



DEPARTMENT OF THE AIR FORCE
HEADQUARTERS AIR FORCE MATERIEL COMMAND
WRIGHT-PATTERSON AIR FORCE BASE, OHIO

MAY 21 2001

MEMORANDUM FOR SEE DISTRIBUTION

FROM: HQ AFMC/DR
4375 Chidlaw Road, Room A114
Wright-Patterson AFB OH 45433-5006

SUBJECT: AFMC Advisory and Assistance Services (A&AS) Guide

1. The attached AFMC A&AS Guide provides policy and procedures for managing A&AS, including Federally Funded Research and Development Center (FFRDC), contractors. This guide provides references to current higher level (OMB, FAR/DFAR, DoD, and SAF/AQX) A&AS guidance; addresses legal considerations associated with the use of A&AS contractors and the basis in public law for A&AS activities; and provides AFMC A&AS policy, procedures, responsibilities, and management controls. It also incorporates knowledge we have gained over the past several years in working A&AS issues and concerns.
2. Please forward this guide to your A&AS focal point for dissemination to A&AS requiring activities at your center. We are also placing the guide on the HQ AFMC/DR web page at: <https://www.afmc-mil.wpafb.af.mil/HQ-AFMC/DR/PSBA/aas.htm>. We hope you will find this guide useful in managing your center's A&AS activities.
3. This is an HQ AFMC/EN, HQ AFMC/FM, HQ AFMC/PK, and HQ AFMC/XP coordinated memo. The point of contact for this memo is Mr. Eric Van Pelt, HQ AFMC/DROM, DSN 787-7280.

A handwritten signature in black ink, appearing to read "M. P. Wiedemer".

MICHAEL P. WIEDEMER
Major General, USAF
Director, Requirements

Attachment:
AFMC A&AS Guide

cc: (listed on next page)

cc:

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**AIR FORCE MATERIEL COMMAND (AFMC)
ADVISORY AND ASSISTANCE SERVICES (A&AS) GUIDE
(21 May 01)**

The purpose of this guide is to provide uniform AFMC policy and procedures for managing A&AS. The intent of the guide is: to clarify the definition of A&AS; to address various aspects of A&AS management including A&AS ceilings, the processes for conducting A&AS queries, for developing the A&AS Management Plan, and for preparing the President's Budget Exhibit #15 (PB-15) Report; and to explain the roles and responsibilities of the various individuals and organizations involved with A&AS management. This guide should be used when acquiring A&AS from any AFMC or non-AFMC contract source in support of AFMC organizations. This guide does not apply to A&AS purchased for non-AFMC customers. Use this guide along with other guidance below:

- Office of Management and Budget (OMB) Circular A-11, *Preparation and Submission of Budget Estimates* (July 2000 version);

- Federal Acquisition Regulation (FAR) Part 37, *Service Contracting*, in general, and FAR 37.2, *Advisory and Assistance Services*, in particular, and related portions of the DFARS, AFFARS, and AFMC FARS (for FAR information cited in this guide, see <http://farsite.hill.af.mil/VFFAR1.HTM> and http://farsite.hill.af.mil/reghtml/changes/fac/fac97_17.htm);

- DoDD 4205.2, *Acquiring and Managing Advisory and Assistance Services*, 8 Apr 98 draft version, as directed by SAF/AQX A&AS Policy Letter, 6 Jan 00; and,

- SAF/AQX *Advisory and Assistance Services (A&AS) Interim Policy Letter*, 19 Jul 96 as amended 26 Aug 96. (**Note:** SAF/AQX is revising its guidance on the querying process addressed in Appendix 3, Section 2 of their Interim Policy Letter. The *AFMC A&AS Guide* reflects their current thinking on this subject.)

(CAUTION: The definition of A&AS contained in DFARS Subpart 237.201 is based on information in DoDD 4205.2, *Acquiring and Managing Contracted Advisory and Assistance Services (CAAS)*, 10 Feb 92. This version of the DoDD is outdated. When using DFARS Subpart 237.201, defer to the definition of A&AS in FAR Part 37, which contains the current definition. In addition, do not refer to AFD 63-4, *Contracted Advisory and Assistance Services*, 7 Sep 93, or AFI 63-401, *Contracted Advisory and Assistance Services*, 1 Nov 93, because the SAF/AQX Interim Policy Letter has superseded these.)

This guidance is applicable to all AFMC centers. For purposes of A&AS management, AFRL and HQ AFMC are considered to be centers. Centers may issue implementing instruction on A&AS. SECTION I of this guide addresses terms, the basis in Public Law for A&AS activities, legal considerations, classifying contractor services, general policy,

and responsibilities. SECTION II provides specific guidance on A&AS management controls; SECTION III provides specific guidance on Federally Funded Research and Development Center (FFRDC) management controls.

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SECTION I: General

1. Terms:

1.1. A&AS: Services acquired by contract from non-Federal sources (i.e., the private sector, foreign governments, state and local governments, tribes) or through other units within the Federal government to support or improve organizational policy development, decision making, management and administration; support program and/or project management and administration; provide management and support services for research and development activities; provide engineering and technical support services; or improve the effectiveness of management processes or procedures. These services may take the form of information, advice, opinions, alternatives, studies, analyses, evaluations, recommendations, training, and technical support. A&AS consists of three major categories: management and professional support services; studies, evaluations, and analysis; and engineering and technical services. (Refer to the detailed definition of A&AS from OMB Circular A-11, Section 83, *Object Classification (MAX Schedule O)*, at Attachment 2. Also, refer to Paragraph 2.1, *Basis in Public Law for A&AS Activities*, for additional information.) Additionally, "general A&AS" are contract services that support on-going, general management and technical activities; "initial contract award proposal evaluation and analysis" (ICAPEA) activities are contract services that directly support initial source selections and contract awards activities. **Note:** There may be deliverables (e.g., reports, studies, analyses, etc.) associated with A&AS. The presence or absence of deliverables is, in itself, not determinative.

1.2. A&AS Focal Point: The person or organization responsible for managing and overseeing A&AS activities at a center.

1.3. Contract Man-Year Equivalent (CME): Refers to the estimated number of organic resources necessary to perform a particular A&AS workload if that workload were performed organically; CME is not burdened to include clerical/administrative overhead. **Note:** The wording in the SAF/AQX Interim Policy Letter, Appendix 1, *Definitions*, for paragraph 16, *Man-year Equivalent or Contract Man-year Equivalent*, is confusing in that it leads one to believe that the conversion factor for A&AS CMEs is 1810 hours. The correct conversion factor for A&AS is 1764 hours; 1810 is the conversion factor for Federally Funded Research and Development (FFRDC) staff-years of technical effort (STEs) .

1.4. Contract Types: To avoid problems associated with the use of the term "omnibus contract," this guide will distinguish three types of contracts:

"*Central acquisition contract*," or "*central contract*," refers to the purchase of materials, supplies, or services for multiple AFMC centers, other Air Force MAJCOMs, or other organizations by one designated purchasing office located at one center.

"*Local purchase contract*," or "*local contract*," refers to the purchase materials, supplies, and services by one center for its use or the use of its operating locations or detachments. Local contracts are consolidated under one office at the center owning the contract.

"*Other contracting*" refers to those efforts taken to support acquisition programs, maintain and repair fielded weapon systems, and support Air Force operations. The term includes, but is not limited to, contracts for local purchase and other operational support, replenishment spares, programmed depot maintenance, weapon system modifications that do not involve significant development, contractor logistic support, manpower and support, and science and technology, i.e., research, exploratory development, or advanced development not intended for a system-specific application (6.1, 6.2, or 6.3A funds).

1.5. Customer Center: The center that uses (i.e., issues decentralized orders against) a central contract prepared and managed by another center. (Refer to the corollary term "Sponsoring Center.")

1.6. Determination/Decision Document (DDD): The document used to record A&AS requirements, the non-availability of organic personnel to perform required tasks, and certification of compliance with personnel ceilings and non-replacement of displaced government personnel. (Refer to Attachment 5 for the DDD format.)

1.7. DDD Querying Focal Point: The person responsible for ensuring that a process exists within the center to conduct and respond to internal and external A&AS queries. This may be the same person or organization as the A&AS Focal Point. (Refer to Attachment 1 for a listing of DDD querying focal points.)

1.8. Federally Funded Research and Development Center (FFRDC): Contractual entities that, in most cases, are a subset of A&AS. An FFRDC meets some special long-term research and development need which cannot be met as effectively by existing organic or contract resources. FFRDCs are operated, managed, and/or administered by either a university or consortium of universities, other not-for-profit or nonprofit organization, or an industrial firm, as an autonomous organization or as an identifiable separate operating unit of a parent organization. FFRDCs are required to conduct business in a manner befitting their special relationship with the Government, to operate in the public interest with objectivity and independence, to be free from organizational conflicts of interest, and to have full disclosure of their affairs to the sponsoring agencies. (Refer to FAR Part 35, *Research and Development Contracting*, for additional information.)

1.9. Functional Resource Owner: The organization responsible for managing functional personnel at a center, sometimes referred to as functional home office.

1.10. Inherently Governmental Function: A function that is so intimately related to the public interest as to mandate performance by government employees. These include activities that require exercise of discretion in applying government authority or in making value judgements in making decisions for the government. Inherently

governmental functions do not normally include such activities as gathering information to provide advice, opinions, recommendations, or performing functions that are primarily administrative or internal. The definition is a policy determination, not a legal determination. (Refer to Attachment 7, *Inherently Governmental Functions*, for a summary of Office of Federal Procurement Policy (OFPP) Letter 92-1.)

1.11. Military Interdepartmental Purchase Request (MIPR): The primary document used by the DoD to order supplies or services from other DoD services or components, as well as other governmental activities outside the DoD. The Air Force also uses MIPRs between Air Force activities. The supplies or services may be provided from in-house resources or may be procured from commercial sources.

1.12. Organic Resources: Military or civilian personnel who are employed by the federal government. (The term “in-house resources” is not used because it can connote people who work for a particular program office or center organization. The term “organic resources” is much broader; hence its use in this document.)

1.13. Personal Services: Type of services contract in which the employer-employee relationship is characterized by, and the contract is structured to require, relatively continuous government supervision and control over a substantial portion of the contractor personnel performing the work. (Refer to Attachment 8, *Personal Services*, for additional information.)

1.14. Requiring Activity: The organization that identifies a requirement for A&AS. (For a MIPR-funded action in which the organization submitting the MIPR does **not** specify that the monies are to be used to purchase A&AS, the requiring activity is the organization that makes the decision to satisfy that MIPR-funded action using A&AS contractors.)

1.15. Sponsoring Center: The center that prepares and manages a central contract. (Refer to the corollary term "Customer Center.")

1.16. Supporting Activity: The organization that provides organic resources in response to an A&AS query.

1.17. Staff-Year of Technical Effort (STE): Refers to the estimated number of organic resources necessary to perform a particular FFRDC workload if that workload were performed organically; STE includes the necessary support staff.

2. Basis in Public Law for A&AS Activities:

2.1. The definition of A&AS is found in 31 U.S.C. 1105:

...the term "advisory and assistance services" means the following services when provided by non-governmental sources:

- (i) *Management and professional support services.*
- (ii) *Studies, analyses, and evaluations.*
- (iii) *Engineering and technical services.*

...the term "advisory and assistance services" does not include the following services:

- (i) *Routine automated data processing and telecommunications services unless such services are an integral part of a contract for the procurement of advisory and assistance services.*
- (ii) *Architectural and engineering services, as defined in Section 901 of the Brooks Architect-Engineers Act (40 U.S.C. 541).*
- (iii) *Research on basic mathematics or medical, biological, physical, social, psychological, or other phenomena.*

Note: Within the Air Force, the term "automated data processing and telecommunications" has been replaced by the term "information technology." (Refer to the detailed definition of A&AS from OMB Circular A-11, *Preparation and Submission of Budget Estimates*, Section 83, *Object Classification (MAX Schedule 0)*, at Attachment 2.) In addition, Congress has addressed A&AS in other legislation which provide the basis for Air Force A&AS management activities. The following paragraphs discuss these laws.

2.2. By law, 31 U.S.C. 1105, the actual and projected obligations for consulting services (i.e., A&AS) must be submitted annually to Congress as part of the President's Budget. This is the source of the requirement for the PB-15 Report.

2.3. The Federal Workforce Restructure Act of 1994, Public Law 103-226, levied significant reductions in DoD manpower. In light of those reductions, Section 5(g) of the Act prohibits agencies from converting the work of displaced employees (or employees who accept a buy-out) from "in-house" to contractor performance unless a cost comparison demonstrates that such a conversion is to the financial advantage of the Federal Government. In response to this legislation, SAF/AQX directed Air Force organizations to limit the use of A&AS contractors for the period FY95 through FY01 to a level (i.e., number of CMEs) not to exceed that which was purchased in FY94, with the funds used to buy those CMEs adjusted for inflation. This is the source of the requirement for Certifications (a) and (b) in Section 4 of the DDD.

2.4. There is a requirement in 31 U.S.C. 1105 that the OMB establish the funding for A&AS for each department or agency as a separate object class. This Section also defines "advisory and assistance services." FAR 37.2 implements that statutory definition. Furthermore, 41 U.S.C. 419 prohibits payments to A&AS contractors for services to conduct evaluations or analyses of any aspect of a proposal submitted for an acquisition unless organic personnel with adequate training and capabilities to perform such evaluations and analyses are not readily available within the agency or another Federal agency. FAR 37.203 and 37.204 implement this statutory limitation. This is the source of the requirement for the expanded querying associated with ICAPEA activities.

Refer to paragraph 8, *Determination/Decision Document (DDD) Querying Procedures*, for additional information.

2.5. Another statute, 10 U.S.C. 2410L, requires the Secretary of Defense to determine whether DoD personnel have the capability to perform the A&AS proposed to be covered by the contract before proceeding with the service contract. This is the source of the requirement to conduct queries to determine availability of organic resources before proceeding to contract for general A&AS. If DoD has the organic capability, a cost comparison between performing the work with DoD personnel versus contractor personnel must be accomplished for contracts with estimated value over \$100,000.

2.6. Another statute, 10 U.S.C. 2212, defines the reporting categories for A&AS that DoD must report to OMB and Congress.

2.7. Statutory authority in 5 U.S.C. 3109 allows award of "personal expert and consultant services" (i.e., personal A&AS) contracts. These personal A&AS contracts must be authorized by a determination and finding (D&F) and are tracked, managed, and reported like non-personal A&AS contracts.

2.8. By statute, 10 U.S.C. 2304b, the ordering period of an A&AS task order contract, including all options and modifications, may not exceed five years, unless a longer period is specifically authorized by law. This statute also places limits on the award of an indefinite delivery/indefinite quantity (ID/IQ) contract for A&AS exceeding three years and \$10M. (Refer to paragraph 5.10.3.)

