Acquisition Planning Guide

May 2016 – Version 9.0

Office of the Chief Procurement Officer
Acquisition Policy & Legislation
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PURPOSE

Careful planning is critical to successful achievement of the Department of Homeland Security’s (DHS) mission. Acquisitions are an important means of meeting mission requirements.

This guide implements Federal Acquisition Regulation (FAR) 7.1, FAR 34.004, and Homeland Security Acquisition Manual (Homeland Security Acquisition Manual (HSAM) and provides instructions for preparing a formal Acquisition Plan (AP).

POLICY

In accordance with the FAR 7.102 all acquisitions must be planned unless an exception applies (see HSAM 3007.102(g) for details).

Acquisitions include, but are not limited to, contracts, orders against the General Services Administration’s Federal Supply Schedule or other contract vehicles, basic ordering agreements, and the contract actions that result from inter- and intra-agency acquisitions.

Per HSAM 3007.103(e), formal APs that include the content required by this guide are required for major systems acquisitions and any AP requiring Chief Procurement Officer (CPO) approval.

APPLICABILITY

This guide provides instructions for the preparation of APs. Formal APs are required for major systems acquisitions (Level 1, 2 investments or investments designated by the Deputy Secretary, Chief Acquisition Officer, or Acquisition Decision Authority (ADA)) and when CPO approval is required per HSAM 3007.103(j)(2)(ii).

Note: Acquisition thresholds for Level 1, 2, and 3 programs are defined in Table 2 on page 31 and Table on page 34 of the DHS Instruction 102-01-001, Rev 01 Acquisition Management Instruction.
1.1 What is acquisition planning?

Acquisition planning is the process by which the efforts of all personnel responsible for an acquisition are coordinated and integrated through a comprehensive plan for fulfilling an agency need in a timely and effective manner and at reasonable cost. Written APs are developed to document the results of acquisition planning.

Acquisition planning is required for all acquisitions in order to promote and provide for:

1. The acquisition of commercial items to the maximum extent practicable;
2. Full and open competition or, when full and open competition is not required or possible, to obtain competition to the maximum extent practicable;
3. The appropriate selection of contract type; and
4. A plan of action that addresses all technical, business, management, and other significant considerations as described in FAR 7 and as supplemented herein.

A. Major System APs

FAR 34.004 requires acquisition planning for major systems. At DHS, the threshold for major systems is measured in terms of either life-cycle cost for supplies or annual expenditure for services (see the life-cycle cost definition in Part IV).

B. Describing the Acquisition Process

APs document a process for meeting a portion of the DHS mission through one or more acquisitions. APs are the means to explain the acquisition process and document the decisions made prior to processing each contractual action. APs also serve as mechanisms to review, approve and document acquisition decisions and create a road map for the implementation of acquisition decisions. Once approved, APs provide strategic direction and approval for the execution of contractual and programmatic actions.

1.2 When is an AP required?

In accordance with HSAM 3007.103(e), APs for supplies and services are required in accordance with the following AP Matrix:
### AP Matrix

<table>
<thead>
<tr>
<th>Threshold</th>
<th>Contract Type</th>
<th>Type of AP</th>
</tr>
</thead>
<tbody>
<tr>
<td>&gt; SAT* to &lt; $10M</td>
<td>FFP**</td>
<td>No written AP requirement (See HSAM 3007.103(e)(2))</td>
</tr>
<tr>
<td>≥ $10M for non-Major System Acquisitions</td>
<td>FFP**</td>
<td>Streamlined****</td>
</tr>
<tr>
<td>&gt; SAT* for non-Major System Acquisitions up to designation as a Major System Acquisition</td>
<td>OTFFP***</td>
<td>Streamlined****</td>
</tr>
<tr>
<td>All Major System Acquisitions (Level 1,2 or as designated by the Deputy Secretary, Chief Acquisition Officer, or ADA and when CPO approval is required – see HSAM 3007.103(J)(2)(II)(a))</td>
<td>ALL</td>
<td>Formal</td>
</tr>
</tbody>
</table>

**AP Matrix Notes:**

*SAT: Simplified Acquisition Threshold; see FAR 2.101 for current thresholds.*

**FFP: Firm-fixed-price (FFP)**

***OTFFP: Other than Firm-fixed-price (OTFFP) actions include all other contract types listed under FAR 16 that are not FFP. OTFFP actions include: fixed-price contracts with economic price adjustment, fixed-price incentive contracts, fixed-price contracts with prospective price redetermination, fixed-price ceiling price contracts with retroactive price determinations, fixed-price level of effort term contracts, cost reimbursement contracts, incentive contracts, time-and-material (T&M) contracts, labor-hour contracts and letter contracts.*

**** Streamlined Acquisition Plan Template (see Part V – Streamlined Acquisition Plan Template)

In addition, in accordance with HSAM 3007.102, acquisition planning is also required for contract actions that result from inter- and intra-agency acquisitions (IAA).

### 1.3 Who prepares APs?

In accordance with FAR 7.101 and HSAM 3007.103-70, the acquisition planner/technical official is responsible for developing and executing an AP. In general, within DHS, the primary acquisition planner is the program manager (PM) or his or her representative.

The acquisition planner/technical official integrates the efforts of all personnel in accordance with FAR 7.102(b). At a minimum, the acquisition planner/technical official shall ensure the team includes the Contracting Officer and Small Business Specialist. The team should also include information security, personnel security, budget, environmental, privacy, legal, energy, safety, earned value management, logistics and end user personnel when the circumstances of the acquisition warrant (see HSAM 3004.470(b) and 3007.103-70(a)). The Contracting Officer, as the developer of the procurement strategy, plays a key role in the planning. Working together, the acquisition planner and the integrated team prepare and execute the AP.
The following table illustrates the AP preparation requirements for IAAs:

<table>
<thead>
<tr>
<th>AP Preparation Requirements for IAAs</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For an assisted acquisition:</strong></td>
</tr>
<tr>
<td>An AP is required for the acquisition that results from the IAA, not the creation of the IAA. The requesting agency (DHS or other agency) may delegate preparation of an AP to the servicing agency (DHS or other agency), but the requesting agency provides support and assistance as needed. Either the requesting or the servicing agency may prepare and approve the AP in accordance with the applicable interagency agreement (IA). If the IA states that DHS shall prepare the AP, the AP is completed in accordance with HSAM Chapter 3007. (See HSAM 3017.501-72 for the policy if an agency other than DHS prepares the AP.)</td>
</tr>
<tr>
<td><strong>For a direct acquisition:</strong></td>
</tr>
<tr>
<td>The requesting agency (DHS or other agency) prepares the AP for the IAA.</td>
</tr>
</tbody>
</table>

1.4 Can contractors create, edit or review APs?

While contractors may provide acquisition planning support, contractors are prohibited from making any acquisition planning decisions. Administrative services in support of acquisition planning are not generally considered to be inherently governmental functions (see FAR 7.503(d)). However, in order to avoid any potential personal or organizational conflicts of interest (OCI), or the appearance thereof as related to the award and administration of future contracts resulting from any acquisition planning activity for which a contractor provides support, appropriate OCI provisions must be included in the contract under which the contractor’s acquisition planning support services have been obtained, and nondisclosure agreements must be executed to cover acquisition planning-related information. If there is any question concerning a potential, actual or the appearance of an OCI, the Contracting Officer should contact the Office of General Counsel or Component legal office before allowing any contractor to assist in the acquisition planning process. (For further guidance regarding organizational and consultant conflicts of interest, see FAR 9.5; Homeland Security Acquisition Regulation (HSAR) Subpart 3009.5; and HSAM Subpart 3009.5.)

1.5 Can the AP be tailored?

Yes, see Part II, Tailoring of this guide for tailoring instructions.

1.6 Can the requirement for Chief Procurement Officer (CPO) approval be waived?

Yes, the Head of the Contracting Activity (HCA) may request a waiver from the requirement for CPO or designee approval of an AP. Per HSAM 3007.103(j)(2)(f), waiver requests must be submitted by the HCA through the Director, Oversight and Strategic Support (OSS) Division at: PROCUREMENTSUPPORT@HQ.DHS.GOV. Waiver requests should be in writing and contain sufficient detail to clearly demonstrate the basis for the request. Waivers for major system acquisitions of services and supplies must be reviewed by the appropriate Acquisition Decision Authority (ADA) and will not be considered unless the ADA concurs with the waiver.

Waivers from the requirement for CPO approval do not constitute authority for any deviation, special condition or clause which might be needed for an acquisition. Neither an approved AP,
nor a waiver of an AP may substitute for any Determination and Findings (D&F), Justification for Other than Full and Open Competition (J&A), or deviation from FAR or HSAR requirements.

1.7 Is there a required numbering system for the AP?

Yes. See Part II, Section 2.3, Identification and Marking of APs.

1.8 Who reviews the AP?

All APs are reviewed by at least the acquisition planner (See HSAM 3007.103-70(a)), Small Business Specialist (See HSAM 3007.104(d)) and the Contracting Officer. The HCA may require additional reviews.

For all acquisitions meeting the requirements of HSAM 3004.470(b), the acquisition planner shall ensure the AP is reviewed by the Component Chief Information Officer (CIO), Chief Security Officer (CSO), Component Privacy Officer, and the TSA Sensitive Security Information (SSI) Program Office, as applicable. For Components and offices that do not have a Component level CIO, CSO, or Privacy Officer, the acquisition planner shall coordinate with the DHS Headquarters CIO, CSO and Chief Privacy Officer.

For non-competitive procurements, the Procuring Activity Advocate for Competition (PAAC) must review the AP if the value of the non-competitive procurement exceeds $50M (except when the Public Interest exception at FAR 6.302-7 is used). For the purposes of this PAAC review non-competitive procurements are those that require a Justification for Other Than Full and Open Competition, Limited Sources Justification, or Fair Opportunity Exception Justification. (See HSAM 3007.103(j)(1) for information on the review process.)

For APs that require CPO approval, the HCA and the Component Acquisition Executive (CAE) or designee must review and sign the AP before submitting to the CPO. For acquisitions that include information technology, the DHS CIO shall also review and sign the AP before it is submitted to the CPO for approval.

1.9 When is CPO approval required?

CPO or designee approval is required for: (1) program acquisitions with a life cycle cost of $300 million or more; (2) service acquisitions with an annual expenditure level of $100 million or more; and (3) any other AP designated by the CPO. (See HSAM 3007.103(j)(2) for detailed guidance on the CPO approval process.)

1.10 How is an AP submitted to CPO?

Components submit APs for CPO or designee approval to the Director, OSS Division at: PROCUREMENTSUPPORT@HQ.DHS.GOV. All APs must be signed by the Component HCA and CAE as “Recommended for CPO Approval.” For acquisitions that include information technology, the DHS CIO shall review and sign the AP before it is submitted to the CPO for approval. (For complete details and timeframes, see HSAM 3007.103(j)(2)(ii)).
1.11 When are APs revised and what are the rules associated with revisions?

The planner reviews the AP at least annually (see HSAM 3007.103-70(a)). APs for major system acquisitions (Level 1, 2, or as designated by the Deputy Secretary, Chief Acquisition Officer, or Acquisition Decision Authority) are also reviewed at each Acquisition Decision Event (ADE) milestone after ADE 1. The AP is revised following each review to reflect the occurrence or need for a major program change, or other significant change to the AP. See the definition for significant change in Part IV of this guide. AP revisions are subject to the same review and signature process as the original document. Revisions may be made using change pages or by complete revision of the AP. The AP will receive a revision number. (See Part II, Identification and Marking of APs, for tracking revisions.)

1.12 How and when should the Office of the Chief Procurement Officer (OCPO) be involved during the development of APs?

Components are encouraged to engage OCPO early in the AP development process to enable departmental concerns to be considered during the formative stage of AP development and to allow the Department to gain familiarity with the acquisition. In those cases where an Integrated Project/Product Team (IPT) has been established, an optimal time to begin a dialogue with OCPO is towards the end of IPT discussion of the overall acquisition approach when enough knowledge has been gathered to make informed decisions regarding the strategy, approach, and business considerations to guide the development of the AP.
PART II – PREPARATION OF ACQUISITION PLANS

2.1 FAR 7.105 Content Requirements

As required by FAR 7.105, each numbered subsection in Part III must be addressed in the formal AP. The contents of each subsection may be tailored to the requirement or program. If a section does not apply, it must not be deleted, planners insert “N/A” and the basis for non-applicability. Planners must ensure that there is adequate support for each “N/A” response.

2.2 Tailoring

If there is additional information that needs to be added to the template based on the requirement, Components have the flexibility to tailor the templates to add the additional information.

The contents required for APs for major system acquisitions vary with the particular ADE. For example, ADE 2A documentation is less specific than ADE 2B documentation.

For each successive AP update, highlight the specific changes, if any, from the previously approved AP. For example, an AP that describes procurements supporting ADE 2B would highlight any changes to the plan based on additional information or events that have occurred since the approval of the AP for ADE 2A.

2.3 Identification and Marking of APs

Provide the program or acquisition title/name, and the AP number. Numbers will be assigned based on Component procedures.

