associated risk of incurring personnel casualties. US force deployments will represent immediate reaction force capabilities. Force deployments will be consistent with strategic lift capabilities. Threat force capabilities will be as currently available in the objective area. The quality of the analysis must be appropriate for presentation to the Chairman of the Joint Chiefs of Staff and to Congress. An independent analysis is needed to provide a balanced and unbiased view of this potential, and increasingly likely, mission.**

To meet this requirement, J-8 needs to contract outside expertise in historically based military analysis. This is an extremely visible issue reaching the highest levels of the National Command Authority and affecting a broad spectrum of the international community. Accordingly, a team of personnel with unique skills who have access to historically based research records is needed. The only known source with the available personnel and database to accomplish this time-sensitive task is THE DUPUY INSTITUTE. That organization is justified for sole source selection for the following reasons:

a. THE DUPUY INSTITUTE is a non-profit research institute organized to perform historically based independent research. This is particularly important since this analysis is intended to be based on primary source research of historical peacekeeping operations.

b. Trevor Dupuy, founder of the institute, provided a very close estimate of battle casualties in our war with Iraq in 1990. The techniques that he used are installed in THE DUPUY INSTITUTE and would be employed in conducting this analysis.

c. THE DUPUY INSTITUTE is unique because it is the only known organization that can accomplish this time-sensitive task in time to be of use.

On the basis of its unique experience in historically based research, its extensive database and library of military operations, its independent orientation, and their successful experience with casualty prediction, THE DUPUY INSTITUTE fulfills the requirements set by J-8 for this research effort.

ENCLOSURE J

SOLE SOURCE JUSTIFICATION FOR FFRDC (SAMPLE)

(R & J not sole source criteria are in the FAR and JSI 7500.01B must address 4 questions)

Acquisition actions that anticipate the use of FFRDCs must provide sufficient rationale to aid in determining that the action falls within the FFRDC's charter and is not in violation of DOD policy not to place government agencies in direct competition with commercial sources. A determination of appropriate use of an FFRDC (signed by a general/flag officer or civilian equivalent) shall accompany each acquisition package where the use of an FFRDC is contemplated. This determination, in memorandum format, must address the following:

- a. Why is the FFRDC required (e.g., specialized knowledge, broad in-depth perspective, requires access to proprietary information)?
- b. Is the work within the scope of the FFRDC's sponsoring agreement? Does the government provide for use by nonsponsoring agencies? Does the proposed work conflict with any currently sponsored work?
- c. Can the proposed work be accomplished by in-house (Joint Staff) or contracted personnel? If not, why not?
- d. Does the work place the FFRDC in direct competition with private industry? What actions are being taken to transition work to in-house or contracted efforts?

This memorandum may be combined with Economy Act determination. However, combined documents must contain all required elements and signatures.

JUSTIFICATION FOR USING
FEDERALLY FUNDED RESEARCH AND DEVELOPMENT CENTERS
(FFRDC) (EXAMPLE)

NAME OF FFRDC: Institute for Defense Analyses (IDA)

CONTRACT NUMBER: DASWOI-O2-C-0012

PROJECT TITLE: Dominant Maneuver Assessment Division, Program Decision Memorandum FY 04-09 Directed Special Operations Forces Study.

COMPLIANCE WITH REGULATORY REQUIREMENTS: I certify that the positions (MTS) I am requesting from Institute of Defense Analysis (IDA) have been reviewed according to the following steps:

I have reviewed the work to see if it is work that actually needs to be done. I have then analyzed the work to see if it could be done by organic resources, industry at large, or SETAs. I certify that only the FFRDC can do this work.

I certify that the work falls within the DDR&E definition of Core Work for an FFRDC; it is within IDA's mission; it uses IDA's competencies. In addition, all of the tasks fall within FFRDC Core Functions.

I have reviewed the Task Order and have determined that acquisition of this effort is in full compliance with procurement statutes, policies, and regulations for noncompetitive actions and is not being taken to avoid competition. This Task Order justification has been drafted and approved in accordance with those criteria.

This effort meets the criteria identified in FAR 35.001 and JSI 7500.01A. Specifically, IDA has unique technical expertise not available within DOD to perform this task, IDA has access to supplier data, employees and facilities beyond that which is common in normal contractual relationship, and IDA will perform the effort "in-house."

CERTIFICATION THAT WORK IS APPROPRIATE FOR INSTITUTE OF DEFENSE ANALYSIS: Acquisition of this effort is in full compliance with procurement statutes, policies, and regulations for noncompetitive actions. IDA has the expertise to provide the necessary support in assisting the Joint Warfighting Capabilities Assessment Team in examining issues associated with planned programs and forces,

developing and demonstrating analysis methodologies, and evaluating alternatives to those plans. This justification assessment has been drafted and approved in accordance with criteria, policies, and procedures set forth in JSI 7500.01A. Only IDA can satisfy the government's requirement for this particular effort.

LISA DISBROW
Deputy Director for Wargaming
Simulation and Analysis, J-8

DATE

(INTENTIONALLY BLANK)

ENCLOSURE K

COMPLETING DD FORM 254 FOR CAAS PROJECTS

(Enclosure K outlines the components of the DD Form 254. ACMS will generate a 254 for the CAAS package)

- Block 1a. Enter facility clearance required.
- Block 1b. Enter level of safeguarding required.
- Block 2(a-c) Enter prime contract number (usually a GSA or DSS-W number).
- Block 3(a-c) Describe request as appropriate.
- Block 4 Indicate if this contract is a continuation or a new effort.
- Block 5 Leave blank.
- Block 6 Enter name and address of proposed contractor and appropriate security office.
- Block 7 Not necessary to fill in. The Government does not recognize sub-contractors.
- Block 8 Enter location of actual performance of work and appropriate security office.
- Block 9 Enter title of your effort (should be the same as the title used on your statement of work).
- Block 10(a-k) Check as appropriate.
- Block 11 (a-l) Check as appropriate. (In "block l/other" please indicate if the contractor will need access to the Joint Staff computer network.)
- Block 12 Identify any controls on public release of data generated by your contract.
- Block 13 Note any specific security classification guidance required for the conduct of your contract. (These

classifications can include SCI clearance, NATO clearance, material handling instructions, etc.)

- Block 14 Identify any additional security requirements.
- Block 15 Indicate inspection status of the contract.
- Block 16 The Chief, Joint Staff's Information Assurance Office, must sign and approve after the form has been routed through the J-Directorate's military secretariat.
- Block 17 Identify the required distribution.

ENCLOSURE L

References

1. DOD Directive 4205.2, 10 February 1992, "Acquiring and Managing Contracted Advisory and Assistance Services (CAAS)"
2. JSI 5642.01, 15 June 1999, "Joint Study Resourcing and Management Process"
3. CJCSI 5641.01, 29 January 1999 "Joint Study Resourcing and Management"
4. DOD 8910.1-M, June 1998, "Procedures for Management of Information Requirements"
5. JSI 7200.01A SERIES, 19 June 2002, "Joint Staff Resource Management"
6. CJCSI 3137.01B, 15 April 2002, "The Joint Warfighting Capabilities Assessment Process" (currently under rewrite as 3137.01C Functional Capabilities Board Process)
7. JSI 7500.01B SERIES, 1 August 2003, "Joint Staff Acquisition Management"

(INTENTIONALLY BLANK)