3. Legal Considerations:

3.1. Inherently governmental functions are prohibited from being contracted out. Outsourcing would violate Office of Federal Procurement Policy (OFPP) Policy Letter 92-1, *Inherently Governmental Functions*. (Refer to Attachment 7 for a summary of this OFPP.) It is important to comply with the OFPP policy. It is important that the certifications in Section 4 of the DDD, which have their foundation in the public law discussed in paragraph 2, above, are true. Do not merely state conclusions without supporting documents.

3.2. In a 1 Nov 00 opinion, HQ USAF/JAG stated that government employees and A&AS contractor employees may share ground transportation in the furtherance of official duties where transportation costs are to be reimbursed by the Government. The opinion also states that government employees and contractor employees may not share ground transportation in situations involving fixed-price contracts where there are no provisions for direct reimbursement of contractor transportation expenses.

4. Classifying Contract Services:

4.1. The understanding of contract services in general, and A&AS in particular, has evolved with the refinements and additions to public law and to DoD and Service policy. OMB Circular A-11, *Preparation and Submission of Budget Estimates*, Section 83, *Object Classification, (MAX Schedule O)*, identifies a number of categories, or object classes, into which all government activities are to be classified. Object class 25.1, *Advisory and assistance services*, defines A&AS and provides the basis for the discussion in subordinate DoD and Air Force documents. (Refer to Attachment 2 for the OMB Circular A-11 definition of A&AS.)

4.2. In determining into which object class to categorize an activity, the OMB Circular advises to "...classify according to the initial purpose, *not the end product or service*...The general rule is to focus on the nature of the services, articles, or other items for which obligations are first incurred." In addition, contractual services may cover a broad spectrum of activities ranging from "management" functions to "implementation," or "performing," functions. A&AS and FFRDC services are on the "management" end of the spectrum; depot maintenance, sustaining engineering, and repair activities are on the "performing" end of the spectrum. While determining whether a particular activity is A&AS is often application-dependent and requires judgement and discernment, evaluating the activity against the following criteria may help:

4.2.1. The primary (initial) purpose of the activity is to provide "advice" or "assistance" in *managing* some aspect of Air Force work.

4.2.2. The activity fits within one of the three A&AS categories discussed in the OMB Circular A-11 definition at Attachment 2, and is not listed as an exemption.

4.2.3. The activity is discrete and separable from, i.e., is not integral to, other non-A&AS work and has value in and of itself.

4.3. Refer to Attachment 3, *Classifying Contract Activities*, for additional information.

5. General Policy:

5.1. Use of A&AS is an appropriate method to provide temporary, *ad hoc* support for AFMC management activities. A&AS may be used at all organizational levels to help managers accomplish mission requirements. However, use of these project-based, specialized professional or technical contractual services will be limited in scope and duration in order to avoid institutional dependency on the private sector for these services.

5.2. A&AS shall not be:

5.2.1. Used to perform inherently governmental functions as described in OFPP Policy Letter 92-1 and FAR Section 7.501. (Refer to paragraph 3, *Legal Considerations*,

above, and to Attachment 7, *Inherently Governmental Functions*, below, for additional information.)

5.2.2. Used to bypass or undermine personnel ceilings, pay limitations, or competitive employment procedures, or to replace displaced government personnel.

5.2.3. Awarded on a preferential basis to former governmental employees.

5.2.4. Used under any circumstance to aid in influencing or enacting legislation.

5.2.5. Used to obtain professional or technical advice which is readily available within the agency or another Federal agency.

5.2.6. Obtained through assistance instruments such as grants or cooperative agreements.

5.2.7. Purchased through an intermediary. This is a practice, sometimes referred to as "blue contracting," whereby money is provided to a prime weapon system contractor or other non-AFMC organization which then procures A&AS on behalf of an AFMC organization. Although these resources are performing A&AS work, because of the way in which the services were purchased, they lose their identity as A&AS resources and are not included in the PB-15 Report or the A&AS Management Plan. In addition, they are not tracked under the center's A&AS ceiling.

5.2.8. Purchased using element of expense and investment codes (EEIC) 578, *Contractor Logistics Support*, EEIC 579, *Interim Contractor Support*, or EEIC 583, *Sustaining Engineering*. These activities are classified under object class 25.7, *Operations and maintenance of equipment*. Refer to Attachment 3, *Classification of Contract Activities*, for additional information.

5.3. Centers awarding personal A&AS contracts will track, manage, and report them like non-personal A&AS contracts. In addition, these contracts require a Determination and Finding (D&F), may not exceed one year, and the nature of the duties must be temporary (less than one year) or intermittent (not cumulatively more than 130 days in one year). In addition to conducting the standard queries for availability of organic resources, also consult with the center DP office to determine whether the government has available personnel with the required training and capabilities. Refer to FAR 37.104, FAR 37.200, DFARS 237.104 and 237.106, and AFFARS Subpart 5337.1, for additional information. For your convenience, Attachment 8, *Personal Services*, summarizes information in FAR 37.104.

5.4. AFMC will manage, track, and report A&AS by geographic location, i.e., at the center level to include a center's operating locations and detachments, rather than by the budgeting or contracting organization. **Note:** A requiring activity within a collocated operating location or detachment will conduct its A&AS activities (e.g., DDD

preparation, coordination, and approval, PB-15 reporting, etc.) through the owning, not the geographic, center. The geographic center should **not** include A&AS information for another center's collocated operating locations or detachments in its unit manning document (UMD), A&AS Management Plan, or PB-15 Report.

5.5. A&AS workloads must be addressed in, and traceable to, DDDs. There are several ways to do this.

Requiring activities may prepare the DDD and conduct the associated queries at the task order level for individual A&AS requirements. This DDD is valid for the duration of the particular individual requirement. **Note:** This is the preferred approach.

The center A&AS focal point may gather and consolidate A&AS requirements arising at the center within an 18 month period and prepare a DDD for that consolidated set of requirements, or the requiring activity may prepare the DDD for a subset of organizationally or functionally related A&AS requirements. These "period of performance" DDDs would be valid for a period of time up to 18 months.

The task order DDD allows the requiring activity to address both planned and unforeseen A&AS requirements. The period of performance DDD allow the center or requiring activity to address on-going, planned, foreseeable A&AS requirements. The period of performance DDD also allows for economies and efficiencies during contracting and other management activities. (**Note:** Requiring activities must ensure that all services subsequently purchased were addressed in, and are traceable to, either a task order DDD or a period of performance DDD. The spreadsheet at: http://www.afmc-mil.wpafb.af.mil/HQ-AFMC/DR/PSBA/files/A&AS_DDDQueryspreadsheet_4.xls is a tool that may be used to gather and consolidate A&AS requirements and to show this traceability. Its use is optional.) In the future, "blanket DDDs" intended to address any A&AS requirement that might arise over the five year ordering period of an A&AS central contract should be avoided. (Current blanket DDDs are "grand-fathered.") The intent of these restrictions is to ensure that all A&AS workloads can be easily tracked to DDDs and that the DDD/querying process can withstand the scrutiny of a rigorous audit.

5.6. On joint service programs, the Air Force portion of the required A&AS should be managed, tracked, and reported separately. If it is not possible to break out A&AS usage by service, the lead service is responsible for managing, tracking and reporting.

5.7. Procurement requests for studies must include a statement that the Defense Technical Information Center has been queried and that no known existing scientific, technical, or management report could satisfy the requirement. Document this action in the DDD. The DTIC Help Desk number is (703) 767-8242; the DTIC web site is: <http://www.dtic.mil/dtic/rtoc/code.html>.

5.8. The following apply to A&AS purchased through military inter-departmental purchase request (MIPR) arrangements. (Refer to paragraph 5.10 and its subparagraphs,

below, for additional information. Also, follow the guidance in FAR Subpart 17.5, *Interagency Acquisitions Under the Economy Act.*)

5.8.1. All Air Force A&AS requirements, whether purchased on a local contract (whether utilizing centralized or decentralized procedures) or purchased through MIPR arrangements on a central acquisition contract, must be addressed in a DDD. The contract file must contain approved DDDs for the A&AS requirements purchased under that contract.

5.8.2. MIPR-funded actions submitted by AFMC organizations to purchase A&AS from Air Force or non-Air Force (e.g., Army, Navy, General Services Administration, etc.) sources follow the same guidelines with respect to DDD responsibilities and PB-15 reporting as A&AS procured on a local purchase contract. The requiring activity is responsible to prepare the DDD, conduct the queries, and provide data for the PB-15 Report. (Refer to paragraphs 5.4, 5.5, and 10.4 for additional information.) The only exception would be the case in which the organization providing the MIPR does **not** specify that the monies are to be used to purchase A&AS. In these situations, the organization making the decision to purchase the A&AS (i.e., the "requiring" activity), and not the organization providing the MIPR, is responsible to prepare the DDD, conduct the queries, and provide data for the PB-15 Report.

5.8.3. There are two options for addressing AFMC MIPR-funded A&AS actions purchased on a central acquisition contracts:

5.8.3.1. When preparing the central acquisition contract, the sponsoring center may issue a requirements call to customer centers, consolidate the sponsoring center's **and** customer centers' requirements, conduct the necessary queries for the aggregate requirement, and document the results in an organizationally or functionally related DDD or in a period of performance DDD. Customer centers must ensure that orders subsequently placed against that central acquisition contract were identified in their original input to the sponsoring center's requirements call.

5.8.3.2. When preparing the central acquisition contract, the sponsoring center and the customer centers may independently conduct queries for their respective center's A&AS requirements and document the results of those queries in individual task order, organizationally or functionally related, or period of performance DDDs. The customer centers would provide their DDDs to the sponsoring center which would retain them in its contract file. Centers must ensure that orders subsequently placed against that central acquisition contract were identified in their original DDDs.

5.8.3.3. Requiring activities whose A&AS requirements were **not** included in the DDDs described in the two preceding paragraphs must identify their requirements, conduct the necessary queries, and document the results in an appropriate DDD. Forward that DDD and the MIPR document to the sponsoring center.

5.8.4. MIPR-funded actions submitted by non-Air Force organizations to purchase A&AS through an AFMC contract must satisfy the intent of the DDD, i.e., the non-Air Force organization must document, in writing, that they do not have organic resources available to perform the work and that the contracting action is consistent with the certifications in Section 4 of the DDD.

5.9. Organizations may contract for audit services only if the expertise required to perform the audit is not available within the DoD audit organization or if temporary audit assistance is required to meet audit reporting requirements mandated by public law or DoD Regulation. Do not contract for quality assurance reviews of internal audit, internal review, or contract audit organizations without prior approval of the DoD Inspector General. Except for unusual circumstances, contracts for recurring audit services shall be awarded for a one year period with at least two option years. For further information on contracting for audit services, refer to DoDD 7600.2, *Audit Policies*, DoDI 7600.6, *Audit of Nonappropriated Fund Instrumentalities and Related Activities*, DoD 7600.7-M, *Internal Audit Manual*, and DFARS Part 237.270, *Acquisition of Audit Services*.

5.10. Contracting requirements associated with A&AS are as follows:

5.10.1. The performance-based services contract (PBSC) requirements in AFI 63-124, *Performance-Based Services Contracts*, are applicable to A&AS contracts. AFMC Supplement 1 to AFI 63-124 established specific requirements for A&AS contracts.

5.10.2. FAR Part 16.505(c) (1) and (2), *Limitation on ordering period for task order contracts for advisory and assistance services*, implements the statutory limitation in 10 U.S.C. 2304b. **Note:** This statutory limitation on the ordering period is not applicable to a supplies and services contract that included acquisition of A&AS if the contracting officer or other official designated by the head of the agency determines that the A&AS is incidental to, and not a significant part of, the contract. But refer to FAR 17.204(e) for regulatory limitations on certain types of service contracts.

5.10.3. Some centers are contracting for A&AS support using a central acquisition contracting approach whereby multiple Indefinite Delivery/Indefinite Quantity (ID/IQ) contracts are awarded for the services. Multiple awardees are then provided "fair opportunity" to submit proposals for, and win, the resulting task orders. Account for bundling and small business concerns if considering a central acquisition contracting approach. Avoid commingling A&AS with other non-A&AS tasks. If A&AS tasks are purchased on a contract with other, non-A&AS tasks or with supplies, structure the contract so that the A&AS tasks are clearly and separately identifiable and trackable from non-A&AS tasks. If an ID/IQ contract for A&AS exceeds three years and \$10M, including all options, the contracting officer must make multiple awards pursuant to the requirements of 10 U.S.C. 2304b unless one of the following three situations applies:

The contracting officer or other official designated by the head of the agency determines in writing, as part of the acquisition plan, that multiple awards are not

practicable. The contracting officer or other official must determine that only one contractor can reasonably perform the work because either the scope of the work is unique or highly specialized or the tasks so integrally related.

The contracting officer or other official designated by the head of the agency determines in writing, after the evaluation of offers, that only one offeror is capable of providing the services required at the level of quality required.

Only one offer is received.

Note: The above requirements do not apply if the contracting officer or other official designated by the head of the agency determines that the A&AS is incidental to and not a significant component of the contract.

5.10.4. Center requiring activities may use General Services Administration (GSA) Federal Supply Service (FSS) schedules as a source for A&AS. Requiring activities should evaluate GSA and local contracting office alternatives and determine the best option before putting the requirements on contract. An Economy Act Determination and Finding (D&F) is required when funds are provided to GSA via MIPR for GSA to do the ordering. However, an Economy Act D&F is not required if the services are purchased on a local (AFMC) contract. (There are some limited exceptions in AFFARS 5317.502-90 (f) that authorize ordering under authorities not subject to the Economy Act.) In placing orders, there may be some Small Disadvantaged Business requirements that must be met. Center requiring activities are encouraged to coordinate with the center PK organization before using or issuing blanket purchase agreements (BPAs) under a GSA FSS. Using a GSA FSS may reduce the time required for source selection. GSA contracts may also provide access to service contractors outside the local market. One potentially negative consideration is that only a GSA contracting officer may resolve disputes between an FSS contractor and an ordering agency. (Refer to General Services Board of Contract Appeals Number 11959, 93-2 BCA 25729, 1 Feb 93.) Additional information is available at: <http://www.fss.gsa.gov/>.

5.11. Financial management requirements associated with A&AS are as follows:

5.11.1. Approved appropriations for Air Force A&AS procurement include:

<u>Appropriation:</u>	<u>Appropriation Title:</u>
3010	Aircraft Procurement
3011	Procurement of Ammunition
3020	Missile Procurement
3080	Other Procurement
3400	Operation and Maintenance (O&M) – Air Force
3600	Research, Development, Test, and Evaluation (RDT&E)
3740	Operation and Maintenance – Air Force Reserve
3840	Operations and Maintenance – Air National Guard
0360	Defense Production Act

0510
4930

Base Realignment and Closure
Air Force Working Capital Funds

The PB-15 Report is to address only Air Force funds in the above appropriations. Center procuring activities may receive funds in other appropriations from non-Air Force organizations through MIPR arrangements. Do **not** include these non-Air Force funds in the center's PB-15 Report. The non-Air Force requiring activity is responsible to include information on these A&AS resources in its PB-15 Report.