In general, your Component will assign a nine digit identifier, followed by the date of the AP for each written plan. The first four digits on DHS actions will be “HSXX” referring to the Department of Homeland Security (HS) and issuing Acquisition Component (XX).

The next two digits should be the fiscal year in which the plan was or will be approved. The last three digits should be assigned sequentially, as stated in Component procedures. The plan date is the date the plan is approved by the HCA, or CPO, as appropriate.

Mark each page of the plan “SOURCE SELECTION INFORMATION - SEE FAR 2.101 and 3.104.”

Indicate if the document is a new plan or a revision. Revisions to plans may be tracked using a table such as is presented in Table 1.
PART III – CONTENT OF THE FORMAL ACQUISITION PLAN

Table 1. Revision Tracking Template – Sample

<table>
<thead>
<tr>
<th>Document Version</th>
<th>Date Completed</th>
<th>Reason for Revision</th>
</tr>
</thead>
<tbody>
<tr>
<td>AP for ADE 2A</td>
<td>xx/xx/20XX</td>
<td>Not applicable</td>
</tr>
<tr>
<td>ADE 2B</td>
<td>xx/xx/20XX</td>
<td>New project life-cycle phase/event – Progression from ADE 2A to ADE 2B</td>
</tr>
</tbody>
</table>

A. ACQUISITION BACKGROUND AND OBJECTIVES

Executive Summary:

1. Contents of Executive Summary

Provide an executive summary of the program and/or acquisition(s) contained in the AP, as appropriate. This should include:

   a. Description of the overall acquisition strategy (see Section A1);
   b. Description of the acquisition(s) and how it/they relate to a specific project or program. Identify if the AP covers a major system;
   c. Location of the work to be performed;
   d. Proposed contract type(s);
   e. Overall period of performance;
   f. Total estimated value; and
   g. Discussion regarding the current Acquisition Review Board status/approval.

2. Coordination

Include written assurance that the acquisition plan has been properly coordinated with pertinent functional offices/stakeholders prior to submission to the CPO for approval.

A1: Statement of Need

Introduce the plan by a brief statement of need. Summarize the technical and contractual history of the acquisition. Discuss feasible acquisition alternatives, the impact of prior acquisition(s) on those alternatives, and any related in-house effort. Summarize the need for this acquisition in terms of the capability gap that this acquisition(s) will fill. The capability gap is the difference between the requiring activity’s overall mission, and the portion of that mission it is achieving without the acquisition(s) covered by this AP. If the program has an approved Mission Needs Statement (MNS), reference it and summarize the gap in the Statement of Need. Also, summarize the technical and contractual history of the program and acquisition(s).

A2: Applicable Conditions

State all significant conditions or constraints affecting the acquisition, such as:
1. Requirements for compatibility with existing or future systems or programs; and
2. Any known cost, schedule, and capability or performance constraints.

A3: Cost

State established cost goals for the acquisition and the rationale supporting them, and discuss related cost concepts to be employed, including, as appropriate the following items:

A. Life-Cycle Costs. Discuss how life-cycle costs will be considered (refer to DHS Directive Number 102-01) and the cost model used to develop life-cycle cost estimates. Life-cycle costs includes all costs associated with the research, development, procurement, operation, logistical support and disposal of an individual system, or capability, to include its supporting infrastructure that plans, manages, and executes the system or capability over its full life. These costs also include the cost of requirements for common support items incurred because of the system or capability.

See Section B3(6)(e) regarding inclusion of the cost of financial audits in the life cycle costs.

B. Design-to-Cost. Describe the design-to-cost objective(s) and underlying assumptions, including the rationale for quantity, learning-curve, and economic adjustment factors. Describe how objectives are to be applied, tracked, and enforced. Indicate specific, related solicitation and contractual requirements to be imposed. Design-to-cost activities are those which are undertaken to meet the cost objectives through explicit design activities. Cost as an Independent Variable (CAIV) depends on design-to-cost activities to meet the objectives by instilling cost-consciousness into the designers, by stimulating them to challenge requirements, and illuminating their cost progress. CAIV has refocused design-to-cost to consider cost objectives for the total life-cycle of the program, including logistics support and to view cost as an independent variable with an understanding it may be necessary to trade-off performance to stay within cost objectives and constraints.

C. Application of should-cost. Describe the application of should-cost analysis to the acquisition (see FAR 15.407-4). The objective of should-cost reviews is to promote both short and long-range improvements in the contractor’s economy and efficiency in order to reduce the cost of performance on Government contracts. These reviews evaluate the economy and efficiency of the contractor’s existing workforce, methods, materials, facilities, operating systems, and management. The should-cost reviews are accomplished by a multi-functional team of Government contracting, contract administration, pricing, audit, and engineering representatives.

A4: Capability or Performance

Summarize the required capabilities or performance characteristics of the supplies or the performance standards of the services being acquired and state how they are related to the need. For each acquisition covered under the AP, describe how such supplies or services will satisfy the need and the required capabilities provided to the Component.
A5: Delivery or Period of Performance Requirements

Describe the basis for establishing delivery or performance-period requirements (see FAR 11.4). Explain and provide the reasons for any urgency if it results in concurrent development and production or constitutes justification for not providing for full and open competition.

Describe any mandated deadlines or any system integration issues that could affect performance schedules.

A6: Trade-Offs

Discuss the expected consequences of tradeoffs among the various cost, capability or performance, and schedule goals. As appropriate, reference the results of the Analysis of Alternatives which is the focus for major trade-offs, or the Alternatives Analysis which applies to simpler acquisition situations (see DHS Directive Number 102-01(V)(A)(2)(ii)(b)).

Cost/performance/schedule tradeoffs should be shaping the requirements and proposed design approaches on a cost-effectiveness basis. Cost-effectiveness assumptions and goals will be modified by affordability considerations as the tradeoffs start to focus on the cost-effective alternatives that are practical from a budget point-of-view. CAIV should be utilized to make life-cycle affordability decisions. Cost reductions should be accomplished throughout the life-cycle.

(NOTE: Do not discuss aspects of the source selection trade-off process, as described in FAR 15.101, in this section.)

A7: Risks

Discuss program risks, including technical, cost, and schedule risks, and describe what efforts are planned or underway to reduce risk and the consequences of failure to achieve goals. If concurrent development and production is planned, discuss its effects on cost and schedule risks. Program risks may include cost, schedule, performance, political and organizational risks. If there is a risk management plan, cite the plan number and date, and include a brief summary, instead of completing Table 2 Risk Assessment.
Table 2. Risk Assessment – Sample

<table>
<thead>
<tr>
<th>Risk Event</th>
<th>Risk Category</th>
<th>Risk Probability</th>
<th>Impact</th>
<th>Risk Management</th>
<th>Responsible Official</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify the risk</td>
<td>e.g., Cost, Schedule, Performance, Political or Organizational</td>
<td>High, Medium or Low</td>
<td>What would happen, and how severe would the impact be if the risk event occurred?</td>
<td>Describe the mitigation strategy.</td>
<td>Name and title of the person who is responsible for managing the risk.</td>
</tr>
</tbody>
</table>

If multiple acquisitions are planned, identify the risks to each acquisition and complete the table above for each acquisition.

A8: Acquisition Streamlining

Select from the following any planned acquisition streamlining initiatives that will result in a more efficient and effective use of resources during the acquisition process:

- Encouraging industry participation by hosting Industry Days, using draft solicitations, presolicitation conferences, pre proposal conferences, due diligence and other means of stimulating interaction with industry.
- Using performance-based services acquisition, when applicable.
- Acquiring Commercial-Off-the-Shelf (COTS) products, when applicable.

State the timeframe for identifying which of those specifications and standards, originally provided for guidance only, shall become necessary.

- Other:
B. PLAN OF ACTION

For each contract action, the plan should address the following:

B1: Sources

Table 3: Contract Actions Completed to Date Sample

<table>
<thead>
<tr>
<th>Acquisition Considerations</th>
<th>Major Contract Action #1</th>
<th>Major Contract Action #2</th>
<th>Major Contract Action #3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action identifier (e.g., contract number, grant number)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Type of vehicle (e.g., contract, grant, inter- and intra-agency acquisition, memorandum of agreement, memorandum of understanding, other transaction)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contract type (e.g., Time and Materials, Fixed-Price, etc.)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contractor</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Description of supply/service</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Date of award</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Period of performance (start and end date)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total value (provide data on basic value and option value(s))</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quantity of supplies (for other than service contracts)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance based? (Y/N)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Competitively awarded? (Y/N)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Awarded to a small business concern? (FAR 19) (Y/N)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Was the award to a small business the result of a small business set-aside? (FAR 19) (Y/N)</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
Table 4: Planned Contract Actions Sample

<table>
<thead>
<tr>
<th>Acquisition Considerations</th>
<th>Major Contract Action #1</th>
<th>Major Contract Action #2</th>
<th>Major Contract Action #3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anticipated type of vehicle (e.g., contract, grant, inter- and intra-agency acquisition, other transaction)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anticipated contract type</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Description of supply/service to be provided</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anticipated date of award</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anticipated period of performance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimated total value of contract/order/other vehicle ($M)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quantity</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance based? (Y/N)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Competitively awarded? (Y/N)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planned Set-Aside (FAR 19)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

When completing and supplementing the tables above indicate the prospective sources of supplies or services that can meet the need. Consider required sources of supplies or services (see FAR 8) and sources identified through databases including the Government-wide database of contracts and other procurement instruments intended for use by multiple agencies available at www.contractdirectory.gov/contractdirectory/.

This section should also address planned set-aside(s) and document consideration of small business, veteran-owned business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns (see FAR 19), and the impact of any bundling that might affect their participation in the acquisition (see FAR 7.107). When the proposed plan involves bundling, identify the incumbent contractors and contracts affected by the bundling.

Address the extent and results of the market research and indicate the impact of the market research findings on the various elements of the plan (see FAR 10 and the DHS Market Research Guide). Include the number of sources that have expressed interest in submitting an offer in response to the planned solicitation, if applicable.

B2: Competition and Vendor Engagement Strategy

Describe how competition will be sought, promoted, and sustained throughout the course of the acquisition. The discussion should address measures that will be taken to maximize the likelihood of receiving offers from multiple sources. If exclusion of source(s) is proposed, identify the applicable statutory authority permitting exclusion (e.g., FAR 6.202, FAR 6.203, FAR 8.405-6, FAR 16.505). If full and open competition is not contemplated, cite the appropriate authority at FAR 6.302, discuss the basis for the application of that authority, identify the source(s) and discuss why full and open competition cannot be obtained, and whether the requirement has been coordinated with the Procurement Activity Advocate for Competition (PAAC) or DHS Advocate for Competition, as appropriate.
Identify the major components or subsystems. Discuss component breakout plans relative to these major components or subsystems. Describe how competition will be sought, promoted, and sustained for these components or subsystems.

For contracts that will deliver a tangible item, describe how competition will be sought, promoted, and sustained for spares and repair parts. Identify the key logistic milestones, such as technical data delivery schedules and acquisition method coding conferences that affect competition.

When effective subcontract competition is both feasible and desirable, describe how such subcontract competition will be sought, promoted, and sustained throughout the course of the acquisition. Identify any known barriers to increasing subcontract competition and address how to overcome them.

Per HSAM 3007.105(d), planners of major system acquisitions must include a vendor engagement strategy in the AP or separate contract file memorandum that:

1. Includes at least one industry day, a pre-solicitation or pre-proposal conference, or the issuance of a Request for Information (RFI);

2. Allows for a reasonable amount of one-on-one engagement;

3. Allows time for discussions, as needed and in accordance with FAR 15, during the proposal evaluation process; or

4. Provide a written justification in this section of the AP describing why those steps are not necessary.

**B3: Contract Type Selection**

Discuss the rationale for the selection of contract type.

For OTFFP contracts, provide the following discussion:

A. Discuss the rationale for the selection of OTFFP contract type. The requirement to document the selection of anything other than a FFP contract type is applicable to all procurement actions, including contract and orders that result from IAAs. Include details such as why the contract type selected must be used to meet the agency/program need that is the subject of the acquisition.

B. Explain why, at least, a portion of the contract cannot be awarded as a fixed price contract (i.e., hybrid contract). For example, is it possible to establish fixed price contract line items (CLINs) for some of the work to be performed, while other work to be performed can be accomplished under cost or T&M CLINs (see FAR 16.104(e))?
C. If the contract type is a level-of-effort, price redetermination, or fee type arrangement, provide specific details on why this type of contract is needed (see FAR 16.103(d)(1)(v)).

D. Include a discussion of actions planned to minimize the use of other than a fixed price contracts on future acquisitions for the same requirement (i.e., whether or not the contract can be structured to facilitate a future award or a portion of a future award can be awarded as a fixed price contract).

E. If a T&M type contract is selected, the AP must discuss in this section why it is not possible to estimate accurately the extent or duration of the work or to anticipate costs with any degree of confidence at the time of awarding the contract. (see FAR 16.601(c)).

