



## 1. PURPOSE

The purpose of this document is to provide policy and guidance on the content and approval for Acquisition Plans (APs) within the SPAWAR Claimancy.

An AP documents the actions necessary to execute the approach described in the Acquisition Strategy. The principal purpose of acquisition planning is to ensure that the Government meets its needs in the most effective, economical and timely manner.

Related guidance is available under CMPG section [1.2.5 Develop AP](#).

## 2. POLICY

SPAWAR's written acquisition plans ensure that the Government meets its requirements in the most effective, economical and timely manner by focusing on competition and the acquisition of commercial items or non-developmental items. Single contracts exceeding the thresholds of AP submission shall have a written and approved AP in accordance with this SCPPM document.

### 2.1 AP Submission Thresholds ([DFARS 207.103](#)):

- a. Acquisition for development (as defined in [FAR 35.001](#)) when total costs of all contracts for the acquisition Program is estimated at \$10M or more;
- b. Acquisitions for production or services when the total cost of all contracts for the acquisition program is estimated at \$50M or more for all years or \$25M or more for any fiscal year; and
- c. Any other action considered appropriate — e.g., single contracts for products or services expected to exceed the thresholds in b. above;
- d. Written plans are not required in acquisitions for a final buy out or a one-time buy.

### 2.2 AP Contents and Process

DoD acquisition policy and associated business practices require PMs to describe their business strategies in substantial detail to include overall approach, contract types, source selection procedures, expected competition, incentive structures, and risk consideration. See [DFARS PGI 207.105](#) for contents of written acquisition plans.

- a. If this information is not provided, strategy approval will be delayed until it is made available (USD(AT&L)).
- b. No RFP for any contemplated contract associated with any program covered in a submitted AP may be released prior to approval of that AP. PDUSD (AT&L) memo, [Improving Milestone Process Effectiveness](#), describes the milestone or peer review to complete before RFP release.
- c. Risk consideration needs to clearly define each associated risk in the form of "Vulnerability, Adverse Event, and Consequence" as listed in the DASN(AP) guidance, [Risk Narratives for Acquisition Plans and Strategies](#).

### 2.3 Protecting Procurement Integrity

Acquisition planning should be accomplished with in-house resources to minimize the potential for Procurement Integrity Act violations and Organizational Conflicts of Interest (OCIs). Contractor support services may not be used in the development of APs unless prior written approval is obtained from the cognizant Contracting Officer after consultation with Office of Counsel. See  [OCI SCPPM](#).

### 2.4 Annual AP Review

APs shall be reviewed at least annually and revised to reflect current circumstances.

- a. A Major Revision is based on a 25% or greater change in total program amount or a significant change to the contracting strategy (e.g., competitive to sole source; MAC to single award; Best Value to Technically Acceptable;



separately contracting for a requirement that was planned to be included in Omnibus contracts; or changing the approved requirement from commercial to non-commercial). Major Revisions shall be accompanied by a signature page/Brief Sheet (with all previous signatory positions signing again) and a statement of facts as to the circumstances of the revision.

- b. A Minor Revision is a less than 25% change in total planned acquisition amount.

## 2.5 APs for IDIQ Service Requirements

- a. Any increase in ceiling that is the result of projects, programs, or customers not anticipated in the original AP: provide rationale for supporting them in the J&A required for any ceiling increase. SPAWAR 2.0 approves the J&A.
- b. Use of an IDIQ contract by any program, service or customer not listed in the original AP: If a concurrent increase in ceiling of the IDIQ was the result of supporting programs, customers, activities not in the original AP, a thorough explanation as to why this support was provided to be stated in writing in the required J&A.

## 2.6 Non-DOD Acquisitions

Contracting Officers must determine that fees associated with the acquisition are fair and reasonable. Notify the customer of any fees associated with the acquisition, and the total costs prior to sending funds to a non-DoD agency. The Acquisition Strategy, Acquisition Plan, Business Clearance Memorandum, or Memo to File is used to document the business decision to use Non-DoD/Interagency contract vehicles. Documentation must include name of person and date contacted.

## 3. RESPONSIBILITIES

**3.1 Program Director/PM/Technical Code** has overall responsibility for acquisition planning.

**3.2 PMW/Technical Code** forms a team consisting of all those responsible for any significant aspects of the acquisition (i.e., contracts, fiscal, legal, other technical). The PMW/Technical Code has life-cycle management responsibility and cognizance over the technical aspects of the program. The PMW/Technical Code ensures:

1. The AP preparation effort is coordinated with the PCO at the earliest possible date to ensure appropriate strategy is pursued. When acquisitions are planned early, there is time to critically review the previous procurement to assess what made it successful or not.
2. APs are coordinated, reviewed and approved by the appropriate signature authority.

### 3.3 Contracting Officer

1. Ensures all applicable regulations and procedures have been satisfied and the business aspects are appropriate to achieve technical objectives in the most cost effective manner. The submitted AP is in the proper format and all required information has been accurately presented.
2. Apprises PMWs/Technical Codes of changes in AP requirements. In the case of follow-on contracts, employ lessons learned from the previous contract.
3. Resolves any differences of opinion are resolved before submitting the AP for approval.
4. For non-DoD vehicles, determine whether the fees associated are fair and reasonable; notify customer of interagency acquisition fees and costs; document in the AS, AP, BCM, or Memo to File.