5.11.2. Place A&AS codes on all pre-contractual and contractual documents to record commitments and obligations.

5.11.2.1. For the procurement appropriations (i.e., 3010, 3011, 3020, and 3080) and the RDT&E (3600) appropriation, use the appropriate five digit element of expense and investment code (EEIC) or, in those instances where the EEIC is not available, the budget program activity code (BPAC).

5.11.2.2. For all other appropriated funds, use the five digit EEIC.

5.11.2.3. For Air Force Working Capital Funds, use the appropriate EEIC or general ledger account code (GLAC).

5.11.3. A list of approved, five digit EEICs for purchasing A&AS is provided at Attachment 9. For appropriations reporting by EEIC, use this list to identify obligations eligible for the PB-15 Report.

5.12. The table below summarizes A&AS management tools discussed in Paragraph 5.

Tool:	Purpose:	Office or Primary Responsibility:	Office(s) of Collateral Responsibility:	Conditions/Constraints/Remarks:
DDD	Documents A&AS requirements, querying results, and certifications.	Requiring activity	Center A&AS focal point; manpower office	- For MIPR procurements, if the organization providing the MIPR did not specify A&AS, the organization making the decision to buy the A&AS to satisfy the requirement prepares the DDD.
UMD	Documents CMEs in Air Force manpower data system.	Manpower office unless delegated	Requiring activities	- Includes all CMEs performing work for center requiring activities: -- At the center; -- At the center's operating locations and detachments; -- At the A&AS contractor's off-base locations.
PB-15 Report	Documents actual and planned expenditures for the center's A&AS requirements.	Center FM office unless other arrangements made.	Requiring activities	- Includes only Air Force funds; do not report non-Air Force funded work, even if the work is performed at the center. - Reporting is based on geographic location, i.e. where the work is performed, rather than on budgeting/funding or contracting responsibility. Exceptions: -- For Air Force-funded MIPR procurements, if the organization providing the MIPR did not specify A&AS, the organization making the decision to buy the A&AS to satisfy the requirement submits the PB-15 Report information; -- For A&AS work performed at a non-Air Force

				location, the AFMC organization requiring and funding the work reports it. - Does not include classified data.
A&AS Mgmt Plan	Summarizes current and planned A&AS work	Center A&AS focal point	Requiring activities	- Addresses the current and following two fiscal years. - Reports data by A&AS categories. - Does not include classified data.

5.13. If a center needs a waiver for any provision of the AFMC, SAF/AQX, or DoD A&AS guidance, document the need, in writing, and submit it to: HQ AFMC/DRO, 4375 Chidlaw Road, Room S102, Wright-Patterson AFB OH 45433-5006. Your waiver package should thoroughly document the problem with the current provision, explain its impact on the requiring activity's or center's operation, identify options for a "work around," and discuss the impact if the waiver is not granted. HQ AFMC/DRO will staff the request and work with SAF/AQXD to resolve the issue.

6. Responsibilities:

6.1. The centers will:

6.1.1. Maintain an organic capability that is technically able to prescribe, monitor, and evaluate the A&AS contractor's work.

6.1.2. Establish an A&AS focal point and a Determination/Decision Document (DDD) querying focal point to address A&AS queries. These two focal points may be the same person or organization.

6.1.3. Manage, track, and report their use of A&AS resources through the DDD, the PB-15 Report, and the A&AS Management Plan.

6.2. The A&AS focal point will:

6.2.1. Maintain expertise in A&AS policy and procedures and disseminate guidance and information throughout the center. This responsibility may be delegated to other persons or organizations who are responsible for specific aspects of A&AS management at the center. These persons or organizations, in turn, would report to the center A&AS focal point.

6.2.2. Be knowledgeable about major A&AS activities at the center and maintain the ceiling.

6.2.3. Assist the center's requiring activities in managing their A&AS, especially in determining whether a particular activity should be categorized as A&AS. (Recommend reviewing the requiring activity's DDDs to ensure that it is in order.)

6.2.4. Prepare the center A&AS Management Plan from information provided by the center's requiring activities.

6.2.5. Assist the center FM organization with the PB-15 Report.

6.2.6. Provide A&AS training, as required.

6.3. The DDD querying focal point will ensure that a process exists within the center to conduct and respond to internal and external queries for availability of organic resources. (Recommend including center functional resources owner(s) and the center manpower office in the process.)

6.4. The requiring activity will:

6.4.1. Determine whether the planned contractual activity meets the definition of A&AS. (Confer with the center A&AS focal point if assistance is needed.)

6.4.2. Prepare the DDD and conduct the appropriate queries. Perform the cost comparison in those cases in which organic resources from another organization are available. (Recommend coordinating the DDD with the center A&AS focal point to ensure it is in good order before submitting it to contracting.)

6.4.3. Be able to substantiate the certifications in Section 4 of the DDD, as necessary. (Refer to the legal considerations in paragraph 3.1, above.)

6.4.4. Work with the program control/funds certifying organization to select a proper EEIC or apply the "CAAS" code to ensure that the A&AS procurement is properly logged into the Air Force's/DFAS' automated financial reporting systems (BQ, Central Procurement Accounting System (CPAS), Command Budget Accounting System (CBAS), etc).

6.4.5. Include the signed DDD with the purchase request package submitted to the contracting organization.

6.4.6. Provide required information for the A&AS Management Plan and for the PB-15 Report.

6.4.7. Provide a copy of the DDD to the center manpower office to document the A&AS resources in the unit manning document (UMD). Provide additional information about the CMEs that may not be reflected in the DDD (e.g., program element code, functional account code, Air Force specialty code, etc.) necessary to provide accurate UMD documentation. Advise the center manpower office if an A&AS requirement is canceled or terminated to remove the resources from the UMD. Refer to AFI 38-201, *Determining Manpower Requirements*, Chapter 6, *Contract Manpower Equivalents*, for additional information.

6.4.8. When requested, develop impact statements addressing the effects of A&AS funding reductions.

6.5. The center FM organization will:

6.5.1. Assist the requiring activity, as necessary, in identifying proper A&AS coding in the long line accounting code.

6.5.2. Prepare the PB-15 Report with input from requiring activities at the center, unless other arrangements have been made. (If a non-FM organization prepares the PB-15 Report, coordinate the report through the center FM organization.)

6.5.3. Provide a copy of the PB-15 Report to the center manpower office.

6.6. The center contracting office will, as a final check, ensure that each purchase request package for A&AS, including task orders, includes: the category of A&AS (i.e., management and professional support services, studies, analyses, and evaluations, or engineering and technical services) being acquired; the DDD; an independent government cost estimate indicating that, if organic resources are available, use of contractor resources is more cost effective; proposed evaluation and selection criteria for competitive awards; specific, measurable performance standards, a surveillance plan, and performance incentives and/or deduction mechanisms; and properly chargeable funds certified by the cognizant fiscal and/or budget office.

6.7. The center manpower office will:

6.7.1. Assist, as necessary, in responding to queries for availability of organic resources.

6.7.2. Document the A&AS CMEs in the UMD (i.e., add to or remove from the UMD) based on the inputs from the requiring activity. When reporting the number of CMEs in the UMD, round either up or down, as appropriate, to the nearest whole number; the UMD does not accommodate fractional numbers.

SECTION II: Advisory and Assistance Services (A&AS) Management Controls (Excluding Federally Funded Research and Development Centers (FFRDCs) Addressed in Section III)

7. Ceilings:

7.1. Periodically, SAF/AQX may require AFMC to control A&AS usage through ceiling management. In these instances, the A&AS ceiling for each center will be established based on the center's usage level at a particular point in time and will reflect a "bottom up" perspective. (The ceiling should include the center's management reserve.) With SAF/AQX concurrence, AFMC may direct the centers to re-calculate their ceilings based

on significant changes in the A&AS definition, significant changes in reporting methods or procedures, changes in the A&AS man-hour conversion factor, or for other compelling reasons. A&AS ceilings are expressed in terms of CMEs (contract man-year equivalents), not dollars.

7.2. The preferred method for calculating the number of CMEs is the "man-hours required" method. Under this method, divide the total number of service contract man-hours to be purchased by the conversion factor, 1764 hours (i.e., 1764 hours equals one CME). If the total number of service contract man-hours is not available, use the Labor Hour Conversion Method discussed in Attachment 10. When reporting the number of CMEs in the UMD, round either up or down, as appropriate, to the nearest whole number since the UMD does not accommodate fractional numbers.

7.3. The ceiling determination will be based on the number of CMEs working at the center and its operating locations or detachments, and not on the organization (e.g., center, MAJCOM, agency, etc.), which may have provided the funds used to purchase the A&AS or on the organization which may have awarded the A&AS contract. **Note:** The only exception to the above is if the AFMC A&AS work is performed at a non-Air Force location. In this case, the AFMC organization requiring that A&AS work shall manage, track, and report it. Refer to paragraph 7.6, below, for ceiling management provisions for joint service programs. Refer to AFI 38-101, *Air Force Organization*, for information on operating locations and detachments.

7.4. General requirements for requesting a waiver are addressed in paragraph 5.13, above. The request should identify: the reason for the increase in requirements; the number and skill levels of the additional CMEs required; the duration of the requirement; the relative priority of the new work compared to other work at the center that also uses A&AS resources; and the efforts the center has made to satisfy the requirement internally. HQ AFMC/DRO will determine whether it can satisfy the requirement from within AFMC. If unable to satisfy from within AFMC, HQ AFMC/DR will forward the requirement to SAF/AQX for disposition.

7.5. With the exception of base realignment and closure activities, ceiling authority will not transfer between centers with transferring workloads. This is consistent with organic resource management procedures.

7.6. On joint service programs, break out A&AS requirements by service and count only the center's requirements against the center's A&AS ceiling. If unable to break out A&AS requirements by service, the lead service is responsible to manage, track, and report the A&AS.

8. Determination/Decision Document (DDD) Querying Procedures:

8.1. AFMC has established a DDD querying focal point at each center who is responsible to ensure that a process exists within the center to conduct and respond to internal and

external queries for availability of organic resources. (Refer to Attachment 1 for the list of querying focal points.) To facilitate the A&AS querying process, the person or organization responding to queries may survey center resource owners for availability of organic resources as individual task orders are received or for organic resource availability within a certain period of performance not to exceed 18 months. (Attachment 4 is a sample survey memo which addresses requirements for both general A&AS and A&AS in support of ICAPEA. Attached to that sample survey memo is an A&AS survey sheet on which the center functional resource owner may identify available resources. The sample survey memo and the survey sheet may be modified as desired. They are provided as a convenience; their use is optional.)

8.2. To accomplish the query, it is necessary to document A&AS requirements in a DDD. (Refer to Attachment 5 for the DDD Format.) Use the DDD to document an initial requirement for A&AS or to modify an existing requirement, i.e., to increase an A&AS requirement, to extend the duration, or to re-scope the work. (Increasing, extending, or re-scoping contract workload has contractual implications. Confer with the center PK organization for additional information.) Minor modifications or amendments to an approved DDD which do not change the character of the work the contractors are performing and which result in an increase of two, or fewer, CMEs over the number of CMEs in the original DDD, or in an increase of up to \$250,000 over the original dollar value may be approved by the requiring activity. This should shorten and simplify the process for dealing with these minor, “fact of life” fluctuations. Requiring activities are encouraged to work closely with the center A&AS focal point during the DDD development process.

8.3. The requiring activity normally develops the DDD and conducts the queries prior to the release of the draft request for proposal (RFP) for the A&AS contract or task order. For purposes of the query, system support manager (SSM) and development support manager (DSM) resources shall be considered an integral part of the single manager (SM) organization.

8.4. The requiring activity will exercise sound judgment and due diligence in conducting the query. The following paragraphs address particular conditions which affect the query.

8.4.1. The requiring activity may conduct queries at the task order level (the preferred method), for a group of organizationally or functionally related requirements not exceeding 18 months, or the center A&AS focal point may conduct queries for a set of center-wide A&AS requirement falling within a period of performance not to exceed 18 months, whichever is most appropriate. (Refer to paragraph 5.5 on DDDs and queries, and paragraph 5.8 on MIPRs, for additional information.)

8.4.2. When a decision is made to query at the task order level, the requiring activity may document that decision in the Acquisition Plan or the Single Acquisition Management Plan and proceed with the release of the RFP for the basic contract. This

action will be considered as satisfying the requirement to conduct a query prior to release of the RFP and should speed up the contract award process.

8.4.3. For Foreign Military Sales (FMS) programs, if the country specifically requested A&AS in the Letter of Offer and Acceptance (LOA) and is paying for the services with customer country funds, then no DDD or query is required before contracting for the services. If the LOA does not address A&AS but rather an AFMC organization determines that A&AS is required to enable it to support the customer, then the DDD and the query are required. (Refer to the FMS entry in Attachment 3, *Classification of Contract Activities*, for additional information.)

8.4.4. On joint service programs, break out the Air Force's A&AS requirements for querying purposes. If such a break out is not possible, follow the lead service's querying procedures.

8.5. Procedures for conducting queries for general A&AS and for A&AS in support of initial contract award proposal evaluation and analysis (ICAPEA) are as follows:

8.5.1. For queries for general A&AS, the requiring activity will: first determine availability of center organic resources by contacting the center DDD querying focal point and/or the center functional resource owner(s); second, contact a DDD querying focal point at one other AFMC center.

8.5.2. For queries for A&AS in support of ICAPEA activities, the requiring activity will: first determine availability of center organic resources by contacting the center DDD querying focal point and/or the center functional resource owner(s); second, contact a DDD querying focal point at one other AFMC center; and, third, contact one other Federal Agency outside the Air Force. Querying focal points for the Army and Navy are provided at the end of Attachment 1.

8.5.3. HQ AFMC requiring activities will: first determine availability of HQ AFMC organic resources by *directly* contacting the HQ AFMC functional resource owner(s) (i.e., the HQ AFMC functional home office); second, contact a DDD querying focal point at one other AFMC center; and, third, if the requirement is for A&AS in support of ICAPEA activities, contact one other Federal Agency outside the Air Force. Directly contacting the HQ AFMC functional home office(s) should speed the querying process since HQ AFMC functional resources tend to be concentrated in their respective home offices.

8.6. If organic resources are available:

8.6.1. The requiring activity must prepare a cost comparison between performing the work with organic resources versus A&AS contract resources. For organic resources, use the cost comparison tables in AFI 65-503, *Air Force Cost and Planning Factors*, Table 19-1 for military composite pay rate and Table 26-1 for civilian composite pay rate

at: www.saffm.hq.af.mil. (Click on the "Publications" button in the lower left side of the screen, then click on AFI 65-503 on the lower right side of the screen, then scroll down to the appropriate table.) Thoroughly explain and justify your approach for estimating the cost of the contractor personnel. For the A&AS resources, use cost data from a similar, recent A&AS contract, since cost data for the draft request for proposal will probably not be available.

8.6.2. The requiring activity should communicate directly with the functional resource owner to agree on the terms of the loan. Document the terms of the loan in a memorandum of agreement or other suitable vehicle.