F. Discuss the techniques, process, and/or procedures that will be used to manage the additional risks associated with the selection of OTFFP contract type (e.g., when a cost-reimbursement contract is selected, the Government incurs additional cost risks, and the Government has the additional burden of analyzing and monitoring all elements of the contractor’s costs) (see FAR 16.103(d)(1)(ii)). For such instances, discuss:
   1. How the Government identified the additional risks (e.g., pre-award survey, or past performance data);
   2. The nature of the additional risks (e.g., inadequate contractor’s accounting system, weakness in the contractor’s internal control, non-compliance with Cost Accounting Standards, or lack of or inadequate Earned Value Management System (EVMS));
   3. How the Government will manage and mitigate the risks;
   4. The Government resources needed to properly plan for, award, and administer contracts with additional risks to the Government; and
   5. Address whether financial audits (e.g., audits performed by the Defense Contract Audit Agency (DCAA)) will be required in association with the proposed acquisition and whether adequate funding will be reserved for them. Pre-award accounting system reviews and annual incurred cost audits are generally required for other than firm-fixed-price type awards.

G. If an incentive contract type is used, describe the type of incentive, the rationale for the selection of the incentive, and plans for managing the incentive contract (i.e., award fee plan). Discuss relevant agency data collected on award fees and incentive fees paid to contractors and include performance measures to evaluate such data to determine the effectiveness of award and incentive fees as a tool for improving contractor performance and achieving desired program outcomes (see FAR 16.401(f)). Describe performance incentives, if applicable.

**B4: Source Selection Procedures**

Discuss the source-selection procedures for the acquisition(s), including the timing for submission and evaluation of proposals, and the relationship of evaluation factors to the attainment of the acquisition objectives (see FAR 15.3).
If EVMS is required (see FAR 34.202(a)) and a pre-award Integrated Baseline Review (IBR) is contemplated, the AP must discuss the following:

1. How the pre-award IBR will be considered in the source selection decision;
2. How it will be conducted in the source-selection process; and
3. Whether offerors will be directly compensated for the costs of participating in a pre-award IBR.

B5: Acquisition Considerations

A. For each contract contemplated, discuss and provide rationale, where applicable for:

1. Use of multiyear contracting, options, or other special contracting methods (see FAR 17);
2. Any special clauses, special solicitation provisions, or FAR/HSAR deviations required;
3. Whether sealed bidding or negotiation will be used and why;
4. Whether equipment will be acquired by lease or purchase and why (see FAR 7.4);
5. Whether lessons learned from previous acquisitions impact any aspect of the current acquisition and if knowledge gained from the prior acquisitions has been used to further refine the requirement or the acquisition strategy consistent with FAR 7.103(t). If prior acquisitions have not been reviewed, provide the rationale for not reviewing historical information to obtain lessons learned; and
6. Any other contracting considerations.

(Note: Discussion/documentation under this section does not satisfy requirements for individual Justifications and Approvals, Determinations and Findings, or other approvals, waivers, or exemptions required under the FAR.)

B. Provide the following information:

1. This acquisition [ ] is [ ] is not a performance-based acquisition. For acquisitions of services, FAR 7.105 requires planners to provide the rationale for not structuring the action as performance-based.
2. This contract vehicle [ ] will be [ ] will not be a multiple-award indefinite-quantity or indefinite-delivery contract in accordance with FAR 16. For any single award task or delivery order contract exceeding $103 million, ensure that a determination is processed in accordance with HSAM 3016.504.
3. This contract vehicle ☐ will require ☐ will not require submittal of certified cost or pricing data. If certified cost or pricing data will not be required, explain the applicable exemption from submittal of such data. (see FAR 15.4, Contract Pricing)

4. This contract vehicle ☐ will require ☐ will not require cost analysis and/or cost realism to determine a fair and reasonable price (see FAR 15.404 ). If neither cost analysis or cost realism will be used, explain why. For OCPO, Oversight and Pricing Support assistance, submit requests to OSS at PROCUREMENTSUPPORT@HQ.DHS.GOV.

5. This contract vehicle ☐ will contain ☐ will not contain options in accordance with FAR 17.2.

C. For each order contemplated, discuss:

1. For information technology (IT) acquisitions, how the capital planning and investment control requirements of 40 U.S.C. 11312 and OMB Circular A-130 will be met (see FAR 7.103(t) and FAR 39); and

2. Why this action benefits the Government (e.g., an agency can accomplish its mission more efficiently and effectively; ordering through an indefinite-delivery contract facilitates access to small business concerns.)

B6: Budgeting and Funding

A. Budget Estimates

Include budget estimates, explain how they were derived, and discuss the schedule for obtaining adequate funds at the time they are required. (see FAR 32.7).

Reference the Life-Cycle Cost Estimate (LCCE) results (see DHS Directive Number 102-01, Acquisition Management Directive). Discuss the value of the acquisition in relationship to the life-cycle cost of the program, where available.

Also, indicate whether the contract(s) will be incrementally funded in accordance with FAR 32.7.

B. Funds Source

List the source(s) of funds for each acquisition, the amount required, as stated in the Independent Government Cost Estimate (IGCE)/LCCE and the amount budgeted. In the Under or Overage row, provide the difference between the amount required and the amount budgeted for the effort. If there is an overage or shortage, explain why and how the program will correct the situation. (Refer to Table 5 Budgeting and Funding.)

NOTE: Planners may find information that can be used in this section in the appropriate OMB Exhibit 300, where available.
### Table 5. Budgeting and Funding – Sample

<table>
<thead>
<tr>
<th>Prior Year Obligated Amount</th>
<th>FY 1</th>
<th>FY 2</th>
<th>FY 3</th>
<th>FY 4</th>
<th>FY 5</th>
<th>Total Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funding Source 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Amount Required</td>
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<td></td>
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<tr>
<td>Amount Budgeted</td>
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<td></td>
<td></td>
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<tr>
<td>(Under or Overage)</td>
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<td></td>
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<tr>
<td>Funding Source 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Amount Required</td>
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<td></td>
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<tr>
<td>Amount Budgeted</td>
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<td></td>
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<tr>
<td>(Under or Overage)</td>
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<td></td>
<td></td>
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<tr>
<td>Total Funding</td>
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<tr>
<td>Amount Required</td>
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<tr>
<td>Amount Budgeted</td>
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<td></td>
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<tr>
<td>(Under or Overage)</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total Funding for all Sources</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

**B7: Product or Service Descriptions**

Explain the choice of product or service description types to be used in the acquisition(s), including performance-based acquisition descriptions, commercial items or commercially available-off-the-shelf (COTS) items.

**B8: Priorities, Allocations, and Allotments**

Generally this paragraph is not applicable. However, when urgency of the requirement dictates a particularly short delivery or performance schedule, certain priorities may apply. If so, specify the method for obtaining and using priorities, allocations, and allotments, and the reasons for them (see FAR 11.6). If the program is authorized under the Defense Productions Act of 1950, as amended (see FAR 11.6), and will be using a preferential or priority rating, identify the applicable information. Contact your HCA’s acquisition policy analyst for assistance in completing this paragraph if you believe it may be applicable.
B9: Contractor versus Government Performance

Address whether any of the acquisitions covered under the AP are covered by OMB Circular No. A-76 (see FAR 7.3).

B10: Inherently Governmental Functions

Discuss consideration of inherently governmental functions, as detailed in FAR 7.5 and HSAM 3007.5 Inherently Governmental Functions, and as appropriate, state affirmatively that no inherently governmental functions are or will be performed under the subject contract(s). In addition, address if a Balanced Workforce Assessment Tool (BWAT) analysis has been performed or discuss the plans to address the BWS before the issuance of the solicitation.

B11: Management Information Requirements

Discuss, if appropriate, what management system, e.g., Earned Value Management System (EVMS), Service Level Agreements (SLA), etc., will be used by the Government to monitor the contractor’s effort, to include collection of performance, cost, and schedule data. In addition, if EVMS is required for the contract, discuss how the offeror’s/contractor’s EVMS will be verified for compliance with the American National Standards Institute/Electronics Industries Alliance (ANSI/EIA) Standard-748, Earned Value Management Systems, and the timing and conduct of integrated baseline reviews (whether prior to or post award)(see FAR 34.202).

B12: Make or Buy

For each procurement that results in a tangible item, discuss whether the Government will review or hold the contractor accountable for decisions regarding whether to make or buy components of the end item. (Note: If the Government does not require a make or buy plan, the contractor could in rare circumstances reap a windfall profit in this area after award (see FAR 15.407-2).

B13: Test and Evaluation

To the extent applicable, describe the test program of the contractor and the Government. Describe the test program for each major phase of a major system acquisition. If concurrency is planned, discuss the extent of testing to be accomplished before production release. Provide the Test and Evaluation Management Plan (TEMP) number and approval date, as appropriate.

(NOTE: Test and evaluation considerations may not apply to requirements such as those for the acquisition of services.)
B14: Logistics Considerations

A. Assumptions
Describe the assumptions determining contractor or Component support, both initially and over the life of the acquisition, including consideration of contractor or agency maintenance and servicing (see FAR 7.3); support for contracts to be performed in a designated operational area or supporting a diplomatic or consular mission (see FAR 25.301); and distribution of commercial items.

B. Reliability, Maintainability, and Quality Assurance, etc.
Discuss the reliability, maintainability, and quality assurance requirements, including any planned use of warranties (see FAR 46).

C. Contractor Data
Discuss the requirements for contractor data (including repurchase data) and data rights, their estimated cost, and the use to be made of the data, if applicable (see FAR 27).

D. Standardization
Discuss any standardization concepts, including the necessity to designate, in accordance with agency procedures (see FAR 6.302-1(b)(4)), technical equipment as “standard” so that future purchases of the equipment are able to be made from the same manufacturing source.

B15: Government-Furnished Property (GFP)

Indicate any Government property to be furnished to contractors, and discuss any associated considerations, e.g., providing the rationale to furnish the property is in the Government’s best interest, the overall benefit to the Government significantly outweighs the increased cost of administration, including ultimate property disposal, furnishing the property does not substantially increase the risk to the Government, and why the Government requirements cannot otherwise be met. Note: If contractor performance will be in a Government facility, access to the facility is GFP along with any workstation and electronics provided. (Refer to Table 6 Government-Furnished Property.)

Table 6. Government-Furnished Property (GFP) – Sample

<table>
<thead>
<tr>
<th>Description of Government Property - Include the level of detail required at FAR 45.201(a)</th>
<th>Date/Event Indicate when the GFP will be furnished</th>
<th>Date/Event Indicate when the GFP will be returned</th>
<th>If GFP is procured under separate contracts, state the contract number or solicitation number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>
B16: Government-Furnished Information

Discuss any Government information, such as access to DHS’s intranet, software, or databases, manuals, drawings, and test data, to be furnished to prospective offerors and contractors. List the information that will be furnished, with both the date it will be provided and date to be returned (if required). If the information will not be returned, indicate "not returned" in that block. (Refer to the following sample GFI Table 7.)

Indicate which information that requires additional controls to monitor access and distribution (e.g., technical specifications, maps, building designs, schedules, etc.), as determined by the agency, is to be posted via the enhanced controls of the GPE at http://www.fedbizopps.gov (see FAR 5.102(a)(1)).

Table 7. Government-Furnished Information (GFI) – Sample

<table>
<thead>
<tr>
<th>Description of Government – Furnished Information</th>
<th>Date/Event Indicate when the GFI will be furnished</th>
<th>Date/Event Indicate when the GFI will be returned</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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</tbody>
</table>

B17: Environmental and Energy Conservation Objectives

A. Environmental Objectives

Discuss all applicable environmental and energy conservation objectives associated with the acquisition (see FAR 23), such as the applicability of the National Environmental Policy Act, the proposed resolution of environmental issues, and any environmentally-related requirements to be included in solicitations and contracts (e.g., hazardous waste disposal, energy and water conservation, environmental liabilities or sustainable acquisitions). See DHS Directive 025-01 for the applicability of an environmental assessment or environmental impact statement, the proposed resolution of environmental issues, and any environmentally-related requirements to be included in solicitations and contract (e.g., whether the acquisition will result in the need to dispose of any hazardous material or the need for material safety data sheets (MSDS).) If applicable, describe how any hazardous material will be required to be disposed see DHS Directive 025-01, Sustainable Practices and DHS Directive 023-02, Environmental Management Program.

B. FAR 23 Considerations

Review the requirements of FAR 23, Environment, Energy and Water Efficiency, Renewable Energy Technologies, Occupational Safety, and Drug-Free Workplace. Describe how the contract will consider the purchase and use of green products and services to the maximum extent practicable, to include bio-based products, recycled content products, water-efficient, energy-efficient, Energy Star®, products with the lowest watt stand-by power, environmentally preferable products, Electronic Product Environmental Assessment Tool (EPEAT) products, alternative fuels, hybrid and alternative fuel vehicles, non-ozone depleting substances, renewable energy, and
Environmental Protection Agency (EPA), the Department of Energy (DOE), and the United States Department of Agriculture (USDA) designated items.

**B18: Security Considerations (includes Privacy considerations)**

A. Classified Information
   For acquisitions dealing with classified matters, discuss how adequate security will be established, maintained, and monitored. (See FAR 4.4 and DHS National Security Systems Policy Directive 4300B)

B. Sensitive Information (as defined in Part IV, Definitions and Acronyms of the DHS Acquisition Planning Guide; (see HSAR Class Deviation 15-01, Safeguarding of Sensitive Information)

1. Will the contractor have access to any of the types of the sensitive information listed below during the acquisition? □ Yes □ No

   (If the answer is “No” to all of the information types listed below, the answer to questions 2 through 5 is N/A.)