3.4 SPAWAR Director of Office of Small Business Programs (OSBP) reviews the AP against the proposed acquisition strategy.

- 1. Approves the acquisition strategy being provided (if the AP is acceptable).
- 2. Provides insight into the requirements of the small business programs.

4. PROCEDURE

- 1. The **Program Director/PM/Technical Code** determines whether a Program-wide AP, a single contract AP, or a group of individual acquisitions under one AP will cover all of its procurements and inter/intra-agency acquisitions. Where practicable, each PMW or comparable SSC organizational unit will submit a Program-wide AP covering all of its acquisitions or a single contract AP for actions above thresholds described in the [Policy](#) section.
- 2. The **PMW/Technical Code** obtains AP number from the contracting office. All AP numbers are five digits consisting of the FY and sequential number of the AP (e.g., first AP of FY14 is 14-001).
  - a. HQ AP numbers are maintained by SPAWAR 2.3.1 ([HQ\\_Contracts\\_Policy@navy.mil](mailto:HQ_Contracts_Policy@navy.mil)).
  - b. SSC-Pacific control numbers for all procurements may be obtained from the Electronic Procurement Log Book at N:\LOGS\Procurement Action Log.xls.
- 3. The **PMW/Technical Code** properly formats the AP to:
  - a. Be concise (generally less than 25 pages in length);
  - b. Include all known acquisitions, including those to be obtained from other activities or agencies; and
  - c. Follow AP templates and samples found in the [Toolbox](#).
- 4. The **PMW/Technical Code** prepares AP contents to include:
  - a. The rationale for selection of contract type IAW [FAR 16.103\(d\)](#). This requirement applies to all new contracts and task orders. See [CMPG 1.2.2.1 Determine Contract Type](#).
  - b. The selection of the Source Selection Authority for the acquisition(s).
  - c. Additional [Toolbox](#) AP content resources.
- 5. The **PMW/Technical Code** obtains necessary concurrences and [Approvals](#) are recorded in the Route Sheet. AP contents are reviewed prior to submission to the PEO or HCA:
  - a. Representatives of SPAWAR 2.0, SPAWAR 05-2 IT & Net-Centric Standards, SPAWAR 08-B IT Oversight, OSBP, and the cognizant PMW/PD shall concur with AP contents.
  - b. Field APs
    - i. Are coordinated within their perspective management chain. SSC Pacific and SSC Atlantic APs include a Brief Sheet recording internal approvals, which shall include OSBP and the cognizant HQ PM (as applicable).
    - ii. Field APs and Brief Sheets shall be sent to SPAWAR 2.3.1 Policy ([HQ\\_Contracts\\_Policy@navy.mil](mailto:HQ_Contracts_Policy@navy.mil)) for applicable HQ review, logging, and concurrences before they are sent for SPAWAR 2.0 approval.
    - iii. SPAWAR 2.0 approves, signs, and dates the AP.

SPAWAR 2.3.1 Policy	Review/log-in of AP
SPAWAR 2.0	For Approval, Signature, and Date
Field Activity	For Return of Original AP

- 6. The **PMW/Technical Code** reviews the AP annually ([FAR 7.104\(a\)](#)) and revises it to incorporate changes since issuance or last review. Major revisions are re-approved as documented in the Brief Sheet (with all previous signatory



positions signing again), and include a statement of facts as to the circumstances of the revision.

## 5. APPROVALS

### 5.1 Initial AP

Approvals are documented in the [Brief Sheet](#).

Type	SPAWAR 2.3.1 Review	Approval Authority
\$100M* < x	N/A	DASN(AP)
APs in support of PEO C4I, PEO Space, PEO EIS, or JPEO JTNC		PEO/JPEO Director of Contracts
All other APs. APs originating from SSC-Pacific or SSC-Atlantic are signed by the Chief of Contracting Office before submission.		SPAWAR Director of Contracts 2.0

\* Acquisition value for all years (including options) is over \$100M.

### 5.2 Major Revisions to AP

Require re-approval, documented in the Brief Sheet with all previous signatory positions signing again, and a statement of facts as to the circumstances of the revision.

## 6. TOOLBOX

### 6.1 Acquisition Plans

-  [AP Sample](#) - 2008
-  [AP Brief Sheet](#)
-  [AP Route Sheet](#) – 2010
- [DON AP Guide \(DRAFT\)](#) – May 2011
- [SPAWAR AP Guide](#) – Jan 2012
- [Submission/Review Tips for Acquisition Plans](#) – Jan 2014
- [Improving Milestone Process Effectiveness](#) – Oct 2011

### 6.2 AP-Related Policy and Guidance

-  [OCI SCPPM](#)
- [PEO C4I Guidance on SSA Selection](#) – Aug 2010
- [Technology Development Strategy and Acquisition Strategy](#) – Aug 2010
- [Naval Open Architecture Guidebook – v2.0 for PMs](#)
- [DASN \(AP\) Risk Narratives for Acquisition Plans and Strategies Guide](#)

## 7. CHANGE HISTORY

Updated material is highlighted by *purple text* and an Alert/New  icon.

Date	Description of Changes
December 2015	Removed obsolete SSC-Pacific INST 4205.2 from Toolbox
August 2015	Added guidance related to risk consideration.
August 2014	Content converted to new SCPPM format; reorganized content; and add content related to non-DoD Acquisitions.
July 2014	Last version created in old format. Most recent change was the inclusion of interagency/non-DoD acquisitions.