8.6.2.1. For organic resources available from an AFMC organization, the supporting activity shall retain the authorization on its UMD and the requiring activity shall provide for the costs (travel, per diem, salary reimbursement to the supporting activity, etc.) associated with borrowing the organic resources. For rating/appraisal purposes, the first level supervisor in the requiring activity shall prepare the evaluation; the second level supervisor in the supporting activity shall approve the evaluation.

8.6.2.2. For organic resources available from a non-AFMC organization, the requiring activity shall negotiate with that non-AFMC organization to obtain mutually agreeable terms.

8.7. The requiring activity will coordinate the DDD with the center A&AS focal point to facilitate ceiling management and will provide a copy of the approved DDD to the center manpower office to ensure proper documentation and tracking in the UMD.

8.8. After completing the queries and documenting the results in the DDD, the requiring activity must obtain approval at the appropriate level and incorporate the approved DDD in the procurement package. (Refer to Attachment 6, *DDD Approval Authority Levels*, for additional information.)

9. Management Plans:

9.1. The A&AS focal point at each center will develop and maintain an A&AS Management Plan based on input from the center's requiring activities. Centers must include their operating locations and detachments in the management plan. The plan will address the current fiscal year and the following two years and will include a summary of planned actions and associated dollars by the three A&AS categories: management and professional support services; studies, analyses, and evaluations; and engineering and technical services. The plan will also address significant changes between any two consecutive years. For the current fiscal year, the plan will contain a summary of actions executed and dollars obligated. Format and due dates for the management plan are provided at Attachment 11.

9.2. Each center will submit its A&AS Management Plan to HQ AFMC/DRO as requested. HQ AFMC/DRO will use the centers' inputs to develop the AFMC A&AS Management Plan and submit it to SAF/AQX.

9.3. Do not include classified data in the A&AS Management Plan. SAF/AQL will collect classified data in a separate data call.

10. PB-15 Report:

10.1. The PB-15 Report is a summary of actual and planned A&AS expenditures. Unless other arrangements have been made, the center FM organization, with input from center requiring activities, is responsible to prepare the PB-15 Report.

10.2. Report financial information in whole dollars rounded to the nearest thousand. Report requirements which are currently funded or which have a strong probability of being funded in the future.

10.3. Do not include classified data in the PB-15 Report. SAF/AQL will collect classified data in a separate data call.

10.4. Centers will collect and report data based on where the A&AS work is performed rather than on who budgeted and funded for it. Report all required information for the CMEs working at the center, *including* the center's operating locations and detachments, irrespective of the source of the funding or the location of the contracting organization. The reporting center should *exclude* another center's collocated operating locations and detachments from its PB-15 Report. The only exception to the above is if AFMC A&AS work is performed at a non-Air Force location. In this case, the AFMC organization requiring and funding the A&AS work shall report it. **Note:** Do not report non-Air Force funded A&AS in the AFMC PB-15 data call, even when the work is being done at the center. Inform the non-Air Force organization that it is responsible to report this A&AS in its PB-15 data call.

SECTION III: Federally Funded Research and Development Center (FFRDC) Management Controls

11. Ceilings:

11.1. The FFRDC ceilings are established by Congress and are directed downward to DoD and the services. For this reason, they are closely managed and stringently controlled by senior SAF/AQ personnel.

11.2. Centers will track their FFRDC ceilings separately from their A&AS ceilings. The center that received the FFRDC ceiling allocation, not the center at which the FFRDC contractors may be located, is responsible for tracking and reporting.

11.3. Centers will track their FFRDC usage against ceilings expressed in terms of staff-years of technical effort (STEs). When reporting the number of STEs in the UMD, round either up or down, as appropriate, to the nearest whole number since the UMD does not accommodate fractional numbers. (One STE is equal to one CME for UMD reporting purposes.)

11.4. FFRDC resources are used to perform highly technical workloads and are typically reserved to support the ESC and SMC missions. If a center believes it has a requirement that can only be satisfied through use of FFRDC resources, it should concisely define the requirement and forward it to the appropriate sponsoring organization: ESC/XPK for MITRE Corporation and SMC/AXC for Aerospace Corporation. These sponsoring organizations will validate that the requirement fits within the scope of FFRDC core workload and forward the requirement to SAF/AQX for consideration. SAF/AQX will evaluate the proposed FFRDC requirement to re-confirm its validity and will advise the requiring organization and the sponsoring organization of the necessary FFRDC ceiling adjustments.

11.5. For additional information on FFRDCs, refer to the SAF/AQ web site at: http://www.safaq.hq.af.mil/acq_workf/faq_links/ffrdcs.html.

12. Determination/Decision Document (DDD) Querying Procedures: Because of the stringent controls already in place for FFRDC resource management and the highly technical nature of the work, it is not necessary to prepare a DDD or to conduct a query for FFRDC requirements.

13. Management Plans:

13.1. Include information on FFRDC resources in the A&AS Management Plan. Segregate the FFRDC information from A&AS information. The organization that received the FFRDC ceiling allocation is responsible to report FFRDC information in the A&AS Management Plan. Refer to Attachment 11 for the A&AS Management Plan format.

13.2. Do not include classified information in the A&AS Management Plan. SAF/AQL will collect classified data in a separate data call.

14. PB-15 Reporting:

14.1. Report FFRDC information in the PB-15 Report as requested in the PB-15 data call transmittal letter. The organization which received the FFRDC ceiling allocation is responsible to report usage in the PB-15 Report.

14.2. Do not include classified information in the PB-15 Report. SAF/AQL will collect classified data in a separate data call.

Attachments:

1. Focal Points for A&AS Querying Requirements
2. Definition of A&AS from OMB Circular A-11, *Preparation and Submission of Budget Estimates*, Section 83, *Object Classification (MAX Schedule O)*
3. Classification of Contract Activities
4. Sample Survey Memo
5. Determination/Decision Document (DDD) Format.
6. Determination/Decision Document (DDD) Approval Authority Levels
7. Inherently Governmental Functions
8. Personal Services
9. A&AS Element of Expense and Investment Codes (EEICs)
10. Labor Hour Conversion Method
11. A&AS Management Plan Format

**Attachment 1 – Determination/Decision Document (DDD) Querying Focal Points
Current: 21 May 01**

(Currently the DDD querying focal point is the same person as the A&AS focal point.)

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Attachment 2 – Definition of A&AS from OMB Circular A-11, *Preparation and Submission of Budget Estimates*, Section 83, *Object Classification*, (MAX Schedule O)

Services acquired by contract from non-Federal sources (that is, the private sector, foreign governments, State and local governments, tribes) as well as from other units within the Federal Government. This object class consists of three types of services:

- **Management and professional support services.**
- **Studies, analyses, and evaluations.**
- **Engineering and technical services.**

Each is described in further detail below.

Exclude:

- Information technology consulting services, which have large scale systems acquisition and integration or large scale software development as their primary focus. Classify in object class 31.0, *Equipment*.
- Personnel appointments and advisory committees. Classify in object class 11.3, *Other than full-time permanent*.
- Contracts with the private sector for operation and maintenance of information technology and telecommunication services. Classify in object class 25.7, *Operation and maintenance of equipment*.
- Architectural and engineering services as defined in the Federal Acquisition Regulations (FAR) 36.102 (40 U.S.C. 541).
- Research on theoretical mathematics and basic medical, biological, physical, social, psychological, or other phenomena which will be classified in object class 25.5, *Research and development contracts*.
- Other contractual services classified in object classes 25.2, *Other services*, through 25.8, *Subsistence and support of persons*, and 26.0, *Supplies and materials*.

***Management and professional support services*, that:**

- Assist, advise, or train staff to achieve efficient and effective management and operation of organizations, activities, or systems (including management and professional support services for information technology and R&D activities).
- Are normally closely related to the basic responsibilities and mission of the agency contracting for the services, and
- Support or contribute to improved organization of program management, logistics management, project monitoring and reporting, data collection, budgeting, accounting, performance auditing, and administrative/technical support for conferences and training programs.

Exclude auditing of financial statements, which will be classified in object class 25.2, *Other services*.

Studies, analyses, and evaluations provide organized analytic assessments or evaluations in support of policy development, decision-making, management, or administration.

Include:

- Studies in support of information technology and R&D activities.
- Models, methodologies, and related software supporting studies, analyses, or evaluations.

Engineering and technical services (excluding routine engineering services and operation and maintenance of information technology and data communications services) that:

- Support the program office during the acquisition cycle by providing such services as information technology architecture development, systems engineering, and technical direction (FAR 9.505-1(b));
- Ensure the effective acquisition, operation, and maintenance of a major acquisition, weapon system or major system, as defined in OMB Circular No. A-109 and in this Circular's supplement, Capital Programming Guide.
- Provide direct support of a major acquisition or weapons system that is essential to planning, R&D, production, or maintenance of the acquisition or system.
- Include information technology consulting services, such as information technology architecture design and capital programming, and investment control support services.
- Include software services such as implementing a web-based, commercial off-the-shelf software product that is an integral part of a consulting services contract.

Attachment 3 – Classification of Contract Activities

OMB Circular A-11, *Preparation and Submission of Budget Estimates*, Section 83, *Object Classification, (Max Schedule O)*, identifies a number of categories, or object classes, into which all governmental activities may be classified. (Refer to <http://www.whitehouse.gov/omb/circulars/a11/s83.pdf> for additional information.) The OMB Circular's description of the A&AS object class, 25.1, is provided at Attachment 2, above.

The following table describes various AFMC activities and advises how they should be categorized under the OMB Circular. As specified in the OMB Circular, this table classifies activities "...according to the initial purpose, not the end product or service." It follows the OMB Circular A-11 ground rule "...to focus on the nature of the services, articles, or other items for which obligations are first incurred." It recognizes that while contractual services may cover a broad spectrum of activities from "management" functions to "implementation," or "performing," functions, A&AS activities tend to fall on the "management" side of this spectrum. Although determining how to classify a particular activity is application-dependent, the following guidelines may help:

- a. The primary (initial) purpose of the activity meets the criterion of providing "advice" or "assistance" in *managing* some aspect of Air Force work.
- b. The activity fits one of the three A&AS categories discussed in OMB Circular A-11, object class 25.1, and is not listed as an exemption.
- c. The activity is discrete and separable from, i.e., is not integral to, other non-A&AS work and has value in and of itself.

The following table, while not all-inclusive, addresses AFMC's broad activities and focuses on those that have proven to be problematical. The table will be expanded as necessary to address additional activities.

Service:	Description and Notes:	A&AS :	OMB Circular A-11 Object Class:	DDD Req'd :	PB- 15 Input Req'd :
A-76 activities (SAF/AQX Group 1)	Activities that are reviewed and/or acquired in accordance with OMB Circular A-76, <i>Performance of Commercial Activities</i> . Examples include base operating support (BOS) functions, civil engineering functions, family housing services and maintenance, food services, etc.	No	Varies according to kind of work	No	No

	<p>These activities may be classified under a wide range of object classes: 23.3, <i>Communications, utilities, and miscellaneous charges</i>; 25.2, <i>Other services</i>; 25.4, <i>Operations and maintenance of facilities</i>; 25.7, <i>Operations and maintenance of equipment</i>; 26.0, <i>Supplies and materials</i>; 31.0, <i>Equipment</i>; etc.</p> <p>Note: A&AS-like services purchased from an A-76 contractor are classified under the object class that corresponds to the category of work that the A-76 contractor is performing. They are not classified under object class 25.1, <i>Advisory and assistance services</i>, do not require preparation of a DDD, and are not reported in the PB-15 Report.</p>				
Administrative services, Routine	<p>If the administrative services are part of an A&AS effort, then they are classified under object class 25.1, <i>Advisory and assistance services</i>, require completion of a DDD, and are included in the PB-15 Report.</p> <p>If the administrative services are provided on a "stand alone" basis, i.e., they are not a part of an A&AS effort, then they are classified under object class 25.2, <i>Other services</i>. Structure the contract to avoid the appearance of personal services.</p>	Varies, see notes	Varies, see notes	Varies, see notes	Varies, see notes
Arbitration services	Services of professional arbitrator for resolution of disagreements with mutual consent of involved parties or by statutory provision; normally purchased under EEICs 59211 or 592CH.	Yes	25.1, <i>Advisory and assistance services</i>	Yes	Yes
Archeological and/or paleontological research	If the services are provided by state or local agencies or by the private sector, classify under object class 25.2, <i>Other services</i> .	No	Varies, see notes	No	No

and studies	<p>If the services are provided by another Federal agency, classify under object class 25.3, <i>Purchase of goods and services from Government accounts.</i></p> <p>If the services are purchased in conjunction with an Architectural and Engineering effort, classify under object class 32.0, <i>Land and structures.</i></p>				
Architectural & engineering (SAF/AQX Group 1)	<p>Architectural and engineering services for construction and construction management procured in accordance with 40 U.S.C. 541 and FAR Part 36.102. The public law and FAR citation define A&E services as: (1) Professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed by or approved by a person licensed, registered, or certified to provide such services; (2) Professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and (3) Such other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value</p>	No	32.0, <i>Land and structures</i>	No	No

	engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.				
Auditing of financial statements	If done by contract with the private sector, classify under object class 25.2, <i>Other services</i> . If done by contract with another Federal agency, classify under object class 25.3, <i>Purchase of goods and services from Government accounts</i> .	No	Varies, see notes	No	No
Auditing services	Services associated with evaluating management of an acquisition program or the effectiveness of an organization or a management process. Refer to DoDD 7600.2, <i>Audit Policies</i> , and related DoD documents, and DFARS 237.270, <i>Acquisition of Audit Services</i> .	Yes	25.1, <i>Advisory and assistance services</i>	Yes	Yes
Basic research (SAF/AQX Group 1)	Research on theoretical mathematics and basic medical, biological, physical, social, psychological, or other phenomena. Also includes activities funded under Budget Program (BP) 61xxx, <i>Technology Base</i> , and BP 62xxx, <i>Advanced Technology Development</i> . Include AFRL "operations and maintenance" efforts funded with 3600 Appropriation, 62xxx monies, in this category.	No	25.5, <i>Research and development contracts</i>	No	No
Business process reengineering	Services to improve core processes, procedures, or business practices.	Yes	25.1, <i>Advisory and assistance services</i>	Yes	Yes
Clinical and medical services, Direct (SAF/AQX Group 1)	Includes payments to contractors for medical care; payments to Medicare contractors; payments to private hospitals, nursing homes, or group health organizations for medical care services provided to veterans; and payments to carriers by the employees and retired employees	No	Varies, see notes	No	No

	<p>health benefit funds and CHAMPUS. Also includes obligations to contractors for medical testing and analysis. The above activities are classify under object class 25.6, <i>Medical care</i>.</p> <p>Services associated with administrative functions such as preparing medical transcripts or other clerical support are classified under object class 25.2, <i>Other services</i>, if purchased on "stand alone" basis. If these services are incidental to the primary effort, then classify under the object class that best characterizes the majority of the work being performed.</p> <p>Services associated with maintenance of medical equipment are classified under object class 25.7, <i>Operations and maintenance of equipment</i>.</p> <p>Services provided by casual workers and patient help are classified under object class 11.8, <i>Special personal services payments</i>.</p> <p>Note: Personal services contracts with individuals who are considered by OPM as Federal employees are classified under object class 11.3, <i>Other than full-time permanent</i>, for basic pay, and under object class 11.5, <i>Other personnel compensation</i>, for compensation above basic pay.</p>				
Contracted Engineering and Technical Services (CETS)	Services for on-site proficiency training, technical advice, and technical assistance for the initial system beddown or major modification. CETS are normally purchased under EEIC 59209, <i>CETS Field Service Reps</i> . For additional	Yes	25.1, <i>Advisory and assistance services</i>	Yes	Yes