   □ Yes □ No Chemical-terrorism Vulnerability Information (CVI)
   □ Yes □ No For Official Use Only (FOUO)
   □ Yes □ No Law Enforcement Sensitive Information
   □ Yes □ No Protected Critical Infrastructure Information (PCII)
   □ Yes □ No Personally Identifiable Information (PII)
   □ Yes □ No Sensitive PII (SPII)
   □ Yes □ No Sensitive Security Information (SSI)
   □ Other ________________________________________________
   □ N/A

2. Has the Component CIO, CSO, or Privacy Officer, HCA (or designee for each) and program manager determined that this effort will have a “high risk” of unauthorized access to or disclosure of sensitive information in accordance with the requirements of HSAR Deviation 15-01, Safeguarding of Sensitive Information, applicable to this acquisition? □ Yes □ No □ N/A

   Note: If the answer to this question is “Yes” special clauses Safeguarding of Sensitive Information (MAR 2015), Information Technology Security and Privacy Training (MAR 2015) and HSAR clause 3052.204-71 Contractor Employee Access shall be included in the solicitation and subsequent contract (as defined in FAR 2.101).

3. If “Yes” to #1 or #2 above, have privacy and security provisions been identified and coordinated with the following, as applicable (see HSAM 3004.470(b) for coordination requirements). Privacy provisions include handling, incident reporting, notification and credit monitoring. Security provisions include development of the requirements traceability matrix, security authorization documentation, independent assessment,
continuous monitoring, security review and federal reporting requirements, incident reporting and response.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>☐</td>
<td>Component Chief Information Officer (CIO) or designee</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>Component Chief Security Officer (CSO) or designee</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>N/A Component Privacy Officer</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>N/A TSA SSI Program Office</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>N/A National Protection and Programs Directorate (NPPD) CVI Program Office</td>
</tr>
<tr>
<td>☐</td>
<td>☐</td>
<td>N/A NPPD PCII Program Office</td>
</tr>
</tbody>
</table>

Note: For Components and offices that do not have a Component level CIO, CSO, or Privacy Officer, the acquisition planner shall coordinate with the DHS Headquarters CIO or designee, CSO and Chief Privacy Officer. (See HSAM 3007.103(j)(1)(ii))

4. If “Yes” to any of the information types listed above, identify and describe the privacy and security provisions to be included in the solicitation including the special clauses from HSAR Class Deviation 15-01, Safeguarding of Sensitive Information.  

5. If foreign end products or services are allowed under the contract, what additional security provisions are to be included in the solicitation to protect sensitive information and facilities from unauthorized access and disclosure?  

C. Authority to Operate (ATO)

1. Will contractor IT systems be used to input, store, process, output, and/or transmit sensitive information? ☐ Yes ☐ No

2. If “yes”, has a Requirements Traceability Matrix (RTM) been developed by the Component CIO or designee for inclusion in the solicitation? ☐ Yes ☐ N/A

3. If “yes” to #1, will the solicitation require the submission of a draft security plan and instructions on how the draft security plan will be evaluated? ☐ Yes ☐ N/A

Note: When a contractor IT system will be used to input, store, process, output, and/or transmit sensitive information, the RTM shall be included in the solicitation. The RTM is prepared by the Component CIO or designee in coordination with the program office and is provided as an attachment to the requirements document (i.e., Statement of Work, Statement of Objectives, Performance Work Statement). Vendors shall submit a draft security plan with their proposal/quotation as their response to the RTM. Instructions on how the draft security plan will be evaluated shall be included in the solicitation.
D. Continuous Monitoring Data Requirements

1. Will a contractor-operated information system(s) be used to input, store, process, output, and/or transmit sensitive information? □ Yes □ No

2. If “Yes”, does the requirements document identify how the contractor should submit monthly continuous monitoring data to the Government? □ Yes □ N/A

3. If “Yes”, identify and describe the continuous monitoring data requirements to be included in the solicitation.

E. Data Retention Requirements

1. Will the contractor be required to retain sensitive information for the Government? □ Yes □ No

2. If “Yes”, does the requirements document identify (a) retention requirements (e.g., length of time data must be retained before return and/or destruction) and (b) security requirements for the protection of retained data? □ Yes □ N/A

3. If “Yes”, identify and describe the retention and security requirements to be included in the solicitation.

4. Does the Government have a plan to monitor and/or ensure contractor compliance with the retention and security requirements identified? □ Yes □ N/A

5. If “Yes”, describe the Government’s plan to monitor and/or ensure contractor compliance with the retention and security requirements identified in the acquisition.

F. Additional Privacy Considerations

Note: Consult the Component Privacy Officer when completing this section. (See HSAM 3004.470(b)(7) for additional information)

1. If the contractor will have access to PII or SPII, is contractor support needed to complete privacy compliance documentation (Privacy Threshold Analysis, Privacy Impact Assessment, and/or System of Record Notice, as appropriate)? □ Yes □ No □ N/A

2. If contractor support is needed to complete the privacy compliance documentation, does the requirements document identify the activities and level of contractor support needed? □ Yes □ N/A
G. Contractor Clearance and Access

1. Describe whether all, some, or none of the contractor’s employees will be required to pass a background investigation, possess a secret level clearance, or possess a top-secret level clearance.

2. List the clauses that will be included in the resulting contractual instrument addressing personnel, data or physical security, as appropriate.

3. For information technology acquisitions, discuss how agency information security requirements will be met. Discuss if an IT Security Plan is required?

4. For acquisitions requiring routine or long-term contractor physical access to a Federally-controlled facility and/or access to a Federally-controlled information system (i.e., logical access), discuss how agency requirements for personal identity verification (PIV) of contractors will be met. Address the type, frequency, and duration of such access. If it is determined that routine or long-term physical or logical access is not required, the AP must document this decision. If PIV cards are to be issued, document who will be responsible for providing the contractor the Security paperwork and who will ensure the return of the PIV card.

H. Non-U.S. Suppliers

1. Will foreign end products or services (i.e., non-domestic/U.S.-made end products or non-U.S. services) be permitted to be offered? If yes, what are the applicable trade agreements including the Kissell Amendment (See FAR 25, HSAR 3025.70). Do you anticipate no offers of U.S.-made or applicable trade agreement end products? If yes, consider a nonavailability determination.

I. Place of Performance

Is all work required to be performed within the United States or its territories?

B19: Contract Administration

A. Contract Administration

1. Describe how the contract will be administered. For example: What surveillance method(s) will be used? Is a quality assurance surveillance plan (QASP) a requirement of the contract?

2. In contracts for services, include how inspection and acceptance corresponding to the work statement’s performance criteria will be enforced. Briefly describe how the Government will ensure that it is receiving, accepting, and paying for products or services provided by a contractor.
3. For IT Systems, address the need for an Independent Verification and Validation contractor.

B. Contracting Officer’s Representative (COR)
   1. Indicate how many CORs will be nominated and indicate that they have been certified in accordance with OMB Memorandum, Revisions to the Federal Acquisition Certification for Contracting Representatives (FAC-COR) dated September 6, 2011;
   2. Address the appropriateness of his or her skills and experience for the types of contract(s) to which each COR will be assigned. Discuss how each COR will perform the contract administration duties assigned under FAR 42 to maintain oversight of the technical aspects of the contract. Also, describe how Level III CORs will manage the additional risks associated with other than firm-fixed-price contracts, as appropriate.

C. Audits. For other than firm-fixed-price contracts, discuss how the Contracting Officer and COR plan to review invoices, obtain required incurred cost audits (e.g., from DCAA or through the DHS Strategic Sourcing BPA for Contract Audit & Review Services), resolve any audit issues, and closeout contracts.

B20: Other Considerations and Additional Requirements:

A. Transition Planning
   This contract vehicle □ will □ will not contain a line item for “transition-in” and/or a line item for “transition-out.” If applicable, define work to be performed during the transition. Discuss the period of performance for each line item and the tasks that will be included, as well as explain pricing and timing of the transition.

B. Section 508
   This contract vehicle □ will □ will not purchase electronic and information technology. If applicable, address whether the Electronic and Information Technology Accessibility Standards (see 36 CFR Part 1194) are applicable and explain how these standards are included in requirement planning, as appropriate (see FAR 39.2).

C. Standardization
   This contract vehicle □ will □ will not be procured as part of the Federal Standardization Manual FSPM-0001 (see FAR 11.102). If applicable, ensure that the system will be procured to industry standards or whether the system is compatible with industry standards.

D. Strategic Sourcing Contract Vehicles
   Per HSAM 3017.7102, strategic sourcing contract vehicles are also known as Department-wide contract vehicles.
   □ This acquisition is to establish a new strategic sourcing contract vehicle. (See HSAM 3007 regarding establishing Department-wide contract vehicles.)
   □ This acquisition is a re-compete or follow-on to an existing strategic sourcing contract vehicle. (See HSAM 3007.271 regarding establishing Department-wide contract vehicles.)
This acquisition will be a task/delivery order against an existing strategic sourcing contract vehicle. Identify vehicle: ________________________

(To view a list of strategic sourcing vehicles, go to: http://dhsconnect.dhs.gov/org/comp/mgmt/cpo/oss/Pages/StrategicSourcing.aspx)

This requirement is covered by an existing strategic sourcing contract vehicle. Identify vehicle: _____________________________. However, the vehicle will not be used for the following reason (provide rationale): ____________________

(Attach a copy of the approved waiver or exception. If no waiver or exception has been obtained, provide an explanation. See Directive 060-01 / HSAM 3017 regarding the use of strategic sourcing vehicles and associated exceptions and waivers).

This requirement is not covered by any existing strategic sourcing contract vehicle.

E. Occupational Safety and Health Considerations
The contract vehicle will not be procured in accordance with the Occupational Safety and Health Act. Describe the strategy to ensure that occupational safety or health is being managed under the resulting contractual action. If there are no occupational safety, or health considerations, discuss why this paragraph is not applicable.

F. Support Anti-terrorism by Fostering Effective Technologies Act of 2002 (SAFETY Act)
(Note: Before making a SAFETY Act determination, refer to the DHS Office of SAFETY Act Implementation or http://www.SAFETYAct.gov).

The contract vehicle will not procure technology that affirmatively or presumptively satisfies the technical criteria necessary to be deemed a qualified anti-terrorism technology (see FAR 50.2). If applicable, discuss how the Government will solicit, procure, and protect such technology.

G. Foreign Sales Implications
DHS textile restrictions do not apply to the subject acquisition(s) pursuant to HSAR 3025.7002. If DHS textile restrictions apply, discuss the particular restrictions, and identify the portion of the acquisition(s) to which they apply.

H. Construction Projects
For construction projects valued at $25 million or more, consideration has been given to the potential benefits that may be afforded the Government by requiring the use of a Project Labor Agreement (PLA) and the determination has been made to require a PLA. In making this determination the following factors were taken into consideration: (Discuss all factors considered in making the determination to require/not require the use of a PLA as well as the rationale for the final decision.) (See FAR 22.5.)

I. Disaster or Emergency Relief Activities
The resulting contract(s) does/do not involve(s) disaster or emergency relief activities.

J. Acquisition Planning Forecast System (APFS) Number: ________________
**B21: Milestones for the Acquisition Cycle**

List each significant event from acquisition initiation through the end of the contract action (pre and post award). For each event, identify the completion time frame or date and the individual responsible for completion of the action. When a date is not known, use the timeframe, such as AP Approval plus 30 days.

*Table 8: Acquisition Cycle – Sample*

<table>
<thead>
<tr>
<th>Event</th>
<th>Date Completed or Due</th>
<th>Person Responsible</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Initiated</td>
<td></td>
<td>Program Manager</td>
</tr>
<tr>
<td>IPT Formed</td>
<td></td>
<td>Program Manager</td>
</tr>
<tr>
<td>Market Research Completed</td>
<td></td>
<td>Program Manager</td>
</tr>
<tr>
<td>Program Approvals Obtained</td>
<td></td>
<td>Program Manager</td>
</tr>
<tr>
<td>AP Approved</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SOO/SOW/PWS/Specifications Finalized</td>
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<tr>
<td>PR with Funding Provided to the Contracting Officer</td>
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<tr>
<td>J&amp;A and/or D&amp;F Approval</td>
<td></td>
<td></td>
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<tr>
<td>Issuance of Synopsis</td>
<td></td>
<td>Contracting Officer</td>
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<tr>
<td>Solicitation Package Complete</td>
<td></td>
<td></td>
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<tr>
<td>Solicitation Package Reviewed by OGC</td>
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<td></td>
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<tr>
<td>Solicitation Released</td>
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<td></td>
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<tr>
<td>Proposals/Quotes Received</td>
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<tr>
<td>Evaluators Trained</td>
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<tr>
<td>Evaluation of Proposals Complete</td>
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<tr>
<td>Source Selection Complete</td>
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<tr>
<td>Negotiations</td>
<td></td>
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<tr>
<td>Post Selection Documentation Complete</td>
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<tr>
<td>Contract Preparation, Review and Clearance</td>
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<tr>
<td><strong>Department of Labor Equal Employment Opportunity Clearance</strong></td>
<td></td>
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<tr>
<td>Contract Award</td>
<td></td>
<td></td>
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<tr>
<td>Notification of Unsuccessful Offerors</td>
<td></td>
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<tr>
<td>DHS Unique Congressional Notification of Award in Accordance with HSAM 3005.303-70 (5-Day Advance Notice/Actions &gt; $1M)</td>
<td></td>
<td></td>
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<tr>
<td>Notification of Award</td>
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</tbody>
</table>
B22: Identification of Participants in AP Preparation

List the individuals who participated in preparing the AP. Provide the name, title, organization, telephone number and email for each individual. At a minimum, include participation from at least the Program Manager, Contracting Officer, Budget Officer, Small Business Liaison Officer, commodity council representative, and security representative. Approval and signature lines should be placed at the end of the AP document, as appropriate.