	<p>information, see AFI 21-110, <i>Engineering and Technical Services</i>.</p> <p>Note: CETS is a specific entity defined in AFI 21-110. It <u>excludes</u> review and resolution of service-revealed deficiencies reported through the normal maintenance data collection systems, material deficiency reports covered in T.O. 00-35D-54, engineering determination of material integrity, and direct maintenance services (except in emergency situations); these services are classified under object class 25.7, <i>Operations and maintenance of equipment</i>. It also <u>excludes</u> "CETS-like" training and support services that are provided on the equipment purchase contract as part of the initial installation effort; these services are classified under object class 31.0, <i>Equipment</i>. In addition, do not confuse the acronym "CETS" with "CET," contractual engineering task. This is a broad term used to refer to a variety of engineering activities which may or may not fit the definition of A&AS.</p>				
Contract Field Team (CFT) Program	<p>CFTs perform maintenance, overhaul, and modification of aircraft (including simulators), aerospace, communication, electronic, meteorological, information technology, and cryptological equipment, missile weapon systems, and support equipment located at various DoD CONUS and overseas operational sites. See AFMCI 21-113, <i>Contract Maintenance Program for Depot Maintenance Business Area (DMBA)</i>, and AFMCFARS 5391.302, <i>CFT Contracting Procedures</i>, for additional</p>	No	25.7, <i>Operations and maintenance of equipment</i>	No	No

	information.				
Contractor logistics support (CLS)	Preplanned contractor support method used to provide all or part of the integrated logistics support elements for a system, subsystem, or equipment item for long periods of time or until retirement. (See AFI 21-102, <i>Depot Maintenance Management</i> , for further discussion.) These services are purchased under element of EEIC 578. Do not buy A&AS and CLS on the same contract.	No	25.7, <i>Operations and maintenance of equipment</i>	No	No
Defense Environmental Restoration Act (DERA) (SAF/AQX Group 2)	The Defense Environmental Restoration Account (DERA) is a special transfer account established by Title 10, United States Code, Section 2703, to fund the services' cleanup programs established under the Defense Environmental Restoration Program. The Defense Environmental Restoration Program is an effort to achieve and maintain compliance with Federal, State, and local legislation, regulations, and standards for environmental restoration and related programs. It consists of three sub-programs: the Installation Restoration Program (IRP); the Other Hazardous Waste Program; and the Building Demolition/Debris Removal Program. The services' cleanup programs seek to protect public health and the environment by clearing up sites whose past activities created contamination from toxic and hazardous substances, low level radioactive materials, and petroleum, oil, and lubricants. The Air Force IRP is designed to identify, investigate, and cleanup contamination at active Air Force installations, Government-owned, contractor-operated	Yes	25.1, <i>Advisory and assistance services</i>	Yes	Yes

	<p>facilities, off-site locations where contaminants might have migrated, third party sites, and sites that the Air Force formerly owned or used. The Air Force IRP includes development, test, and evaluation of innovative and cost-effective cleanup technology and toxicological data collection. DERA funding is provided under program element code 78008, <i>Environmental Restoration</i>; DERA funding is tracked under EEICs 53500 through 53507, 53600, and 53700. See AFI 32-7001, <i>Environmental Budgeting</i>, and AFI 32-7020, <i>The Environmental Restoration Program</i>, for additional information.</p> <p>Note: Although the SAF/QAX Interim Guidance says not to report DERA funding in the PB-15 Report, the situation has changed since that document was written. Include DERA in the center's PB-15 Report with the note "DERA" in the "Comments" column. This will ensure that these costs are captured.</p>				
Depot maintenance	<p>Services associated with the repair and overhaul of weapon systems, subsystems, equipment items, components, and software. Depot maintenance may also include design, manufacture, production, regeneration, and disposal activities. Depot maintenance may be performed on a scheduled or unscheduled basis.</p> <p>Note: Services associated with <i>management</i> or <i>oversight</i> of, or <i>improvements</i> to, depot maintenance processes, procedures, or business practices (e.g., a contractual effort to identify problems with, and</p>	No	25.7, <i>Operations and maintenance of equipment</i>	No	No

	<p>recommend improvements to, the center's programmed depot maintenance process) would be classified as A&AS. If there is a question about how to classify such depot maintenance management and oversight activities, refer to the A&AS definition in Attachment 2 and confer with the center A&AS focal point.</p>				
<p>Depot Purchased Equipment Maintenance (DPEM) Program</p>	<p>Process addressing requirements determination, budget preparation, program execution, and process control for depot level services and maintenance for software, aircraft, missiles, engines, other major end items, exchangeables, area support/base support/local manufacture, and storage. DPEM requirements may be funded on a direct cite or reimbursable basis.</p> <p>When DPEM services are provided by contract, they are classified under object class 25.7, <i>Operations and maintenance of equipment</i>.</p> <p>Note: DPEM services may also be provided on an organic or interservice basis.</p>	No	25.7, <i>Operations and maintenance of equipment</i>	No	No
<p>Embedded software</p>	<p>Services associated with embedded (weapon system) software which are typically performed by the prime contractor as part of the development and production contracts.</p>	No	31.0, <i>Equipment</i>	No	No
<p>Engineering services</p>	<p>"Engineering services" and "routine engineering" are a very general terms with broad meanings which complicate the A&AS decision.</p> <p>In general, if the engineering services <i>directly</i> support the requiring activity in making management decisions, in</p>	Varies, see notes	Varies, see notes	Varies, see notes	Varies, see notes

	<p>overseeing or evaluating the work of a prime or a maintenance contractor, in studying, analyzing, or evaluating data or information to determine management actions or procedures, and are separable from a larger non-A&AS effort (i.e., have value in and of themselves), then the services should be classified as A&AS, documented in the DDD, and included in the PB-15 Report.</p> <p>If the services are more closely associated with providing a non-management i.e., “performing” or “implementing,” function (e.g., maintaining a weapon system or equipment item), and are not separable from the larger non-A&AS effort, then they should not be treated as A&AS.</p> <p>Rather than using the term "routine" engineering services, recommend addressing engineering activities using the terms below.</p>				
Engineering, Development	<p>A category of weapon system engineering that includes the engineering effort required to define, develop, optimize, design, integrate, test, evaluate, and verify a new weapon system, equipment modification, or other product prior to production. Development engineering is also applicable to extensive redesign and re-qualification of an existing item or system (including embedded systems, both hardware and software). Development engineering efforts should be focused on achieving or improving the product's performance as defined by the operational requirements process (see AFI 10-601). Performance</p>	Varies, see notes	Varies, see notes	Varies, see notes	Varies, see notes

	<p>requirements include the range of operational, technical, and support requirements specified in the most current requirements document provided by the operational command or other customer. These performance requirements include the full range of validated operational requirements, e.g., speed, range, payload, reliability, maintainability, cost, etc., across the weapon system's life cycle as specified in the appropriate requirements document. It is intended to result in the attainment of a qualified operational configuration baseline before production of the equipment, system, or modification kits. Development engineering is funded with the 3600 appropriation. (See AFI 65-601, Vol. I, for additional information.)</p> <p>If the development engineering services are purchased as an integral part of a research and development effort, they are reported under object class 25.5, <i>Research and development contracts</i>, and are not considered A&AS.</p> <p>If the development engineering services are purchased as an integral part of a weapon system, subsystem, or equipment item development effort, they are reported under object class 31.0, <i>Equipment</i>, and are not considered A&AS.</p> <p>If the development engineering services are purchased on an engineering services contract and directly support the requiring activity in making management decisions or in overseeing or</p>				
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	evaluating the work of the prime contractor, they are reported under object class 25.1, <i>Advisory and assistance services</i> , documented in the DDD, and are included in the PB-15 Report.				
Engineering , Maintenance	A category of weapon system engineering that includes the engineering effort required to review, assess, define, and resolve technical and supportability deficiencies revealed in operational service. Maintenance engineering includes such tasks as accident/incident/mishap investigations, analysis of deficiency reports, identification/analysis of degraded reliability or supportability trends, etc. Maintenance engineering includes, but is not limited to, engineering efforts required to define the problem and identify the necessary corrective action. Maintenance engineering efforts may lead to development engineering or production engineering efforts. Maintenance engineering is funded with the 3400 appropriation. (See AFI 65-601, Vol. I, for additional information.)	No	25.7, Operations and maintenance of equipment	No	No
Engineering , Production	A category of weapon system engineering that includes the engineering effort required to plan, design, and develop the tooling, materials, quality assurance, and manufacturing procedures necessary to achieve a cost effective, producible article. It also includes configuration management as well as the review, evaluation, and resolution of test or service revealed production baseline technical and support deficiencies. Production engineering is funded with the 3010, 3020, or 3080 appropriations. (See	Varies, see notes	Varies, see notes	Varies, see notes	Varies, see notes

	<p>AFI 65-601, Vol. I, for additional information.)</p> <p>If the production engineering services are purchased as an integral part of the weapon system production effort, they are reported under object class 31.0, <i>Equipment</i>, and are not considered A&AS.</p> <p>If the production engineering services are purchased on an engineering services contract and directly support the requiring activity in making management decisions or in overseeing or evaluating the work of the prime contractor, they are reported under object class 25.1, <i>Advisory and assistance services</i>, documented in the DDD, and are included in the PB-15 Report.</p>				
Engineering , Reverse	Engineering and technical activities to derive the structure and composition of a subsystem, equipment item, or component to facilitate remanufacture, repair, or other support action. Reverse engineering is normally undertaken to address diminishing sources of supply or maintenance problems.	No	25.7, <i>Operations and maintenance of equipment</i>	No	No
Engineering , Sustaining	Sustaining engineering is a subset of maintenance engineering. The sustaining engineering process encompasses engineering efforts on systems, products, or materials required to resolve technical or supportability deficiencies revealed in operational service. It includes, but is not limited to, assessing deficiency indicators; defining the characteristics and cause of such deficiencies; determining the impact on the affected product; identifying and evaluating alternative solutions;	No	25.7, <i>Operations and maintenance of equipment</i> . However, see Notes under <i>Description and Notes</i> column.	No	No

	<p>determining the preferred solution; and designing, integrating, and validating the preferred solution. It includes all associated contractual efforts (e.g., development of engineering and technical data, modeling, simulation, and testing) which are integral to the completion of the overall engineering task. Sustaining engineering excludes orders placed with organic facilities/depots. Sustaining Engineering is funded with the 3400 appropriation, EEIC 583. Software "maintenance" funded through the 3400 appropriation, EEIC 540, is considered a type of SE. Do not use EEICs 583 and 540 to buy A&AS.</p> <p>Note: Experience has shown that the way in which the requiring activity contracts for the sustaining engineering affects how the effort is perceived. If the requiring activity breaks out the total sustaining engineering effort into its component parts and contracts for each of them as individual tasks or small groupings of tasks (e.g., identifying the deficiency; determining the cause of the deficiency; determining the failure modes, effects, and criticality; identifying alternative solutions; determining the preferred solution; developing the preferred solution; implementing the preferred solution; validate and testing the preferred solution; developing the necessary support capability; etc.), there is a tendency to perceive them as A&AS task orders. However, if the requiring activity contracts for the sustaining engineering effort as a unified effort (e.g., having the contractor conduct all of the</p>				
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	<p>activities necessary to identify, design, develop, build/fabricate, implement, validate/test the corrective action and make required adjustments to the support capability), it is more readily apparent that the effort is an operations and maintenance activity. In situations where it is necessary to contract for the sustaining engineering effort on an incremental basis, suggest including a statement in the <i>Purpose, Scope, or Background</i> paragraph of the statement of work to the effect that the services purchased under the task order are part of a larger sustaining engineering effort and are categorized under OMB Circular A-11 object class 25.7, <i>Operations and maintenance of equipment</i>. This will help to place the particular task in the context of the larger effort.</p>				
Engineering , Systems	<p>Systems engineering, along with technical direction, is the process for determining specifications, identifying and resolving interface problems, developing test requirements, evaluating test data, supervising design activities, developing work statements, determining parameters, directing other contractors' operations, and resolving technical controversies. This process underlies all weapon systems engineering activities.</p> <p>Systems engineering functions conducted by services contractors in direct support of AFMC acquisition or sustainment management and oversight functions are categorized under object class 25.1, <i>Advisory and assistance services</i>, documented in a DDD, and included in the PB-15</p>	Varies	Varies, see notes	Varie s	Varie s

	<p>Report.</p> <p>Systems engineering functions conducted by a weapon system, subsystem, or equipment item prime or maintenance contractor in the course of designing, developing, building, testing, modifying, or supporting an end product are categorized under object class 31.0, <i>Equipment</i>, or object class 25.7, <i>Operations and maintenance of equipment</i>.</p>				
Environmental studies	<p>Services provided by the private sector for environmental assessments and environmental impact statements, e.g., activities required by the National Environmental Protection Act. These services are addressed in 40 U.S.C. Section 1105 and in FAR Part 36.102 and are not considered A&AS.</p>	No	32.0, <i>Land and structures</i>	No	No
Foreign Military Sales (FMS) (SAF/AQX Group 2)	<p>If the services meet the definition of A&AS and:</p> <p>a. If the program office determines that the services are required to satisfy the customer country's requirements and the services will be purchased with U.S. government appropriated funds not to be reimbursed by the foreign country, then classify under object class 25.1, <i>Advisory and assistance services</i>, conduct the query, prepare the DDD, and include the requirement in the PB-15 Report.</p> <p>b. If the program office determines that the services are required to satisfy the customer country's requirements but the services will be purchased with foreign direct cite funds or U.S. Government</p>	Varies, see notes	Varies, see notes	Varies, see notes	Varies, see notes

	<p>appropriated funds to be reimbursed by the foreign country, then classify under object class 25.1, <i>Advisory and assistance services</i>, conduct the query, prepare the DDD, but do not included the requirement in the PB-15 Report. (The rationale for the query and the DDD is that the program office may find organic resources whose use would be more cost effective. The rationale for not including the requirement in the PB-15 Report is that the services are paid for with non-Air Force monies.)</p> <p>c. If the customer country requests the services in the Letter of Offer and Acceptance (LOA) but the services will be purchased with U.S. government appropriated funds not to be reimbursed by the foreign country, then classify under object class 25.1, <i>Advisory and assistance services</i>, conduct the query, prepare the DDD, and include the requirement in the PB-15 Report. (The rationale for the query and the DDD is that the program office may find organic resources whose use would be more cost effective. The rationale for including in the PB-15 Report is that the services are paid for with U.S. government appropriated funds.)</p> <p>d. If the customer country specifically requests the services in the LOA and the services are purchased with foreign direct cite funds or U.S. Government appropriated funds to be reimbursed by the foreign country, then the services are essentially a "pass-through" and are not classified under OMB Circular A-11. Do not</p>				
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	<p>conduct a query, do not prepare a DDD, and do not include the requirement in the PB-15 Report.</p> <p>To qualify for inclusion in the PB-15 Report, the following three criteria must be satisfied: the services are paid for with funds appropriated by Congress, and the services are not reimbursed by the foreign customer, and the services are not specifically requested in the LOA or host country agreement.</p>				
Government-owned, contractor-operated (GOCO) facility (SAF/AQX Group 1)	Includes service contracts for routine repair and upkeep of land; includes obligations for operation of facilities engaged in research and development activities (e.g., AEDC); (Exclude services for alterations, modifications, or improvements to facilities and land, which are classified in object class 32.0, <i>Land and Structures</i> .)	No	25.4, <i>Operations and maintenance of facilities</i>	No	No
Independent Verification & Validation (IV&V)	Systematic evaluation of a product (e.g., Technical Orders, software or associated products, etc.) and/or activities by a third party or agency not responsible for developing the product or performing the activity being evaluated.	Yes	25.1, <i>Advisory and assistance services</i>	Yes	Yes
Information technology (IT) consulting services	The FAR Subpart 2.101 defines IT as any equipment, interconnected system(s) or subsystem(s) of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by an agency (i.e., organization, center, command, etc.). IT equipment may be used directly by the agency or by contractors under contract with the agency. IT includes computers, ancillary	Varies, see notes	Varies, see notes	Varies, see notes	Varies, see notes

	<p>equipment, software, firmware and similar procedures, services (including support services), and related resources. IT does not include any equipment that is acquired by a contractor incidental to a contract or any equipment that contains embedded information technology that is used as an integral part of the product, but the principal function of which is not the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. For example, HVAC (heating, ventilation, and air conditioning) equipment such as thermostats or temperature control devices, and medical equipment where information technology is integral to its operation, are not information technology. Note: Information technology was formerly referred to as automated data processing (ADP).</p> <p>Services associated with IT system or equipment design, development, acquisition, integration, modification, or maintenance, <u>when performed by a prime or a maintenance contractor as part of the acquisition, modernization, or maintenance effort</u>, are classified under object class 31.0, <i>Equipment</i>, or object class 25.7, <i>Operations and maintenance or equipment</i>.</p> <p>Services associated with the <i>management</i> or <i>oversight</i> of, or <i>improvements</i> to, IT management processes or procedures, or with support or assistance for <u>technical</u> aspects of IT system/equipment</p>				
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	<p>design, development, acquisition, integration, modification, or maintenance activities (e.g., aid or support in defining requirements, defining or developing IT specifications and standards, defining system architecture and interfaces, etc.) or with providing topical or general system acquisition/management functional area capabilities or expertise (e.g., configuration management status accounting, deficiency reporting, milestone scheduling, engineering change proposal tracking, etc.), <u>when provided by a services contractor (i.e., by a contractor other than a prime or a maintenance contractor)</u>, are classified under object class 25.1, <i>Advisory and assistance services</i>, require completion of a DDD, and are included in the PB-15 Report.</p> <p>Refer to entry under "Routine IT services," below, for additional information.</p>				
IT equipment, Operations and maintenance	<p>Services associated with maintenance (including maintenance that is part of a rental contract) of both IT and other computer hardware or software and related training and technical assistance. These services may be provided by the private sector or by another government organization or agency.</p>	No	25.7, <i>Operations and maintenance of equipment</i>	No	No
IT equipment and software, Purchase and initial installation of	<p>Services associated with IT and telecommunications equipment, custom and off-the-shelf IT software, and other computers and computer equipment of a durable nature (i.e., property that will be in service for one year or longer without impairment to its physical condition) and related training and</p>	No	31.0, <i>Equipment</i>	No	No

	technical assistance.				
IT equipment, Rental of	Services associates with rental of IT equipment and telecommunications hardware and software, including related familiarization training and technical assistance. Note: Services associated with the maintenance of rental equipment are classified under object class 25.7, <i>Operations and maintenance of equipment</i> .	No	23.3, <i>Communications, utilities, and miscellaneous charges</i>	No	No
IT services, Routine (SAF/AQX Group 1)	"Routine IT services" is a very general term that refers to services that are used to accomplish organization-wide, center-wide, or command-wide, general management and support functions for IT systems and equipment. These may include services associated with providing or maintaining organization-wide or center-wide standard computer operations or office automation capabilities, data/voice/wireless communication capabilities, telephone services, video-teleconferencing capabilities, internet/intranet capabilities or applications, help desk functions, or command-wide functional area management capabilities such as the G072E, <i>Depot Level Maintenance Requirements and Program Management System</i> , or the D002A, <i>Standard Base Supply System</i> , etc. Contractors providing routine IT and telecommunication services are not engaged in advising or assisting AFMC personnel in making IT management decisions, providing recommendations on policy, procedural, or process issues, etc. Refer to the entry addressing "IT Consulting Services," above, for additional information.	No	25.7, <i>Operations and maintenance of equipment</i> , or 31.0, <i>Equipment</i> , as appropriate	No	No

IT training	<p>If the training is incidental to the larger IT development, acquisition, modernization, or maintenance effort, classify under object class 31.0, <i>Equipment</i>, or object class 25.7, <i>Operations and maintenance of equipment</i>.</p> <p>If the IT training is significant and readily identifiable and can be tracked as a separate line item on the contract, classify under object class 25.1, <i>Advisory and assistance services</i>, prepare the DDD, and include in the PB-15 Report.</p>	Varies, see below	Varies, see below	Varies, see below	Varies, see below
Interim Contractor Support (ICS)	Preplanned, temporary contractor support method used to provide all or part of the integrated logistics support elements for a system, subsystem, or equipment item for an initial period of operation. Period of implementation normally extends from first production article delivery to the Required Assets Availability (RAA) date. (See AFI 21-102, Depot Maintenance Management, for further discussion.) These services are purchased under EEIC 579. Do not buy A&AS and ICS on the same contract.	No	25.7, <i>Operations and Maintenance of equipment</i>	No	No
Litigation support	Efforts to prepare program records, documents, or other material for legal review. Litigation support may address any acquisition functional area and may include activities such as data research, technical data interpretation, digital data conversion, etc.	Yes	25.1 <i>Advisory and assistance services</i>	Yes	Yes
Modification of system or equipment	Development, prototyping, test and evaluation, production, and installation of Group A and Group B kits and upgrades to the associated software, test sets, and support capability.	No	31.0, <i>Equipment</i>	No	No
Operations	Broad category of services that	No	25.7,	No	No

and maintenance of equipment	generally includes activities required to operate, maintain, repair, store, and sustain fielded weapon systems and equipment items. Various aspects of operations and maintenance are separately discussed throughout this attachment.		<i>Operations and maintenance of equipment</i>		
Operations and maintenance of facilities	Broad category of services that generally includes activities required to operate, maintain, and repair facilities (including operation of facilities engaged in research and development activities and government-owned contractor-operated facilities) and land when performed by contract with the private sector or another Federal agency. Note: Alterations, modifications, or improvements to facilities and land are classified under object class 32.0, <i>Land and structures</i> .	No	25.4, <i>Operations and maintenance of facilities</i>	No	No
Peer review	Air Force Office of Scientific Research peer review work performed by other organizations (e.g., National Academy of Sciences), funded through a reimbursable military interdepartmental purchase request (MIPR), but not obtained through a contract.	No	11.8, <i>Special personal services payments</i>	No	No
Personal services	For personal services contracts <u>with individuals</u> who are classified by OPM as Federal employees, classify the basic pay in object class 11.3, <i>Other than full-time permanent</i> , and classify compensation above basic pay in object class 11.5, <i>Other personnel compensation</i> . For personal services contracts <u>with a group</u> of a contractor's personnel who are classified by OPM as Federal employees, classify according to the nature of the services involved, e.g., classify	Varies, see notes	Varies, see notes	Varies, see notes	Varies, see notes

	<p>personal services associated with operations and maintenance of facilities under object class 25.4, <i>Operations and maintenance of facilities</i>. For personal services contracts <u>with individuals or with a group</u> of a contractor's personnel who are not classified by OPM as Federal employees, classify under the appropriate object class, e.g., if personal services of experts and consultants are purchased, classify under object class 25.1, <i>Advisory and assistance services</i>. Refer to object class 11.8, <i>Special personal services payments</i>, which addresses such non-pay expenses as reimbursable details and special situations such as witness, re-employed annuitants, casual workers, etc.</p> <p>Although permitted, recommend not buying personal A&AS.</p>				
Software "maintenance"	<p>The engineering and technical effort necessary to define and specify necessary changes to embedded systems and associated test system software after establishment of an initial software production baseline. These services are a form of Maintenance (Sustaining) Engineering and are usually purchased under EEIC 540, <i>Software Maintenance</i>.</p>	No	25.7, <i>Operations and maintenance of equipment</i>	No	No
Sustaining engineering	<p>See "Engineering, Sustaining (SE)" entry above.</p>				
Supply management	<p>Services associated with receiving, cataloging, stocking, storing, and issuing reparable and non-reparable items (e.g., serviceable subsystems, subassemblies, equipment items, spare parts, and components, etc.) and fuels for Air Force and DoD customers.</p>	No	25.7, <i>Operations and maintenance of equipment</i>	No	No

	<p>Note: Services associated with <i>management</i> or <i>oversight</i> of, or <i>improvements</i> to, supply management processes or procedures (e.g., contractual efforts to identify problems with, and recommend improvements to, the center's issue or stockage effectiveness, logistics response times, backorder reductions, etc.) should be classified as A&AS. If there is a question about how to classify such supply management and oversight activities, refer to the A&AS definition in Attachment 2 and confer with the center A&AS focal point.</p>				
Technical data sustainment activities	<p>Refers to services associated with updating reprocurring, or managing engineering and technical data for operational systems which are not incidental to an approved production or modification program, not integral to a maintenance engineering task, and not in support of components or equipment managed through the Air Force Working Capital Funds (AFWCF). It includes activities such as preparing supplements, page changes, or complete revisions, printing, distribution, digitizing existing paper technical data products, procuring necessary engineering/technical support services to ensure the accuracy of the technical data (but not Independent Verification and Validation (IV&V) activities (see second Note)), reprocurring technical data, etc. These activities are typically bought with 3400 funds under EEIC 594, <i>Procurement of Technical Data</i>. For additional</p>	No	25.7, Operations and maintenance of equipment	No	No

	<p>information, refer to the Financial Management Reference System, Chapter 85, <i>Technical Order Requirements Process</i>.</p> <p>Note: Efforts funded under EEIC 583, <i>Sustaining Engineering</i>, may identify the need to update or revise technical data; however, the actual update or revision is normally funded under EEIC 594, <i>Procurement of Technical Data</i>. If in doubt, confer with the center FM organization.</p> <p>Note: IV&V activities associated with technical data sustainment are classified under Object class 25.1, <i>Advisory and assistance services</i>, require completion of a DDD, and are included in the PB-15 Report.</p>				
Test range operations	<p>The principal contract for the operation of a test range, in which the contractor is responsible to conduct or perform day-to-day range operations and maintenance activities, systems engineering support for end-to-end weapon system analyses, primary range activities, or the entire test phase. This principal contractor is considered to function in a capacity analogous to that of a prime weapon system contractor during the engineering and manufacturing development phase of the weapon system life cycle. Note: Apart from this principal test range operations contract, the test center may have other contracts for management and support purposes, which may be considered A&AS.</p>	No	25.4, <i>Operations and maintenance of facilities</i>	No	No
Training	<p>Training is a broad category of activities intended to develop or increase proficiency in a particular</p>	Varies, see notes	Varies, see notes	Varies, see notes	Varies, see notes

	<p>area through specialized instruction and/or practice.</p> <p>If the training is intended to improve the efficiency, effectiveness or general understanding of, and proficiency in, a particular functional or topical area, (e.g., acquisition, contracting, configuration management, budget/cost estimating, metrics, logistics, risk management, etc.), classify under object class 25.1, <i>Advisory and assistance services</i>, prepare the DDD, and include required information in the PB-15 Report. This type of training is usually significant, readily identifiable, and can be tracked as a separate line item on the contract.</p> <p>If the training is for individual professional development (e.g., courses leading to college or post graduate degrees, long term educational or development programs, internships, fellowships, sabbaticals, etc.), classify under object class 25.2, <i>Other services</i>.</p> <p>If the training is directly associated with the acquisition or initial installation of equipment and is incidental to that acquisition or installation, classify under object class 31.0, <i>Equipment</i>. Examples of "equipment" for which training (including equipment familiarization and basic troubleshooting training) might be required include: transportation equipment; tools and implements; machinery; instrumentation, test equipment and apparatus; IT hardware and software (both custom and commercial off-the-shelf such as central processing</p>				
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	<p>units, modems, signaling equipment, telephone and telegraph equipment, large scale systems integration services, etc.); office automation systems; etc.</p> <p>If the training is directly associated with the operations and maintenance of a particular weapon system, subsystem, equipment item, or class of items, or with IT hardware or software and is incidental to that operations and maintenance effort, classify under object class 25.7, <i>Operational and maintenance of equipment</i>.</p> <p>Refer to separate entry under "IT training" for additional information.</p>				
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Attachment 4 – Sample Survey Memo

This following memo may be used by the center querying focal point to determine availability of center organic resources. The memo may be modified as desired. Its use is optional.

MEMORANDUM FOR DISTRIBUTION

FROM:

SUBJECT: Determining Ability to Satisfy Advisory and Assistance Services (A&AS) Querying Requirements (SUSPENSE: _____)

1. To enhance the use of our organic resources and reduce the need for services contracts, Air Force interim policy on A&AS directs that organizations requiring A&AS support query for availability of organic resources to satisfy their requirements. These requirements may be for two types of A&AS support: a) general A&AS, and/or b) A&AS in support of initial contract award proposal evaluation and analysis (ICAPEA), generally thought of as source selection support. The principal functional areas in which requirements for A&AS support have arisen in the past include configuration management, cost estimating, data management, engineering, financial management, logistics, manufacturing, program management, risk analysis, software engineering, systems analysis, and test. (*Modify functional areas as desired.*)
2. To enable us to respond to these A&AS queries quickly and with minimal disruption to your organizations, please identify on the attached survey form the number, GS-series, and grade of organic resources who would be available during (*specify period of time not to exceed 18 months*) to support A&AS requirements. Please provide the requested information by _____.
3. Thank you for your assistance in this matter. Point of contact for this memo is _____.