Table 9: AP Preparation Participants

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Organization</th>
<th>Telephone Number</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Manager</td>
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<tr>
<td>Contracting Officer</td>
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<tr>
<td>Contract Specialist</td>
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<tr>
<td>Budget Officer</td>
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<tr>
<td>Small Business Liaison</td>
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<tr>
<td>Advocate for Competition</td>
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<tr>
<td>Commodity Council</td>
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<tr>
<td>Personnel Security Representative</td>
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<tr>
<td>Chief Information Officer Representative, as applicable</td>
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<td></td>
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<tr>
<td>Chief Security Officer Representative, as applicable</td>
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<tr>
<td>Privacy Officer, as applicable</td>
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<tr>
<td>TSA SSI Program Office Representative, as applicable</td>
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<tr>
<td>NPPD CVI Program Office Representative, as applicable</td>
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<td></td>
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<tr>
<td>NPPD PCII Program Office Representative, as applicable</td>
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</tbody>
</table>
DEFINITIONS

Acquisition is defined at FAR 2.101. Acquisition includes the conceptualization, initiation, design, development, test, contracting, production, deployment, support, modification, and disposal of systems, supplies, or services (including construction) to satisfy agency needs. For purposes of this guide, the definition of acquisition also includes inter- and intra-agency acquisitions.

Acquisition Planning Forecasting System (APFS) is a database that stores plans of all anticipated procurements, including inter- and intra-agency acquisitions, blanket purchase agreements and task orders over the simplified acquisition threshold for the forthcoming fiscal year except those that contain classified or sensitive information. This includes inter- and intra-agency acquisitions. The APFS will also be used to compile and publish the annual “Forecast of Contract Opportunities” which is issued by the Office of Small and Disadvantaged Business Utilization (OSDBU). (See HSAM 3007.172)

Acquisition Cost means the total amount of appropriated funds paid to obtain the results or capability for a program under one or more acquisitions.

Acquisition Decision Authority means the individual designated in accordance with criteria established by the Department Chief Acquisition Officer to approve entry of an acquisition program into the next phase of the acquisition process. Formerly known as Milestone Decision Authority (MDA).

Acquisition Decision Event (ADE) means a pre-determined point within the acquisition phases at which the investment will undergo a review prior to starting next phase. Formerly known as Key Decision Point (KDP).

Acquisition Plan (AP) is a written document used to fulfill the acquisition planning requirements of FAR 7 and 34. This includes all acquisitions, including contracts, task orders or delivery orders under indefinite-delivery/indefinite-quantity contracts, Federal Supply Schedule contracts, Government-wide Agency Contracts, and inter- and intra-agency acquisitions.

Acquisition Planning means the process by which the efforts of all personnel responsible for an acquisition are coordinated and integrated through a comprehensive plan for fulfilling the agency need in a timely manner and at a reasonable cost. It includes developing the overall strategy for managing the acquisition. (See FAR 2.101.)

Acquisition Program Baseline (APB) means a program document required for all programs that are reviewed and or approved by DHS headquarters. The APB establishes the program’s performance requirements, schedule requirements and estimate of total acquisition cost of the entire program (rather than for each acquisition).

Acquisition Streamlining means any effort that results in more efficient and effective use of resources to design and develop, or produce quality systems. This includes ensuring that only
necessary and cost-effective requirements are included, at the most appropriate time in the
acquisition cycle, in solicitations and resulting contracts for the design, development, and
production of new systems, or for modifications to existing systems that involve redesign of
systems or subsystems. (See FAR 7.101.)

**Asset** means capital asset as defined by OMB Circular A-11, Part 7, Planning, Budgeting, and
Acquisition of Capital Assets. Capital assets are land, (including parklands), structures,
equipment (including motor and aircraft fleets), and intellectual property (including software)
which are used by the Federal Government and have an estimated useful life of two years or
more.

**Assisted Acquisition** means a type of inter- or intra-agency acquisition (IAA) where a servicing
agency performs acquisition activities on a requesting agency’s behalf, such as awarding and
administering a contract, task order or delivery order. (See FAR 2.101)

**Bundling or bundled contract** means consolidating two or more requirements for supplies or
services, previously provided or performed under separate smaller contracts, orders, into a
solicitation for a single contract or order that is likely to be unsuitable for award to a small
business due to:

- The diversity, size, or specialized nature of the elements of the performance specified;
- The aggregate dollar value of the anticipated award;
- The geographical dispersion of the contract performance sites; or
- Any combination of the above factors. (See FAR 2.101)

**Component Acquisition Executive (CAE)** is the senior acquisition official within a Component
responsible for the implementation, management, and oversight of his or her Component’s
acquisition processes, and coordinating those processes with the contracting and procurement
processes of the HCA.

**Chief Procurement Officer (CPO)** means the DHS Senior Procurement Executive, responsible
for the maintenance and oversight of a Department-wide acquisition program.

**Commercial Item** means:

(1) Any item, other than real property, that is of a type customarily used by the general
public or by non-governmental entities for purposes other than governmental purposes,
and—
  (i) Has been sold, leased, or licensed to the general public; or,
  (ii) Has been offered for sale, lease, or license to the general public;

(2) Any item that evolved from an item described in paragraph (1) of this definition
through advances in technology or performance and that is not yet available in the
commercial marketplace, but will be available in the commercial marketplace in time to
satisfy the delivery requirements under a Government solicitation;
(3) Any item that would satisfy a criterion expressed in paragraphs (1) or (2) of this definition, but for—
   (i) Modifications of a type customarily available in the commercial marketplace; or
   (ii) Minor modifications of a type not customarily available in the commercial marketplace made to meet Federal Government requirements.

Minor modifications mean modifications that do not significantly alter the non-governmental function or essential physical characteristics of an item or component, or change the purpose of a process. Factors to be considered in determining whether a modification is minor include the value and size of the modification and the comparative value and size of the final product. Dollar values and percentages may be used as guideposts, but are not conclusive evidence that a modification is minor;

(4) Any combination of items meeting the requirements of paragraphs (1), (2), (3), or (5) of this definition that are of a type customarily combined and sold in combination to the general public;

(5) Installation services, maintenance services, repair services, training services, and other services if—
   (i) Such services are procured for support of an item referred to in paragraph (1), (2), (3), or (4) of this definition, regardless of whether such services are provided by the same source or at the same time as the item; and
   (ii) The source of such services provides similar services contemporaneously to the general public under terms and conditions similar to those offered to the Federal Government;

(6) Services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed or specific outcomes to be achieved and under standard commercial terms and conditions. This does not include services that are sold based on hourly rates without an established catalog or market price for a specific service performed or a specific outcome to be achieved. For purposes of these services—
   (i) “Catalog price” means a price included in a catalog, price list, schedule, or other form that is regularly maintained by the manufacturer or vendor, is either published or otherwise available for inspection by customers, and states prices at which sales are currently, or were last, made to a significant number of buyers constituting the general public; and
   (ii) “Market prices” means current prices that are established in the course of ordinary trade between buyers and sellers free to bargain and that can be substantiated through competition or from sources independent of the Offerors.

(7) Any item, combination of items, or service referred to in paragraphs (1) through (6) of this definition, notwithstanding the fact that the item, combination of items, or service is transferred between or among separate divisions, subsidiaries, or affiliates of a contractor; or
(8) A non-developmental item, if the procuring agency determines the item was developed exclusively at private expense and sold in substantial quantities, on a competitive basis, to multiple State and local governments. (See FAR 2.101)

**Commodity Manager** means the individual responsible for the acquisition of a specific commodity that is bought on a Department-wide basis generally using a unified Department-wide acquisition strategy.

**Consolidated AP** means a written acquisition plan that includes more than one contract action. For example, a Component may have several different individual contract actions that further its mission or an executive agent may cover all orders within the AP for the strategic sourcing contracts. Combining them into a single AP would conserve resources by eliminating redundant AP development and AP review/approval/update processes.

**Contracting Officer’s Representative (COR)** means an individual designated and authorized in writing by the contracting officer to perform specific technical or administrative functions of the contract. CORs must be certified in accordance with the Office of Management and Budget Memorandum entitled Revisions to the Federal Acquisition Certification for Contracting Representatives (FAC-COR) dated September 26, 2011 and listed as certified in the Federal Acquisition Institute Training Application System (FAITAS) to be appointed and maintain certification at all times to continue to administer the contract or order.

**Contractual action** means any contract, purchase order, project order, delivery or task order, IA, memorandum of agreement, memorandum of understanding, or any other bilateral agreement to obtain anything of value (supply or service) in exchange for appropriated funds.

**Head of the Contracting Activity (HCA)** means the individual who is responsible for managing the entire acquisition function within a Component, as designated by the DHS CPO.

**Integrated Project/Product Team (IPT)** means a cross disciplinary team composed of representatives from all appropriate functional disciplines working together to build successful and balanced programs, identify and resolve issues, and make sound and timely decisions based on timely input from the entire team, when appropriate. (For further information on IPTs, see Section I.2.1, Integrated Project Team, OMB Circular A-11, Supplement to Part 7 – Capital Programming Guide.

**Life-cycle Cost** means the total cost to the Government of acquiring, operating, supporting, and (if applicable) disposing of the items being acquired, inclusive of options and optional quantities. (See FAR 7.101)

**Major System** means that combination of elements that will function together to produce the capabilities required to fulfill a mission need, including hardware, equipment, software, or any combination thereof, but excluding construction or other improvements to real property. A DHS major system is one where the total lifecycle costs for the system are estimated to equal or exceed $300M (in constant 2009 dollars), or if the Deputy Secretary has designated a program or
project as a major system. This corresponds to a DHS Level 1 or 2 capital investment acquisition. (See HSAR 3002.101)

**Make or buy programs** means that part of the contractor’s written plan for a contract identifying those major items to be produced or work efforts to be performed in the prime contractor’s facilities, and those to be subcontracted.

**Multi-year contract** means a contract for the purchase of supplies or services for more than one, but not more than five, program years. A multi-year contract may provide that performance under the contract during the second and subsequent years of the contract is contingent upon the appropriation of funds, and (if it does so provide) may provide for a cancellation payment to be made to the contractor if appropriations are not made. A multi-year contract, defined in the statutes cited at FAR 17.101, buys more than one year’s requirement (of a product or service) without establishing and having to exercise an option for each program year after the first. (See FAR 17.103)

**Multiple year contract** means a contract that purchases more than one year’s requirement (of a product or service) using options for each program year’s requirement after the first year. (See FAR 17.103)

**Order** means an order placed under a Federal Supply Schedule contract; or a task order contract or delivery-order contract awarded by another agency, (e.g., government-wide acquisition contract or multi-agency contract). (See FAR 7.101)

**Plan** means an AP.

**Performance-Based Acquisition** means structuring all aspects of an acquisition around the purpose of the work to be performed with the contract requirements set forth in clear, specific, and objective terms with measurable outcomes rather than structuring an acquisition around the manner by which the work will be performed with broad and imprecise statements. (See FAR 2.101)

**Personally Identifiable Information (PII)** means information that can be used to distinguish or trace an individual’s identity, such as name, social security number, or biometric records, either alone, or when combined with other personal or identifying information that is linked or linkable to a specific individual, such as date and place of birth, or mother’s maiden name. The definition of PII is not anchored to any single category of information or technology. Rather, it requires a case-by-case assessment of the specific risk that an individual can be identified. In performing this assessment, it is important for an agency to recognize that non-personally identifiable information can become personally identifiable information whenever additional information is made publicly available—in any medium and from any source—that, combined with other available information, could be used to identify an individual.

PII is a subset of sensitive information. Examples of PII include, but are not limited to: name, date of birth, mailing address, telephone number, Social Security number (SSN), email address, zip code, account numbers, certificate/license numbers, vehicle identifiers including license
plates, uniform resource locators (URLs), static Internet protocol addresses, biometric identifiers such as fingerprint, voiceprint, iris scan, photographic facial images, or any other unique identifying number or characteristic, and any information where it is reasonably foreseeable that the information will be linked with other information to identify the individual.

Program (also referred to for purposes of this guide as Acquisition Program) means a directed, funded mission that provides a new, improved, or continuing system or service in response to an approved need. Acquisition programs are divided into levels established to facilitate decentralized decision-making, execution, and compliance with statutory requirements.