Attachment:
Survey Form

DISTRIBUTION:

ORGANIC RESOURCES AVAILABILITY SURVEY
(Modify as desired)

Office/Organization:

Functional Area: **GS-Series:** **Grade:** **Available (*Specify when*):**

Configuration Management:

Cost Estimating:

Data Management:

Engineering:

Financial Management:

Logistics:

Manufacturing:

Program Management:

Risk Analysis:

Software Engineering:

Systems Analysis:

Test:

Other:

Comments:

Attachment 5 – Determination/Decision Document (DDD) Format

The format for the DDD is provided below. Centers may modify this format to accommodate center-unique requirements, but must ensure that the content of the DDD is maintained. Parenthetical information in *italic* is explanatory and should be deleted from the final DDD. This format varies somewhat in style from the DDD format in SAF/AQX's *Advisory and Assistance Services (A&AS) Interim Policy Letter*, 19 Jul 96 as amended 26 Aug 96. The only additional "content" are provisions to identify the category of A&AS (i.e., management and professional support services (MPS), studies analyses, and evaluations (SAE), and engineering and technical services (ETS)) being acquired and to include a statement concerning querying the Defense Technical Information Center regarding A&AS study requirements.

There are three types of DDDs:

The task order DDD addresses only one discrete A&AS requirement and is valid for the duration of that requirement. **Note:** Preparing task order DDDs is the preferred approach.

The organizationally or functionally related DDD addresses a consolidated set of organizational or functional A&AS requirements and is valid for a period of time up to 18 months.

The period of performance DDD addresses a consolidated set of A&AS requirements across the entire center and is valid for a period of time up to 18 months.

Requiring activities must ensure that all A&AS services that are on contract were addressed in, and are traceable to, either a task order DDD, an organizationally or functionally related DDD, or a period of performance DDD. The spreadsheet at: http://www.afmc-mil.wpafb.af.mil/HQ-AFMC/DR/PSBA/files/A&AS_DDDQueryspreadsheet_4.xls is a tool that may be used to gather and consolidate A&AS requirements and to show this traceability. Its use is optional.

ADVISORY AND ASSISTANCE SERVICES (A&AS) DETERMINATION/DECISION DOCUMENT (DDD) FOR THE XXX PROGRAM

SECTION 1: A&AS Requirements Description

a. Description of Requirement: *(Briefly discuss the requirement for A&AS. Specify the type of DDD, i.e., task order DDD, organizationally or functionally related DDD, or period of performance DDD. Provide any background information which might be helpful to the organization responsible to approve the DDD. State whether any A&AS described in this DDD will support initial contract award and proposal evaluation and*

analysis (ICAPEA). Because of the additional querying associated with ICAPEA requirements and the additional scrutiny that they receive, it may be easier to process a separate DDD for ICAPEA requirements.)

b. A&AS Contract Man-Year Equivalents (CMEs): *(Identify the total number of CMEs and their estimated cost (if known). Identify the number of CMEs supporting ICAPEA requirements and their estimated cost (if known).) If the total number of contract man-hours is known, use 1764 man-hours as the conversion factor for calculating the number of A&AS CMEs. If the total number of contract man-hours is not known, use the Labor Hour Conversion Method described in Attachment 10.*

c. Types of Skills Needed: *(Identify the requirement by position title (or functionality), series, grade, number of CMEs per fiscal year (FY), A&AS category (i.e., management and professional support services (MPS), studies, analyses, and evaluations (SAE), or engineering and technical services (ETS). This information may be presented in paragraph format or arrayed in a table or set of tables, similar to the samples below.)*

Organic:

Position Title (or functionality):	Series:	Grade:	Man-Years:			Total:
			FYxx	FYxx	FYxx	
Total by FY:						

Contractor:

A&AS Category (MPS, SAE, or ETS):	Contract Man-Year Equivalents:			Total:
	FYxx	FYxx	FYxx	
Total by FY:				

d. Period of Performance: *(Identify the duration of the A&AS effort.)*

e. Funding Source: This effort will be purchased using the *(specify)* Appropriation(s), under Element of Expense and Investment Code(s) *(specify the five digit EEIC)*.

Section 2: Availability of Organic Personnel: *(Queries may be made at the task order level (the preferred method), for a group of organizationally or functionally related A&AS requirements not to exceed 18 months, or for all A&AS requirements within a period of performance not to exceed 18 months. Query organizations most likely to have people with the desired skills. For general (non-ICAPEA) A&AS, query at the requiring center and one other AFMC center. For A&AS in support of ICAPEA activities, query at the requiring center, at one other AFMC center, and at one additional, non-Air Force Federal organization, e.g., Army, Navy, Marine Corp, National Aeronautics and Space Administration, etc. Identify the date contacted, the organization, the name of the point of contact (POC), the DSN, and whether organic resources were available, as shown on*

the table below. If the A&AS is for a study, contact the Defense Technical Information Center to verify that there is no existing study that satisfies the particular study requirement.)

a. We have queried the organizations listed below. Organic resources with the required skills are not available to support this A&AS requirement.

	Date Contacted:	Organization:	POC:	DSN:	Resource Availability:
Within center					
Within AFMC					
Outside AF (for ICAPEA only)					

b. The Defense Technical Information Center has verified that there is no known study which satisfies the study requirement described in this DDD. *(The DTIC Help Desk number is (703) 767-8242; the DTIC web site is: <http://www.dtic.mil/dtic/rtoc/code.html>. Delete this statement if not applicable to your requirement.)*

Section 3: Cost Comparison: *(If no organic resources are available, enter "Not applicable" in this section. Conduct the cost comparison only if organic personnel are identified in Section 2 and the A&AS requirement is estimated to be equal to or greater than \$100,000. To perform the cost comparison: (a) estimate the cost of performing the work described in Section 1 with contractor personnel; (b) develop the government estimate using current composite rates for military and civilian employees. See AFI 65-503, Air Force Cost and Planning Factors, Table 19-1 for military composite pay rate and Table 26-1 for civilian composite pay rate at: www.saffm.hq.af.mil. (Click on the Publications button in the lower left side of the screen, then click on AFI 65-503 on the lower right side of the screen, then scroll down to the appropriate table.) Thoroughly explain and justify your approach for estimating the cost of the contractor personnel. Add supporting documentation, as appropriate.)*

Section 4: Additional Certifications: *(The requiring activity must include the following statements in the DDD. By including these statements and submitting the DDD to the appropriate approval authority, the requiring activity is certifying to the approval authority that these statements are true.)*

a. This A&AS effort will not circumvent personnel ceilings.

b. This A&AS effort will not replace displaced government personnel with A&AS contractors unless proven to be financially advantageous to the Federal Government. *(If organic resources were available but the requiring activity determines in Section 3 that the contractor personnel will cost less, modify this statement as appropriate.)*

c. This A&AS effort will not be performing inherently governmental functions as defined in OFPP Policy Letter 92-1 and FAR Section 7.501.

Attachment 6 – DDD Approval Authority Levels

Approval levels for task order DDDs, organizationally or functionally related task order DDDs, or for "period of performance" DDDs are based on dollar values shown in the table below. When determining thresholds prior to using A&AS contractors for ICAPEA activities, use the estimated dollar value of the A&AS contractor's services for the ICAPEA work.

Minor modifications or amendments to an approved DDD which do not change the character of work the contractor is performing and which result in an increase of two, or fewer, CMEs over the number of CMEs in the original DDD or in an increase of up to \$250,000 over the original dollar value may be approved by the requiring activity. This will shorten and simplify the process for dealing with these "fact of life" changes.

The approving authority is responsible for signing the DDD, thereby confirming that all requirements, determinations, and certifications are true. Although the DDD may be approved by someone other than the requiring activity, the requiring activity still has ultimate responsibility for the veracity of the certifications in Section 4 of the DDD.

Threshold Level:	Approval Level:
Less than \$250,000	Requiring activity. (Recommend division level—GM-15 or Colonel—approval, if possible.)
\$250,000 to \$49,999,999	Center Commander, or may be delegated to other General Officer or Senior Executive Service manager in the requiring activity reporting chain.
\$50,000,000 to \$99,999,999	HQ AFMC/DR. (Recommend working the draft DDD with HQ AFMC/DROM before final submission.)
\$100,000,000 or greater	SAF/AQX

Attachment 7 – Inherently Governmental Functions

Background

1. Public Law 93-400, *The Office of Federal Procurement Policy Act*, created the Office of Federal Procurement Policy (OFPP) in 1974 and placed it within the Office of Management and Budget. Subpart FAR 7.5, *Inherently Governmental Functions*, implements OFPP Policy Letter 92-1, *Inherently Governmental Functions*, 23 Sep 92, and defines and provides examples of inherently governmental functions. The following paragraphs summarize provisions of subpart FAR 7.5 and the policy letter as they pertain to A&AS. For the full text of the policy letter, go to:

<http://www.arnet.gov/Library/OFPP/PolicyLetters/>

Definition

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

a. The act of governing, i.e., the discretionary exercise of Government authority, and,

b. Monetary transactions and entitlements.

3. An inherently governmental function involves, among other things, the interpretation and execution of the laws of the United States so as to:

a. Bind the United States to take or not to take some action by contract, policy, regulation, authorization, order, or otherwise;

b. Determine, protect, and advance its economic, political, territorial, property, or other interests by military or diplomatic action, civil or criminal judicial proceedings, contract management, or otherwise;

c. Significantly affect the life, liberty, or property of private persons;

d. Commission, appoint, direct, or control officers or employees of the United States; or,

e. Exert ultimate control over the acquisition, use, or disposition of the property, real or personal, tangible or intangible, of the United States, including the collection, control, or disbursement of appropriated and other Federal funds.

Inherently governmental functions do not normally include the kinds of tasks associated with A&AS (e.g., gathering information for, or providing advice, opinions, recommendations, or ideas to Government officials) or base operating support (BOS) services (e.g., functions that are primarily ministerial and internal in nature, such as building security, mail operations, operation of cafeterias, housekeeping activities, facilities operations and maintenance, warehouse operations, motor vehicle fleet management and operations, or other routine electrical or mechanical services).

Policy

4. *Maintain Government accountability.* To maintain accountability, Government agencies will:

- a. Not use service contractors to perform inherently governmental functions;
- b. Exercise greater scrutiny and an enhanced degree of management oversight when contracting for functions that closely support the performance of inherently governmental functions;
- c. Ensure that, in using the products of contractors, any final agency action complies with the laws and policies of the United States and reflects the independent conclusions of agency officials and not those of contractors; and,
- d. Ensure that contractors and contractor work products are identified as such.

5. *Avoid appearance of impropriety.* It is important to be sensitive to the appearance of private influence over Government actions and decisions. While contractors may draft documents or parts of documents, the agency is responsible to review the draft document and to ensure that the final document expresses the agency's views, is consistent with public law and policy, and advances the public interest. In addition, there may be circumstances when it is inappropriate for a contractor to draft documents. As an example of this circumstance, the policy letter prohibits contractors from drafting: Congressional testimony; responses to congressional correspondence; or agency responses to audit reports from an Inspector General, the General Accounting Office, or other Federal audit entities.

Guidelines

6. The following guidelines will assist agencies in determining whether the function is inherently governmental.

- a. The exercise of discretion. The use of discretion must have the effect of committing the Federal Government to a course of action when two or more alternative courses of action exist. A contractor does not have the authority to decide on the course

of action to be pursued but may be tasked to develop options to inform an agency decision maker, or to develop or expand decisions already made by Federal officials.

b. Totality of the circumstances. Determining whether a function is inherently governmental depends upon consideration of a number of factors; the presence or absence of any one factor is not in itself determinative. Nor will the same emphasis necessarily be placed on any one factor at different times. The key factor in deciding whether award or performance of a contract may effect a transfer of Governmental responsibility is the degree to which official discretion is or would be limited, i.e., whether the contractor's involvement in agency functions is or would be so extensive, or the contractor's work product is so far advanced toward completion, that the agency's ability to develop and consider options other than those provided by the contractor is restricted.

c. Finality of agency determinations. Whether a function is an inherently governmental function is a matter for agency determination; those determinations may be reviewed, and, if necessary, modified by appropriate OMB officials.

d. Pre-award responsibilities. Whether a function is determined inherently governmental should be addressed prior to issuance of the solicitation.

e. Post-award responsibilities. After award, agencies must play an active, informed role in contract administration. This ensures that contractors comply with the terms of the contract and that Government policies, rather than private ones, are implemented. Through administration and oversight, do not convert the contract, or portion thereof, to a personal service contract.

f. Management controls. When functions not considered to be inherently governmental are involved, additional management attention to the terms of the contract and the manner of performance is necessary. Examples of additional control measures include: developing carefully crafted statements of work and quality assurance plans; establishing audit plans for periodic review of contracts by Government auditors; conducting pre-award conflict of interest reviews; physically separating contractor personnel from Government personnel at the worksite; and requiring contractors to describe what procedures they used to arrive at their recommendations, summarize the substance of their deliberations, and make clear the methods and considerations upon which their recommendations are based.

g. Identification of contractor personnel and acknowledgment of contractor participation. Contractor personnel must be required to identify themselves as such to avoid creating an impression that they are Government officials. All documents or reports produced by contractors are to be suitably marked as contractor products.

h. Degree of reliance. Agencies must have a sufficient number of trained and experienced staff to manage Government programs properly. The greater the degree of reliance on contractors the greater the need for oversight by agencies. In determining

oversight requirements consider: the scope of the activity in question; the technical complexity of the project or its components; the technical capability, numbers, and workload of Government oversight officials; the inspection techniques available; and the importance of the activity. Current contract administration resources shall not be determinative.

i. Exercise of approving or signature authority. Official responsibility to approve the work of contractors is a power reserved to Government officials.

Activities Considered to be Inherently Governmental Functions:

7. The following is an illustrative list of functions considered to be inherently governmental:

- a. The direct conduct of criminal investigation.
- b. The control of prosecutions and performance of adjudicatory functions (other than those relating to arbitration or other methods of alternative dispute resolution).
- c. The command of military forces, especially the leadership of military personnel who are in a combat, combat support or combat service support role.
- d. The conduct of foreign relations and the determination of foreign policy.
- e. The determination of agency policy, such as determining the content and application of regulations, among other things.
- f. The determination of Federal program priorities or budget requests.
- g. The direction and control of Federal employees.
- h. The direction and control of intelligence and counter-intelligence operations.
- i. The selection or non-selection of individuals for Federal Government employment.
- j. The approval of position descriptions and performance standards for Federal employees.
- k. The determination as to what Government property is to be disposed of and on what terms (although an agency may give contractors authority to dispose of property at prices with specified ranges and subject to other reasonable conditions deemed appropriate by the agency).
- l. In Federal procurement activities with respect to prime contracts:

(1) Determining what supplies or services are to be acquired by the Government (although an agency may give contractors authority to acquire supplies at prices within specified ranges and subject to other reasonable conditions deemed appropriate by the agency);

(2) Participating as a voting member on any source selection boards;

(3) Approval of any contractual documents, to include documents defining requirements, incentive plans, and evaluation criteria;

(4) Awarding contracts;

(5) Administering contracts (including ordering changes in contract performance or contract quantities, taking action based on evaluations of contractor performance, and accepting or rejecting contractor products or services);

(6) Terminating contracts; and,

(7) Determining whether contract costs are reasonable, allocable, and allowable.

m. The approval of agency responses to Freedom of Information Act requests (other than routine responses that, because of statute, regulation, or agency policy, do not require the exercise of judgment in determining whether documents are to be released or withheld), and the approval of agency responses to the administrative appeals of denials of Freedom of Information Act requests.

n. The conduct of administrative hearings to determine the eligibility of any person for a security clearance, or involving actions that affect matters of personal reputation or eligibility to participate in Government programs.

o. The approval of Federal licensing actions and inspections.

p. The determination of budget policy, guidance, and strategy.

q. The collection, control, and disbursement of fees, royalties, duties, fines, taxes and other public funds, unless authorized by statute, such as title 31 U.S.C. [[section]] 952 (relating to private collection contractors) and title 31 U.S.C. [[section]] 3718 (relating to private attorney collection services), but not including:

(1) Collection of fees, fines, penalties, costs or other charges from visitors to or patrons of mess halls, post or base exchange concessions, national parks, and similar entities or activities, or from other persons, where the amount to be collected is easily

calculated or predetermined and the funds collected can be easily controlled using standard cash management techniques, and

(2) Routine voucher and invoice examination.