Program Manager (PM) means the responsible person who, with significant discretionary authority, is uniquely empowered to make final scope of work, capital investment, and performance acceptability decisions, and who is responsible for accomplishing program objectives or production requirements through the acquisition of in-house, contract or reimbursable support resources, as appropriate. The PM is responsible for management and oversight of the Integrated Product Team. In general, the PM is the manager of an acquisition program, but may be a manager of a procurement that does not rise to the level of an acquisition program (e.g., janitorial services, human resource services, bulk commodity purchases, etc).

Project means a planned undertaking with a definite beginning, distinct mission, and clear termination. A project may or may not be part of a larger acquisition program.

Project Labor Agreement (PLA) means a pre-hire collective bargaining agreement with one or more labor organizations that establishes the terms and conditions of employment for a specific construction project and is an agreement described in 29 U.S.C. 158(f).

Project Manager means an individual assigned responsibility for accomplishment of a specific, defined task in support of an acquisition program.

Requesting Agency means a Federal agency that has a requirement and desires to obtain goods or services from a servicing agency.

Sensitive Information means any information, which if lost, misused, disclosed, or, without authorization is accessed, or modified, could adversely affect the national or homeland security interest, the conduct of Federal programs, or the privacy to which individuals are entitled under section 552a of Title 5, United States Code (the Privacy Act), but which has not been specifically authorized under criteria established by an Executive Order or an Act of Congress to be kept secret in the interest of national defense, homeland security or foreign policy. This definition includes the following categories of information:

(1) Protected Critical Infrastructure Information (PCII) as set out in the Critical Infrastructure Information Act of 2002 (Title II, Subtitle B, of the Homeland Security Act, Public Law 107-296, 196 Stat. 2135), as amended, the implementing regulations thereto (Title 6, Code of Federal Regulations, Part 29) as amended, the applicable PCII Procedures Manual, as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the PCII Program Manager or his/her designee);
(2) Sensitive Security Information (SSI), as defined in Title 49, Code of Federal Regulations, Part 1520, as amended, “Policies and Procedures of Safeguarding and Control of SSI,” as amended, and any supplementary guidance officially communicated by an authorized official of the Department of Homeland Security (including the Assistant Secretary for the Transportation Security Administration or his/her designee);

(3) Information designated as “For Official Use Only,” which is unclassified information of a sensitive nature and the unauthorized disclosure of which could adversely impact a person’s privacy or welfare, the conduct of Federal programs, or other programs or operations essential to the national or homeland security interest; and

(4) Any information that is designated “sensitive” or subject to other controls, safeguards or protections in accordance with subsequently adopted homeland security information handling procedures.

Sensitive Personally Identifiable Information (SPII) is a subset of PII, which if lost, compromised or disclosed without authorization, could result in substantial harm, embarrassment, inconvenience, or unfairness to an individual. Some forms of PII are sensitive as stand-alone elements. Examples of such PII include: Social Security numbers (SSN), driver’s license or state identification number, Alien Registration Numbers (A-number), financial account number, and biometric identifiers such as fingerprint, voiceprint, or iris scan. Additional examples include any groupings of information that contain an individual’s name or other unique identifier plus one or more of the following elements:

1. Truncated SSN (such as last 4 digits)
2. Date of birth (month, day, and year)
3. Citizenship or immigration status
4. Ethnic or religious affiliation
5. Sexual orientation
6. Criminal History
7. Medical Information
8. System authentication information such as mother’s maiden name, account passwords or personal identification numbers (PIN)

Other PII may be “sensitive” depending on its context, such as a list of employees and their performance ratings or an unlisted home address or phone number. In contrast, a business card or public telephone directory of agency employees contains PII but is not sensitive.

Servicing agency means a Federal agency that is willing and able to provide goods or services to a requesting agency.

Should-Cost review evaluates the economy and efficiency of the contractor’s existing workforce, methods, materials, equipment, real property, operating systems, and management. The objective of a should-cost review is to promote both short- and long-range improvements in the contractor’s economy and efficiency in order to reduce the cost of performance of Government contracts. (See FAR 15.407-4)
Significant change is a change in the acquisition strategy, including the contract type or method of procurement; a change in the nature or scope of work to be performed; and/or a significant change in the dollar value of the procurement. A significant increase in the dollar value is defined as follows:

<table>
<thead>
<tr>
<th>Value of Most Recently Approved Plan</th>
<th>Dollar Increase of Revised Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less Than or Equal to $500 Million</td>
<td>$100 Million or greater</td>
</tr>
<tr>
<td>Between $500 Million and $3 Billion</td>
<td>20% of the value of the most recently approved plan</td>
</tr>
<tr>
<td>$3 Billion or Greater</td>
<td>$300 Million or greater</td>
</tr>
</tbody>
</table>

Value of the acquisition means the maximum potential monetary amount that the Government may obligate against a contractual action including all options, incentives, award fees and cancellation fees.
## ACRONYM LIST

<table>
<thead>
<tr>
<th>ACRONYM</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADA</td>
<td>Acquisition Decision Authority</td>
</tr>
<tr>
<td>ADE</td>
<td>Acquisition Decision Event</td>
</tr>
<tr>
<td>ARB</td>
<td>Acquisition Review Board</td>
</tr>
<tr>
<td>AP</td>
<td>Acquisition Plan</td>
</tr>
<tr>
<td>APB</td>
<td>Acquisition Program Baseline</td>
</tr>
<tr>
<td>APL</td>
<td>Acquisition Policy and Legislation Branch</td>
</tr>
<tr>
<td>APFS</td>
<td>Acquisition Planning Forecast System</td>
</tr>
<tr>
<td>BPA</td>
<td>Blanket Purchase Agreement</td>
</tr>
<tr>
<td>CAE</td>
<td>Component Acquisition Executive</td>
</tr>
<tr>
<td>CAO</td>
<td>Chief Acquisition Officer</td>
</tr>
<tr>
<td>CASO</td>
<td>Chief Asset Supply Officer</td>
</tr>
<tr>
<td>CCR</td>
<td>Contractor Central Registration</td>
</tr>
<tr>
<td>CFO</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>CHCO</td>
<td>Chief Human Capital Officer</td>
</tr>
<tr>
<td>CIO</td>
<td>Chief Information Officer</td>
</tr>
<tr>
<td>COR</td>
<td>Contracting Officer’s Representative</td>
</tr>
<tr>
<td>CPAF</td>
<td>Cost-Plus-Award Fee</td>
</tr>
<tr>
<td>CPFF</td>
<td>Cost-Plus-Fixed Fee</td>
</tr>
<tr>
<td>CPO</td>
<td>Chief Procurement Officer</td>
</tr>
<tr>
<td>CVI</td>
<td>Chemical-terrorism Vulnerability Information</td>
</tr>
<tr>
<td>DHS</td>
<td>Department of Homeland Security</td>
</tr>
<tr>
<td>EAB</td>
<td>Enterprise Architecture Board</td>
</tr>
<tr>
<td>EIA</td>
<td>Electronic Industrial Standards</td>
</tr>
<tr>
<td>EVM</td>
<td>Earned Value Management</td>
</tr>
<tr>
<td>FAR</td>
<td>Federal Acquisition Regulation</td>
</tr>
<tr>
<td>FFP</td>
<td>Firm-Fixed Price</td>
</tr>
<tr>
<td>FSS</td>
<td>Federal Supply Schedule</td>
</tr>
<tr>
<td>FTE</td>
<td>Full Time Equivalent Person</td>
</tr>
<tr>
<td>GAO</td>
<td>Government Accountability Office</td>
</tr>
<tr>
<td>GFI</td>
<td>Government-Furnished Information</td>
</tr>
<tr>
<td>GFP</td>
<td>Government-Furnished Property</td>
</tr>
<tr>
<td>GSA</td>
<td>General Services Administration</td>
</tr>
<tr>
<td>Acronyms</td>
<td>Description</td>
</tr>
<tr>
<td>----------</td>
<td>-------------</td>
</tr>
<tr>
<td>GWAC</td>
<td>Government Wide Acquisition Contract</td>
</tr>
<tr>
<td>HCA</td>
<td>Head of the Contracting Activity</td>
</tr>
<tr>
<td>HSAM</td>
<td>Department of Homeland Security Acquisition Manual</td>
</tr>
<tr>
<td>HSAR</td>
<td>Department of Homeland Security Acquisition Regulations</td>
</tr>
<tr>
<td>IAA</td>
<td>Inter- and/or Intra-Agency Acquisition</td>
</tr>
<tr>
<td>IBR</td>
<td>Integrated Baseline Review</td>
</tr>
<tr>
<td>IDIQ</td>
<td>Indefinite Delivery Indefinite Quantity Contract</td>
</tr>
<tr>
<td>IGCE</td>
<td>Independent Government Cost Estimate</td>
</tr>
<tr>
<td>J&amp;A</td>
<td>Justification for Other Than Full and Open Competition</td>
</tr>
<tr>
<td>MAC</td>
<td>Multiple Award Contract</td>
</tr>
<tr>
<td>MNS</td>
<td>Mission Need Statement</td>
</tr>
<tr>
<td>MRC</td>
<td>Management Review Council</td>
</tr>
<tr>
<td>OCPO</td>
<td>Office of the Chief Procurement Officer</td>
</tr>
<tr>
<td>OSDBU</td>
<td>Office of Small and Disadvantaged Business Utilization</td>
</tr>
<tr>
<td>PAAC</td>
<td>Procuring Activity Advocate for Competition</td>
</tr>
<tr>
<td>PALT</td>
<td>Procurement Acquisition Lead Time</td>
</tr>
<tr>
<td>PBA</td>
<td>Performance-Based Acquisition</td>
</tr>
<tr>
<td>PCII</td>
<td>Protected Critical Infrastructure Information</td>
</tr>
<tr>
<td>PII</td>
<td>Personally Identifiable Information</td>
</tr>
<tr>
<td>PM</td>
<td>Program Manager</td>
</tr>
<tr>
<td>PWS</td>
<td>Performance Work Statement</td>
</tr>
<tr>
<td>SBA</td>
<td>Small Business Administration</td>
</tr>
<tr>
<td>SOO</td>
<td>Statement of Objectives</td>
</tr>
<tr>
<td>SOW</td>
<td>Statement of Work</td>
</tr>
<tr>
<td>SPII</td>
<td>Sensitive Personally Identifiable Information</td>
</tr>
<tr>
<td>SSI</td>
<td>Sensitive Security Information</td>
</tr>
<tr>
<td>TEMP</td>
<td>Test and Evaluation Management Plan</td>
</tr>
<tr>
<td>T&amp;M</td>
<td>Time-and-Materials Contract Type</td>
</tr>
<tr>
<td>TO</td>
<td>Task Order</td>
</tr>
</tbody>
</table>
Acquisition Plan # _______________________

Acquisition Planning Forecast System #: _________________________

Department of Homeland Security
Streamlined Acquisition Plan Template
Version 4.0 – May 2016

(SEE PRESCRIPTION AT HSAM 3007.103(e)(4))
Submitted by:

Name          Date
Program Official (or official title)
(DHS Component and Organization)
(Telephone number)

Name          Date
Contracting Officer
(DHS Component and Organization)
(Telephone number)

Concurrence:
(Additional concurrence signatures may be added in accordance with HSAM 3007.103(j)(1))

Name          Date
Small Business Specialist
(DHS Component and Organization)
(Telephone number)

Name          Date
Component Acquisition Executive
(DHS Component and Organization)
(Telephone number)

Name          Date
Chief Information Officer
(DHS Component and Organization)
(Telephone number)

Approval:
(Also see HSAM 3007.103(j)(2))

Name          Date
Head of the Contracting Activity
(DHS Component and Organization)
(Telephone number)
1) Statement of Need/Requirement Description (FAR 7.105(a)(1)): (check one)

☐ Supplies
☐ Services
☐ Both supplies and services

Introduce the plan by a brief statement of need including capability gaps this requirement will fill. Summarize the technical and contractual history of the acquisition. Discuss feasible acquisition alternatives, the impact of prior acquisitions on those alternatives, and any related in-house effort. Include a description of the requirement.

2) Applicable Conditions (FAR 7.105(a)(2)):

☐ Urgent Need
☐ Compatibility issues: ______________________________________________________
☐ Cost/Schedule/Performance Constraints: _______________________________________
☐ N/A

3) Capability or Performance (FAR 7.105(a)(4)):

Describe the capability or performance characteristics of supplies being acquired: ____________

Describe the performance standards of services being acquired: __________________________

4) Delivery or Period of Performance Requirements (FAR 7.105(a)(5)):

Describe the basis for establishing delivery or performance-period requirements. (See FAR 11.4) Explain and provide the reasons for any urgency if it results in concurrent development and production or constitutes justification for not providing for full and open competition. Describe any mandated deadlines or any system integration issues that could affect performance schedules. __________________________________________________________

5) Trade-Offs (FAR 7.105(a)(6)):

Discuss the expected consequences of tradeoffs among the various cost, capability or performance, and schedule goals. ________________________________

6) Risks (FAR 7.105(a)(7)):

In the following table, identify any cost, schedule, capability, or performance risks that may affect either the Government or contractor and explain how those risks will be mitigated.
<table>
<thead>
<tr>
<th>Risk Event</th>
<th>Risk Category</th>
<th>Risk Probability</th>
<th>Impact</th>
<th>Risk Management</th>
<th>Responsible Official</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify the risk</td>
<td>e.g., Cost, Schedule, Performance, Political or Organizational</td>
<td>High, Medium or Low</td>
<td>What would happen, and how severe would the impact be if the risk event occurred?</td>
<td>Describe the mitigation strategy.</td>
<td>Name and title of the person who is responsible for managing the risk.</td>
</tr>
</tbody>
</table>

Example: Not meeting the acquisition schedule

Example: Schedule

Example: High

Example: Requiring activity will not receive services on time

Example: Strict adherence to the milestone schedule

Example: Contracting Officer/Program Office

- A risk management plan has been developed
- N/A: (Provide rationale) ___________________________________________________

7) **Acquisition Streamlining (FAR 7.105(a)(8)):**

Select from the following any planned acquisition streamlining initiatives that will result in a more efficient and effective use of resources during the acquisition process:

- Encouraging industry participation by hosting Industry Days, using draft solicitations, presolicitation conferences and other means of stimulating interaction with industry.
- Using performance-based services acquisition, when applicable.
- Acquiring Commercial-Off-the-Shelf (COTS) products, when applicable.
- Other (provide description) ___________________________________________

N/A

8) **Sources (FAR 7.105(b)(1)) and Acquisition Method:**

Identify the types of businesses that can support the requirement:

- Small Business
- HUBZone Small Business
- Small Disadvantaged Business
- Woman-owned Small Business
- 8(a) Program Participant
- Service Disabled Veteran-owned Small Business
- Other than Small Business
- Other: ___________________________________________

**Strategic Sourcing Contract Vehicles**

Per HSAM 3017.7102, strategic sourcing contract vehicles are also known as Department-wide contract vehicles.

- This acquisition is to establish a new strategic sourcing contract vehicle. (see HSAM 3007 regarding establishing Department-wide contract vehicles.)
☐ This acquisition is a re-compete or follow-on to an existing strategic sourcing contract vehicle. (See HSAM 3007.271 regarding establishing Department-wide contract vehicles.)

☐ This acquisition will be a task/delivery order against an existing strategic sourcing contract vehicle. Identify vehicle: ________________________

   (To view a list of strategic sourcing vehicles, go to: http://dhsconnect.dhs.gov/org/comp/mgmt/cpo/oss/Pages/StrategicSourcing.aspx)

☐ This requirement is covered by an existing strategic sourcing contract vehicle. Identify vehicle: ____________________________. However, the vehicle will not be used for the following reason (provide rationale): ____________________________________________

   (Attach a copy of the approved waiver or exception. If no waiver or exception has been obtained, provide an explanation. See Directive 060-01/HSAM 3017 regarding the use of strategic sourcing vehicles and associated exceptions and waivers).

☐ This requirement is not covered by any existing strategic sourcing contract vehicle.

For non-Strategic Sourcing Vehicles provide the following information:

Indicate the prospective sources of supplies or services that can meet the need. Consider required sources of supplies or services (see FAR 8) and sources identified through databases including the Government-wide database of contracts and other procurement instruments intended for use by multiple agencies available at www.contractdirectory.gov/contractdirectory/.

This section should also address planned set-aside(s) and document consideration of small business, veteran-owned business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns (see FAR 19), and the impact of any bundling that might affect their participation in the acquisition (see FAR 7.107). When the proposed plan involves bundling, identify the incumbent contractors and contracts affected by the bundling.

Address the extent and results of the market research and indicate the impact of the market research findings on the various elements of the plan (see FAR 10 and the DHS Market Research Guide). Include the number of sources that have expressed intent to submit an offer in response to the planned solicitation.
Identify the acquisition method based on the results of market research: (check one)

☐ DO/TO against Component BPA/IDIQ  
☐ DO/TO/BPA against FSS  
☐ DO/TO against GWAC  
☐ Non FSS BPA  
☐ IDIQ  
☐ Contract  
☐ Purchase Order  
☐ Interagency Acquisition  
☐ Servicing Agency Name: __________________________  
☐ Other ___________________________________________________________________________

9) **Competition (FAR 7.105(b)(2)):**

Describe how competition will be sought, promoted, and sustained throughout the course of the acquisition. The discussion should address measures that will be taken to maximize the likelihood of receiving offers from multiple sources. If exclusion of source(s) is proposed, identify the applicable statutory authority permitting exclusion (see FAR 6.202 and 6.203). If full and open competition is not contemplated, cite the appropriate authority at FAR 6.302, discuss the basis for the application of that authority, identify the source(s) and discuss why full and open competition cannot be obtained, and whether the requirement has been coordinated with the Procurement Activity Advocate for Competition or DHS Advocate for Competition, as appropriate.

☐ Competitive  
   ☐ Full and Open  
   ☐ Socioeconomic (e.g. Small Business Set-Aside, 8(a), etc.)  
   ☐ Federal Supply Schedule (FSS)  
   ☐ DHS Strategically Sourced Vehicles

☐ Non-competitive  
   ☐ FAR 6.302: (Cite authority) ___________________________________________  
   ☐ FAR 8.405-6: (Cite authority) ___________________________________________  
   ☐ FAR 16.505(b): (Cite authority) ___________________________________________

Provide a brief explanation of the circumstances permitting other than full and open competition:
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

Identify the major components or subsystems. Discuss component breakout plans relative to these major components or subsystems. Describe how competition will be sought, promoted, and sustained for these components or subsystems.

For contracts that will deliver a tangible item, describe how competition will be sought, promoted, and sustained for spares and repair parts. Identify the key logistic milestones, such as technical data delivery schedules and acquisition method coding conferences that affect competition.
When effective subcontract competition is both feasible and desirable, describe how such subcontract competition will be sought, promoted, and sustained throughout the course of the acquisition. Identify any known barriers to increasing subcontract competition and address how to overcome them.

10) **Contract Type Selection (FAR 7.105(b)(3)):**

- [ ] Firm Fixed-Price
- [ ] Cost Reimbursement
- [ ] Time and Materials
- [ ] Labor Hour
- [ ] Other ________________

11) **Contract Type Discussion (FAR 16.103(d)):**

- [ ] N/A – This is a firm-fixed price requirement

For other than a firm-fixed price contracts/orders address items (a) through (g):

a) An analysis of why the use of other than a firm-fixed-price contract (e.g., cost reimbursement, time and materials, labor hour) is appropriate and the rationale that detail the particular facts and circumstances (e.g., complexity of the requirements, uncertain duration of the work, contractor’s technical capability and financial responsibility, or adequacy of the contractor’s accounting system), and associated reasoning essential to support the contract type selection.

b) Discuss the Government’s additional risks and the burden to manage the contract type selected (e.g., when a cost-reimbursement contract is selected, the Government incurs additional cost risks, and the Government has the additional burden of managing the contractor’s costs). The nature of the additional risks (e.g., inadequate contractor’s accounting system, weaknesses in contractor’s internal control, non-compliance with Cost Accounting Standards, or lack of or inadequate earned value management system) should also be discussed.

c) How the Government identified the additional risks (e.g., pre-award survey, or past performance information).

d) How the Government will manage and mitigate the risks.
e) A discussion of why a level-of-effort, price redetermination, or fee provision was included.

f) An assessment regarding the adequacy of Government resources that are necessary to properly plan for, award, and administer other than firm-fixed-price contracts.

g) A discussion of the actions planned to minimize the use of other than firm-fixed-price contracts on future acquisitions for the same requirement and to transition to firm-fixed-price contracts to the maximum extent practicable.

12) Source Selection Procedures (FAR 7.105(b)(4)):

The Evaluation Factors/Criterion for this procurement are as follows:

<table>
<thead>
<tr>
<th>Technical</th>
<th>Business/Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>1.</td>
</tr>
<tr>
<td>2.</td>
<td>2.</td>
</tr>
<tr>
<td>3.</td>
<td>3.</td>
</tr>
</tbody>
</table>

Discuss the source-selection procedures for the acquisition(s), including the timing for submission and evaluation of proposals, and the relationship of evaluation factors to the attainment of the acquisition objectives. (See FAR 15.3)

If Earned Value Management Systems (EVMS) is required (See FAR 34) and a pre-award Integrated Baseline Review (IBR) is contemplated, the AP must discuss the following:

a) How the pre-award IBR will be considered in the source selection decision;

b) How it will be conducted in the source-selection process; and

c) Whether offerors will be directly compensated for the costs of participating in a pre-award IBR.

13) Acquisition Considerations (FAR 7.105(b)(5)):

Discuss and provide rationale, where applicable:

a) Use of multiyear contracting, options or other special contracting methods (see FAR 17). □ N/A

b) Any special clauses, special solicitation provisions, or FAR/HSAR deviations required (see FAR 1.4). □ N/A

c) Whether sealed bidding or negotiation will be used and why. □ N/A

d) Whether equipment will be acquired by lease or purchase and why (see FAR 7.4). □ N/A

e) Whether lessons learned from previous acquisitions impact any aspect of the current acquisition and if knowledge gained from the prior acquisitions has been used to further refine the requirement or the acquisition strategy consistent with FAR 7.103(t). If prior
acquisitions have not been reviewed, provide the rationale for not reviewing historical
information to obtain lessons learned. □ N/A
f) This acquisition □ is □ is not a performance-based acquisition. Briefly describe the
reason(s) for using performance based descriptions. FAR 7.105 requires planners to provide
the rationale for not structuring the action as performance-based.
g) This contract vehicle □ will be □ will not be a multiple-award indefinite-quantity or
indefinite-delivery contract in accordance with FAR 16. For any single award task or
delivery order contract exceeding $112 million, ensure that a determination is processed in
accordance with HSAM 3016.504.
h) This contract vehicle □ will require □ will not require submittal of certified cost or pricing
data. If certified cost or pricing data will not be required, explain the applicable exemption
from submittal of such data. (see FAR 15.4, Contract Pricing)
i) This contract vehicle □ will require □ will not require cost analysis and/or cost realism to
determine a fair and reasonable price (see FAR 15.404). If neither cost analysis or cost
realism will be used, explain why.
j) For each order contemplated discuss: Why this action benefits the Government (e.g., an
agency can accomplish its mission more efficiently and effectively; ordering through an
indefinite-delivery contract facilitates access to small business concerns.) □ N/A
k) For information technology acquisitions using Internet Protocol, discuss whether the
requirements documents include the Internet Protocol compliance requirements specified in
FAR 11.002(g) or a waiver of these requirements has been granted by the agency’s Chief
Information Officer. □ N/A
l) For each contract (and order) contemplated, discuss the strategy
to transition to firm-fixed-
price contracts to the maximum extent practicable. During the requirements development
stage, consider structuring the contract requirements, e.g., contract line items (CLINS), in a
manner that will permit some, if not all, of the requirements to be awarded on a firm-fixed-
price basis, either in the current contract, future option years, or follow-on contracts. This
will facilitate an easier transition to a firm-fixed-price contract because a cost history will be
developed for a recurring definitive requirement. □ N/A

14) Total Procurement Value Including All Options (FAR 7.105(b)(6)):
(Attach independent government cost estimate or life cycle cost estimate)

<table>
<thead>
<tr>
<th>Performance Period</th>
<th>Performance Period Dates</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Period</td>
<td>MM/DD/YYYY</td>
<td>$</td>
</tr>
<tr>
<td>Option Period 1</td>
<td>MM/DD/YYYY</td>
<td>$</td>
</tr>
<tr>
<td>Option Period 2</td>
<td>MM/DD/YYYY</td>
<td>$</td>
</tr>
<tr>
<td>Option Period 3 (add additional options as applicable)</td>
<td>MM/DD/YYYY</td>
<td>$</td>
</tr>
<tr>
<td>Total Value Including All Options</td>
<td></td>
<td>$</td>
</tr>
</tbody>
</table>

*If there is more than one contract action, include the table for each.

As applicable, include budget estimates, explain how they were derived, and discuss the schedule
for obtaining adequate funds at the time they are required. (See FAR 32.7.)

Address whether financial audits (e.g., audits performed by the Defense Contract Audit Agency)
will be required in association with the proposed acquisition and whether adequate funding will
be reserved for them. Pre award accounting system reviews and annual incurred cost audits are generally required for other than firm-fixed-price type awards.

15) Contractor Versus Government Performance (FAR 7.105(b)(9)):

Are any of the acquisitions covered under the AP covered by OMB Circular No. A-76 (see FAR 7.3)
☐ Yes
☐ No

16) Inherently Governmental Functions (FAR 7.105(b)(10)):

☐ This requirement does not include inherently governmental functions, as defined in FAR Part 7.5.
☐ This requirement has been analyzed per the Department’s Balanced Workforce Strategy policy (see HSAM 3007.5, Inherently Governmental Functions).
☐ N/A (e.g., commodities)

17) Management Information Requirements (FAR 7.105(b)(11)):

Discuss, if appropriate, what management system, e.g., EVMS, Service Level Agreements, etc., will be used by the Government to monitor the contractor’s effort, to include collection of performance, cost, and schedule data. In addition, if EVMS is required for the contract, discuss how the offeror’s/contractor’s EVMS will be verified for compliance with the American National Standards Institute/Electronics Industries Alliance (ANSI/EIA) Standard-748, EVMS, and the timing and conduct of integrated baseline reviews (whether prior to or post award) (see FAR 34.202) Earned Value Management System and Integrated Baseline Review (IBR):

☐ N/A – A management system is not contemplated for this acquisition.