- r. The control of the treasury accounts.
- s. The administration of public trusts.

Activities Not Considered to be Inherently Governmental Functions:

8. The following list is of services and actions that are not considered to be inherently governmental functions. However, they may approach being in that category because of the way in which the contractor performs the contract or the manner in which the government administers contractor performance. When contracting for such services and actions, agencies should be fully aware of the terms of the contract, contractor performance, and contract administration to ensure that appropriate agency control is preserved. This is an illustrative listing, and is not intended to promote or discourage the use of the following types of contractor services:

- a. Services that involve or relate to budget preparation, including workload modeling, fact finding, efficiency studies, and should-cost analyses, etc.
- b. Services that involve or relate to reorganization and planning activities.
- c. Services that involve or relate to analyses, feasibility studies, and strategy options to be used by agency personnel in developing policy.
- d. Services that involve or relate to the development of regulations.
- e. Services that involve or relate to the evaluation of another contractor's performance.
- f. Services in support of acquisition planning.
- g. Contractors' providing assistance in contract management (such as where the contractor might influence official evaluations of other contractors).
- h. Contractors' providing technical evaluation of contract proposals.
- i. Contractors' providing assistance in the development of statements of work.
- j. Contractors' providing support in preparing responses to Freedom of Information Act requests.

k. Contractors' working in any situation that permits or might permit them to gain access to confidential business information and/or any other sensitive information (other than situations covered by the Defense Industrial Security Program described in FAR 4.402(b)).

l. Contractors' providing information regarding agency policies or regulations, such as attending conferences on behalf of an agency, conducting community relations campaigns, or conducting agency training courses.

m. Contractors' participating in any situation where it might be assumed that they are agency employees or representatives.

n. Contractors' participating as technical advisors to a source selection board or participating as voting or nonvoting members of a source evaluation board.

o. Contractors' serving as arbitrators or providing alternative methods of dispute resolution.

p. Contractors' constructing buildings or structures intended to be secure from electronic eavesdropping or other penetration by foreign governments.

q. Contractors' providing inspection services.

r. Contractors' providing legal advice and interpretations of regulations and statutes to Government officials.

s. Contractors' providing special non-law enforcement, security activities that do not directly involve criminal investigations, such as prisoner detention or transport and non-military national security details.

Attachment 8 – Personal Services

This information is from FAR 37.104, *Personal Services Contracts*.

37.104 -- Personal Services Contracts.

(a) As indicated in 37.101, a personal services contract is characterized by the employer-employee relationship it creates between the Government and the contractor's personnel. The Government is normally required to obtain its employees by direct hire under competitive appointment or other procedures required by the civil service laws. Obtaining personal services by contract, rather than by direct hire, circumvents those laws unless Congress has specifically authorized acquisition of the services by contract.

(b) Agencies shall not award personal services contracts unless specifically authorized by statute (e.g., 5 U.S.C. 3109) to do so.

(c)

(1) An employer-employee relationship under a service contract occurs when, as a result of:

(i) the contract's terms or

(ii) the manner of its administration during performance, contractor personnel are subject to the relatively continuous supervision and control of a Government officer or employee. However, giving an order for a specific article or service, with the right to reject the finished product or result, is not the type of supervision or control that converts an individual who is an independent contractor (such as a contractor employee) into a Government employee.

(2) Each contract arrangement must be judged in the light of its own facts and circumstances, the key question always being: Will the Government exercise relatively continuous supervision and control over the contractor personnel performing the contract. The sporadic, unauthorized supervision of only one of a large number of contractor employees might reasonably be considered not relevant, while relatively continuous Government supervision of a substantial number of contractor employees would have to be taken strongly into account (see (d) below).

(d) The following descriptive elements should be used as a guide in assessing whether or not a proposed contract is personal in nature:

(1) Performance on site.

(2) Principal tools and equipment furnished by the Government.

(3) Services are applied directly to the integral effort of agencies or an organizational subpart in furtherance of assigned function or mission.

(4) Comparable services, meeting comparable needs, are performed in the same or similar agencies using civil service personnel.

(5) The need for the type of service provided can reasonably be expected to last beyond 1 year.

(6) The inherent nature of the service, or the manner in which it is provided, reasonably requires, directly or indirectly, Government direction or supervision of contractor employees in order to:--

(i) Adequately protect the Government's interest;

(ii) Retain control of the function involved; or,

(iii) Retain full personal responsibility for the function supported in a duly authorized Federal officer or employee.

(e) When specific statutory authority for a personal service contract is cited, obtain the review and opinion of legal counsel.

(f) Personal services contracts for the services of individual experts or consultants are limited by the Classification Act. In addition, the Office of Personnel Management has established requirements which apply in acquiring the personal services of experts or consultants in this manner (e.g., benefits, taxes, conflicts of interest). Therefore, the contracting officer shall effect necessary coordination with the cognizant civilian personnel office.

Attachment 9 – A&AS Element of Expense and Investment Codes (EEICs)

A&AS Category:

Management and Professional Support Services:

592CA – Program Management Support
592CB – Policy Review and Development
592CC – Specification Development
592CD – Technology Sharing/Utilization (Technology modification, 78011, Industrial Preparedness)
592CE – Logistic Support Services
592CF – Technical Data Collection
592CG – Advertising Services
592CH – Other Management Support Services (Arbitrator fees, witnesses, litigation support)
592IA – CAAS – WEAPON SYSTEM SUPPORT SERVICES (WEPS) – MISSION PROGRAM MANAGEMENT SUPPORT
592IB – Policy Review and Development (WEPS) Reliability and Maintainability Management
592IC – Specification Development (WEPS) Technical Support Centers
592ID – Technology Sharing and Utilization (WEPS)
592IE – Logistic Support Services (WEPS) Post Production Support (system PEC) (excludes 592ST) Software Development Standards
592IF – Technical Data Collection (WEPS)
592IG – Advertising Services (WEPS)
592IH – Other Management Support Services (WEPS)

Studies, Analyses, and Evaluations (SAE)

534BJ – Contract Environmental Services for Environmental Assessments
582BA – CAAS – Studies, Analyses, and Evaluations (Generic)
582BG – CAAS – Studies, Analyses, and Evaluations (Generic) Manpower and Personnel
582BH – CAAS – Studies, Analyses, and Evaluations (Generic) Concept and Plans
582BI – CAAS – Studies, Analyses, and Evaluations (Generic) Operations and Force Structure
582BJ – CAAS – Studies, Analyses, and Evaluations (Generic) Installations and Logistics
582BK – CAAS – Studies, Analyses, and Evaluations (Generic) Science, Technology, Systems, and Equipment
582BL – CAAS – Studies, Analyses, and Evaluations (Generic) Management
582BM – CAAS – Studies, Analyses, and Evaluations (Generic) Intelligence
582BN – CAAS – Studies, Analyses, and Evaluations (Generic) International Security
582BO – CAAS – Studies, Analyses, and Evaluations (Generic) Social and Natural Sciences

582FC – CAAS – Generic ITE Studies and Other Studies
 592BG – CAAS GENERIC SAE MANPOWER PERSONNEL
 59230 – CAAS WEPS SAE MANPWOER PERSONNEL
 592BH – Studies, Analyses, and Evaluations – Concepts and Plans – (Generic)
 592BI – Studies, Analyses, and Evaluations – Operations and Force Structure – (Generic)
 592BJ – Studies, Analyses, and Evaluations – Installations and Logistics – (Generic)
 592BK – Studies, Analyses, and Evaluations – Science, Technology, Systems, and
 Equipment – (Generic)
 592BL – Studies, Analyses, and Evaluations – Management – (Generic)
 592BM – Studies, Analyses, and Evaluations – Intelligence – (Generic)
 592BN – Studies, Analyses, and Evaluations – International Security –(Generic)
 592BO – Studies, Analyses, and Evaluations – Social and Natural Sciences – (Generic)
 592HG – Studies, Analyses, and Evaluations – Manpower and Personnel – (Weapon
 Support)
 592HH – Studies, Analyses, and Evaluations – Concepts and Plans – (Weapon Support)
 592HI – Studies, Analyses, and Evaluations – Operations and Force Structure – (Weapon
 Support)
 592HJ – Studies, Analyses, and Evaluations – Installations and Logistics – (Weapon
 Support)
 592HK – Studies, Analyses, and Evaluations – Science, Technology, Systems, and
 Equipment – (Weapon Support)
 592HL – Studies, Analyses, and Evaluations – Management – (Weapon Support)
 592HM – Studies, Analyses, and Evaluations – Intelligence – (Weapon Support)
 592HN – Studies, Analyses, and Evaluations – International Security – (Weapon Support)
 592HO – Studies, Analyses, and Evaluations – Social and Natural Sciences – (Weapon
 Support)

Engineering and Technical Services

553DF – Engineering and Technical Services (Generic) Contract Plant Services
 553JF – Engineering and Technical Services – (Weapon System Support Services)
 Contract Plant Services
 584DF – Engineering and Technical Services (Generic) Engineering and Technical
 Services Contract Plant Services
 584DG – Engineering and Technical Services (Generic) Contract Field Services
 584DH – Engineering and Technical Services (Generic)
 584JF – Engineering and Technical Services (Weapon System Support Services (WEPS))
 Contract Plant Services
 584JG – Engineering and Technical Services (WEPS) Contract Field Services
 584JH – Engineering and Technical Services (WEPS)
 584PN – Contract Engineering and Technical Services (AFFTC/FM Reimbursable Use
 Only)

Defense Environmental Restoration Account (DERA)

- 53500 – Installation Restoration Program (IRP)
- 53501 – Preliminary Assessment/Site Inspection (PA/SI)
- 53502 – Remedial Investigating/Feasibility Study (RI/SI)
- 53503 – Interim Remedial Action (IRA)
- 53504 – Interim Remedial Design (IRD)
- 53505 – Remedial Action (RA)
- 53506 – Management
- 53507 – Potentially Responsible Party (PRP)
- 53600 – Building Demolition Debris Removal (BDDR)
- 53700 – Other Hazardous Waste (OHW)

Attachment 10 – Labor Hour Conversion Method

The preferred method for calculating A&AS CMEs is to divide the total number of labor hours purchased by a man-hour conversion factor, 1764 hours. If the total number of labor hours purchased is not available, use the labor cost method described below. (For Federally Funded Research and Development Center (FFRDC) staff-years of technical effort (STEs), the appropriate man-hour conversion factor is 1810 hours. Do not use the labor cost method for calculating STEs because of their significantly higher labor rates relative to organic labor rates.)

The following procedures apply to service contracts in excess of \$10,000.00. They are based on the guidance in AFI 38-201, *Determining Manpower Requirements*, Chapter 6, *Contract Manpower Equivalents*. The calculation is made based on data at the Division/Functional Account Code (FAC) level.

PROCEDURES

1. The requiring activity, i.e., the organization with the requirement for the services, is responsible for calculating the number of CMEs and for providing that information to the center manpower office for incorporation in the center's unit manning document. The center manpower office is responsible to assist the requiring activity, as necessary, in making these calculations.

2. Identify the aggregate labor cost for each FAC for the service contractors from the data on the Air Force Form 9, *Request for Purchase*, and/or from the statement of work.

EXAMPLE

<u>Organization</u>	<u>FAC</u>	<u>SERVICE CONTRACT (Labor Cost Only)</u>
CE	44XX	\$700,000.00
		490,000.00
		<u>350,000.00</u>
		\$1,540,000.00

3. Review function(s) to determine average civilian grade and AFSC utilized.

EXAMPLE

<u>Organization</u>	<u>FAC</u>	<u>NUMBER OF CIVILIANS/GRADE</u>
CE	44XX	1 GS-13 XXXX
		5 GS-12 XXXX
		1 GS-05 XXXX

Average grade, in this case would be a grade GS-12 and the AFSC would be XXXX. (If no grade is predominant within the organization, use the center's journeyman grade. If no AFSC is predominant, use the AFSC that most closely aligns with the mission of the organization.)

4. AFI 65-503, *Air Force Cost and Planning Factors*, standard composite cost tables for military and civilian personnel, Table 26-1, *Civilian Standard Composite Pay Rates by Grade*, has the current salary with retirement benefits, health benefits, and pay raises included. The table is available through the SAF/FM home page (www.saffm.hq.af.mil). Once into their home page go to the “Publications” button on the lower left side of the screen, then select “AFI 65-503” on the lower right side of the screen, then scroll down to select the appropriate table (26-1) and obtain the GS-12 annual salary.

EXAMPLE

GS/12 \$72,522.00

5. To determine the number of CMEs, divide the total contract labor cost by the salary of the average grade employee.

EXAMPLE

$$\frac{\$1,540,000.00}{\$72,522.00} = 21.234 \text{ or } 21 \text{ CMEs } (.50 \text{ round up; } .49 \text{ remains the same})$$

6. Prepare the necessary paperwork, utilizing the above data, to place 21 CMEs on the unit manning document (UMD) in CE, under FAC 44XX, with AFSC XXXX.

Attachment 11 – A&AS Management Plan Format

A&AS Management Plans are submitted on an "as required" basis . The center A&AS focal point, with input from the requiring activities, is responsible for development of the management plan. The PB-15 Report may be used to satisfy the requirement for the management plan.

The A&AS Management Plan consists of two parts:

Part I is a brief narrative describing the A&AS activities that are most significant in terms of CMEs (or STEs) and dollars and most critical to accomplishing the center's mission.

Part II is the more detailed Excel spreadsheet used for the PB-15 Report. It includes the following data fields: the "As Of" date; the Program Title; Appropriation; Program Element Code (PEC); Budget Project Activity Code (BPAC)/Operations and Maintenance (O&M) Project Procurement Number; Air Force EEIC; Organizational Account Code (OAC)/Organizational Budget Account Number (OBAN); the name, organization, and DSN of the primary point of contact for the data; the type of service i.e., whether it is A&AS or FFRDC; the name of the contractor; and information on dollars and number of CMEs for each of the three A&AS reporting category and dollars and STEs for the FFRDC contractors for the current year and the three following years.

Detailed instructions for the AA&S Management Plan will be provided in a separate call letter.