18) Information Technology (IT) Purchases:

Does this procurement include the purchase of IT products, services, equipment, or commercial-off-the-shelf (COTS) software? Yes ☐ No ☐

If yes, address whether the Electronic and Information Technology Accessibility Standards (see 36 CFR Part 1194) are applicable and explain how these standards are included in requirement planning, as appropriate (see FAR 39.2).

19) Government-Furnished Property (GFP) (FAR 7.105(b)(15)):

Indicate any Government property to be furnished to contractors, and discuss any associated considerations, such as its availability or the schedule for its acquisition (see FAR 45.102).

Note: If contractor performance will be in a Government facility, access to the facility is GFP along with any workstation and electronics provided. (Refer to sample GFP Table 3.) ☐ N/A
Table 3. Government-Furnished Property – Sample

<table>
<thead>
<tr>
<th>Description of Government Property - Include the level of detail required at FAR 45.201(a)</th>
<th>Date/Event Indicate when the GFP will be furnished</th>
<th>Date/Event Indicate when the GFP will be returned</th>
<th>If GFP is procured under separate contracts, state the contract number or solicitation number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

20) Government-Furnished Information (GFI) (FAR 7.105(b)(16)):

Discuss any Government information, such as access to DHS’s intranet, software, or databases, manuals, drawings, and test data, to be furnished to prospective offerors and contractors. List the information that will be furnished, with both the date it will be provided and date to be returned (if required). If the information will not be returned, indicate "not returned" in that block. (Refer to sample GFI Table 4.)

Indicate which information that requires additional controls to monitor access and distribution (e.g., technical specifications, maps, building designs, schedules, etc.), as determined by the agency, is to be posted via the enhanced controls of the GPE at http://www.fedbizopps.gov (See FAR 5.102(a).) □ N/A

Table 4. Government-Furnished Information – Sample

<table>
<thead>
<tr>
<th>Description of Government – Furnished Information</th>
<th>Date/ Event Indicate when the GFI will be furnished</th>
<th>Date/Event Indicate when the GFI will be returned</th>
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</thead>
<tbody>
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</table>

21) Environmental and Energy Conservation Objectives (FAR 7.105(b)(17)):

Has consideration been given to the purchase and use of green products and services to the maximum extent practicable, to include biobased products, recycled content products, water-efficient, energy-efficient, Energy Star®, products with the lowest watt stand-by power, environmentally preferable products, alternative fuels, hybrid and alternative fuel vehicles, non-ozone depleting substances, renewable energy; and items designated by the Environmental Protection Agency, the Department of Energy, and the United States Department of Agriculture (USDA) designated items.

□ Yes
□ No
If no, provide justification.

22) Security Considerations (FAR 7.105(b)(18)) (includes Privacy Considerations):

A. Classified Information
   For acquisitions dealing with classified matters, discuss how adequate security will be established, maintained, and monitored (see FAR 4.4 and DHS National Security Systems Policy Directive 4300B)

B. Sensitive Information (defined in Part IV, Definitions and Acronyms of the DHS Acquisition Planning Guide)

1. Will the contractor have access to any of the types of the sensitive information listed below during the acquisition? ☐ Yes ☐ No

   (If the answer is “No” to all of the information types listed below, the answer to questions 2 through 5 is N/A.)

   ☐ Yes ☐ No Chemical-terrorism Vulnerability Information (CVI)
   ☐ Yes ☐ No For Official Use Only (FOUO)
   ☐ Yes ☐ No Law Enforcement Sensitive Information
   ☐ Yes ☐ No Protected Critical Infrastructure Information (PCII)
   ☐ Yes ☐ No Personally Identifiable Information (PII)
   ☐ Yes ☐ No Sensitive PII (SPII)
   ☐ Yes ☐ No Sensitive Security Information (SSI)
   ☐ Other ________________________________________________
   ☐ N/A

2. Has the Component CIO, CSO, or Privacy Officer, HCA (or designee for each) and program manager determined that this effort will have a “high risk” of unauthorized access to or disclosure of sensitive information in accordance with the requirements of HSAR Deviation 15-01, Safeguarding of Sensitive Information, applicable to this acquisition? ☐ Yes ☐ No

   Note: If the answer to this question is “yes” special clauses Safeguarding of Sensitive Information (MAR 2015), Information Technology Security and Privacy Training (MAR 2015) and HSAR clause 3052.204-71 Contractor Employee Access shall be included in the solicitation and subsequent contract (as defined in FAR 2.101).

3. If “Yes” to #1 or #2 above, have privacy and security provisions been identified and coordinated with the following, as applicable (see HSAM 3004.470(b) for coordination requirements). Privacy provisions include handling, incident reporting, notification and credit monitoring. Security provisions include development of the requirements
traceability matrix, security authorization documentation, independent assessment, continuous monitoring, security review and federal reporting requirements, incident reporting and response.

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
<td>N/A</td>
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<tr>
<td>Yes</td>
<td>No</td>
<td>N/A</td>
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Note: For Components and offices that do not have a Component level CIO, CSO, or Privacy Officer, the acquisition planner shall coordinate with the DHS Headquarters CIO or designee, CSO and Chief Privacy Officer. (See HSAM 3007.103(j)(1)(ii))

4. If “Yes” to any of the information types listed above, identify and describe the privacy and security provisions to be included in the solicitation including the special clauses from HSAR Class Deviation 15-01, Safeguarding of Sensitive Information.

5. If foreign end products or services are allowed under the contract, what additional security provisions are to be included in the solicitation to protect sensitive information and facilities from unauthorized access and disclosure?

C. Authority to Operate (ATO)

1. Will contractor IT systems be used to input, store, process, output, and/or transmit sensitive information?  
   | Yes | No |

2. If “Yes”, has a Requirements Traceability Matrix (RTM) been developed by the Component CIO or designee for inclusion in the solicitation?  
   | Yes | N/A |

3. If “Yes” to #1, will the solicitation require the submission of a draft security plan and instructions on how the draft security plan will be evaluated?  
   | Yes | N/A |

Note: When a contractor IT system will be used to input, store, process, output, and/or transmit sensitive information, the RTM shall be included in the solicitation. The RTM is prepared by the Component CIO or designee in coordination with the program office and is provided as an attachment to the requirements document (i.e., Statement of Work, Statement of Objectives, Performance Work Statement). Vendors shall submit a draft security plan with their proposal/quotation as their response to the RTM. Instructions on how the draft security plan will be evaluated shall be included in the solicitation.
D. Continuous Monitoring Data Requirements
1. Will a contractor-operated information system(s) be used to input, store, process, output, and/or transmit sensitive information? □ Yes □ No

2. If “Yes”, does the requirements document identify how the contractor should submit monthly continuous monitoring data to the Government? □ Yes □ N/A

3. If “Yes”, identify and describe the continuous monitoring data requirements to be included in the solicitation.

E. Data Retention Requirements
1. Will the contractor be required to retain sensitive information for the Government? □ Yes □ No

2. If “Yes”, does the requirements document identify (a) retention requirements (e.g., length of time data must be retained before return and/or destruction) and (b) security requirements for the protection of retained data? □ Yes □ N/A

3. If “Yes”, identify and describe the retention and security requirements to be included in the solicitation.

4. Does the Government have a plan to monitor and/or ensure contractor compliance with the retention and security requirements identified? □ Yes □ N/A

5. If “Yes”, describe the Government’s plan to monitor and/or ensure contractor compliance with the retention and security requirements identified in the acquisition.

F. Additional Privacy Considerations
Note: Consult the Component Privacy Officer when completing this section. (See HSAM 3004.470(b)(7) for additional information)

1. If the contractor will have access to PII or SPII, is contractor support needed to complete privacy compliance documentation (Privacy Threshold Analysis, Privacy Impact Assessment, and/or System of Record Notice, as appropriate)? □ Yes □ No □ N/A

2. If contractor support is needed to complete the privacy compliance documentation, does the requirements document identify the activities and level of contractor support needed? □ Yes □ N/A

G. Contractor Clearance and Access
Describe whether all, some, or none of the contractor’s employees will be required to pass a background investigation, possess a secret level clearance, or possess a top-secret level clearance.

____________________________________________________________

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May 2016
1. List the clauses that will be included in the resulting contractual instrument addressing personnel, data or physical security, as appropriate.

2. For information technology acquisitions, discuss how agency information security requirements will be met. Discuss if an IT Security Plan is required?

3. For acquisitions requiring routine or long-term contractor physical access to a Federally-controlled facility and/or access to a Federally-controlled information system (i.e., logical access), discuss how agency requirements for personal identity verification (PIV) of contractors will be met. Address the type, frequency, and duration of such access. If it is determined that routine or long-term physical or logical access is not required, the AP must document this decision. If PIV cards are to be issued, document who will be responsible for providing the contractor the Security paperwork and who will ensure the return of the PIV card.

H. Non-U.S. Suppliers
Will foreign end products or services (i.e., non-domestic/U.S.-made end products or non-U.S. services) be permitted to be offered? If yes, what are the applicable trade agreements including the Kissell Amendment (See FAR 25, HSAR 3025.70). Do you anticipate no offers of U.S.-made or applicable trade agreement end products? If yes, consider a nonavailability determination.

I. Place of Performance
Is all work required to be performed within the United States or its territories?

23) Contract Administration (FAR 7.105(b)(19)):

How will the contract be administered?
☐ Quality assurance surveillance plan (QASP)
☐ Other _____________________________
☐ N/A (provide rationale) ____________________________________________________

In contracts for services, how will inspection and acceptance corresponding to the work statement’s performance criteria be enforced? Briefly describe how the Government will ensure that it is receiving, accepting, and paying for products or services provided by a contractor.
Contracting Officer’s Representative (COR):
(A) Indicate how many CORs will be nominated and state what Federal Acquisition Certification for Contracting Representatives (FAC-COR) certification level is required for this acquisition, and if the COR nominated possesses the appropriate certification level;

(B) Address the appropriateness of his or her skills and experience for the types of contract(s) to which each COR will be assigned. Discuss how each COR will perform the contract administration duties assigned under FAR 42 to maintain oversight of the technical aspects of the contract. Also, describe how the Level III CORs will manage the additional risks associated with other than firm-fixed-price contracts, as appropriate.

Audits:
Discuss how the Contracting Officer and COR plan to review invoices, obtain required incurred audits (e.g., from the DCAA or DHS BPA), resolve any audit issues, and closeout the contracts.

☐ N/A – FFP

24) Other Considerations (FAR 7.105(b)(20)):

☐ Yes
☐ N/A

If yes, address other considerations, as applicable (logistics considerations (FAR 7.105(b)(14), make or buy (FAR 7.105(b)(12), test and evaluation (FAR 7.105(b)(13), standardization concepts, industrial readiness program, the Defense Production Act, the Occupational Safety and Health Act, SAFETY Act, foreign sales implications, etc.)
### 25) Milestones for the Acquisition Cycle (FAR 7.105(b)(21)):

<table>
<thead>
<tr>
<th>Acquisition Event</th>
<th>Responsible Party</th>
<th>Estimated Completion Date</th>
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<tbody>
<tr>
<td>Purchase Request</td>
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<tr>
<td>Procurement Package Submitted to Procurement Office</td>
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<tr>
<td>Acquisition Plan Approval</td>
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<td>Determination &amp; Findings</td>
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<td>Sole Source/Limited Source/Fair Opportunity Documentation</td>
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<td>Evaluation Factors/Criterion Identified</td>
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<td>Source Selection Plan Approved</td>
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<td>Issuance of Synopsis</td>
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<td>Release of Solicitation</td>
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<td>Submission of Quotes/Proposals</td>
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<td>Award Preparation</td>
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### 26) Participants in the Acquisition Plan Preparation (FAR 7.105(b)(22)):

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Organization</th>
<th>Telephone Number</th>
<th>Email</th>
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<tbody>
<tr>
<td>Program Manager</td>
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<td>Contracting Officer</td>
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<td>Small Business Liaison</td>
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<td>Advocate for Competition</td>
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<td>Commodity Council, as applicable</td>
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<td>Chief Information Officer Representative, as applicable</td>
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<td>TSA SSI Program Office Representative, as applicable</td>
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<td>NPPD CVI Program Office Representative, as applicable</td>
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<tr>
<td>NPPD PCII Program Office Representative, as applicable</td>
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27) **Additional Information:**

(This section can be used to insert supplementary information that is specific to the requirement e.g. R&D, construction, Defense Priorities and Allocations System (DPAS) (FAR 7.105(b)(8), life-cycle costs (FAR 7.105(a)(3)(i), design-to-cost (FAR 7.105(a)(3)(ii), application of should-cost (FAR 7.105(a)(3)(iii), transition planning, etc.) □ N/A)