Technical Guide on Documentation Requirements for Open Market Contract Acquisitions of Information Resources

Asa L. Shaw, Jr., William R. Kivett, and James Y. Taylor

JUNE 1990
INTRODUCTION

This document is intended as a guide to assist requestors in formulating and submitting the required “Complete Package” for Information Resources (IR) acquisitions. Advance discussions with cognizant procurement personnel are strongly recommended for complex IR requirements or for those requestors new to the acquisition process.

“Open Market” means the requirement either is not available on GSA Schedule Contract or exceeds the $300,000 threshold and/or the quantity Maximum Order Limitation of the GSA Schedule Contract. This document only addresses open market contract acquisitions (i.e., in excess of the $25,000 small purchase threshold).

It is noted that this document contains some specifications of LaRC organizations and policy; other NASA installations should revise these areas to reflect their organizations and any different policies.
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Procurement Plan</td>
<td>10</td>
</tr>
<tr>
<td>Summary/Hardware</td>
<td>10</td>
</tr>
<tr>
<td><strong>PART II - SOFTWARE</strong></td>
<td></td>
</tr>
<tr>
<td>General</td>
<td></td>
</tr>
<tr>
<td>Ways to Meet a Requirement</td>
<td>12</td>
</tr>
<tr>
<td>State-of-the-Art Requirement</td>
<td>12</td>
</tr>
<tr>
<td>Validation of Compilers</td>
<td>12</td>
</tr>
<tr>
<td>Advance Procurement Planning</td>
<td>13</td>
</tr>
<tr>
<td>Specifications</td>
<td>13</td>
</tr>
<tr>
<td>Data Rights</td>
<td>13</td>
</tr>
<tr>
<td>Other Than Full and Open Competition (Sole Source)</td>
<td></td>
</tr>
<tr>
<td>Market Survey</td>
<td>13</td>
</tr>
<tr>
<td>JOFOC</td>
<td>13</td>
</tr>
<tr>
<td>Documentation to Support the Acquisition of Commercially Available Software</td>
<td>14</td>
</tr>
<tr>
<td>FIPS Checklist</td>
<td>15</td>
</tr>
<tr>
<td>SOW or Specific Make and Model Specification</td>
<td>15</td>
</tr>
<tr>
<td>Purchase Request</td>
<td>15</td>
</tr>
<tr>
<td>Warranty</td>
<td>15</td>
</tr>
<tr>
<td>Options for Increased Quantities</td>
<td>15</td>
</tr>
<tr>
<td>Maintenance</td>
<td>15</td>
</tr>
<tr>
<td>Technology Updates</td>
<td>15</td>
</tr>
<tr>
<td>Acquisition Alternatives</td>
<td>15</td>
</tr>
<tr>
<td>Specific DPA From GSA</td>
<td>16</td>
</tr>
<tr>
<td>Findings to Support the Use of Compatibility-Limited Requirements</td>
<td>16</td>
</tr>
<tr>
<td>Procurement Plan</td>
<td>17</td>
</tr>
<tr>
<td><strong>Full and Open Competition (Competitive)</strong></td>
<td></td>
</tr>
<tr>
<td>Types of Competitive Procurements</td>
<td>17</td>
</tr>
<tr>
<td>SEC</td>
<td>17</td>
</tr>
<tr>
<td>HNOE</td>
<td>17</td>
</tr>
<tr>
<td>Documentation Required</td>
<td></td>
</tr>
<tr>
<td>Documentation to Support the Acquisition of Commercially Available Software</td>
<td>18</td>
</tr>
<tr>
<td>FIPS Checklist</td>
<td>18</td>
</tr>
<tr>
<td>SOW</td>
<td>18</td>
</tr>
<tr>
<td>Purchase Request</td>
<td>19</td>
</tr>
<tr>
<td>Warranty</td>
<td>19</td>
</tr>
<tr>
<td>Options for Increased Quantities</td>
<td>19</td>
</tr>
<tr>
<td>Maintenance</td>
<td>19</td>
</tr>
<tr>
<td>Technology Updates</td>
<td>19</td>
</tr>
<tr>
<td>Acquisition Alternatives</td>
<td>19</td>
</tr>
<tr>
<td>Specific DPA From GSA</td>
<td>20</td>
</tr>
<tr>
<td>Findings to Support the Use of Compatibility-Limited Requirements</td>
<td>20</td>
</tr>
<tr>
<td>Procurement Plan</td>
<td>21</td>
</tr>
<tr>
<td><strong>Summary/Software</strong></td>
<td>21</td>
</tr>
<tr>
<td>Section</td>
<td>Page</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>General</td>
<td>23</td>
</tr>
<tr>
<td>Action Prior to Submitting a Purchase Request</td>
<td>23</td>
</tr>
<tr>
<td>Advance Procurement Planning</td>
<td>23</td>
</tr>
<tr>
<td>Other Than Full and Open Competition (Sole Source)</td>
<td>23</td>
</tr>
<tr>
<td>Market Survey</td>
<td>23</td>
</tr>
<tr>
<td>JOFOC</td>
<td>23</td>
</tr>
<tr>
<td>Documentation to Support Commercial ADP Maintenance Service Acquisitions</td>
<td>24</td>
</tr>
<tr>
<td>FIPS Checklist</td>
<td>24</td>
</tr>
<tr>
<td>SOW</td>
<td>24</td>
</tr>
<tr>
<td>Purchase Request</td>
<td>24</td>
</tr>
<tr>
<td>Options to Extend the Term of the Contract</td>
<td>25</td>
</tr>
<tr>
<td>Acquisition Alternatives</td>
<td>25</td>
</tr>
<tr>
<td>Specific DPA From GSA</td>
<td>25</td>
</tr>
<tr>
<td>Procurement Plan</td>
<td>25</td>
</tr>
<tr>
<td>Full and Open Competition (Competitive)</td>
<td>26</td>
</tr>
<tr>
<td>Types of Competitive Procurements (Hardware Maintenance Only)</td>
<td>26</td>
</tr>
<tr>
<td>SEC</td>
<td>26</td>
</tr>
<tr>
<td>Hardware Maintenance</td>
<td>26</td>
</tr>
<tr>
<td>BNOE</td>
<td>26</td>
</tr>
<tr>
<td>Documentation Required</td>
<td>26</td>
</tr>
<tr>
<td>Documentation to Support Commercial ADP Maintenance Service Acquisitions</td>
<td>26</td>
</tr>
<tr>
<td>FIPS Checklist</td>
<td>27</td>
</tr>
<tr>
<td>Purchase Request</td>
<td>27</td>
</tr>
<tr>
<td>Options to Extend the Term of the Contract</td>
<td>27</td>
</tr>
<tr>
<td>Acquisition Alternatives</td>
<td>27</td>
</tr>
<tr>
<td>Specific DPA From GSA</td>
<td>27</td>
</tr>
<tr>
<td>Procurement Plan</td>
<td>28</td>
</tr>
<tr>
<td>Summary/Maintenance</td>
<td>28</td>
</tr>
<tr>
<td>Acronyms</td>
<td>30</td>
</tr>
</tbody>
</table>
I. Automated Data Processing (ADP) Equipment (ADPE)—Hardware

A. General

1. There are several ways to meet an ADPE requirement. Before submitting a purchase request, check other sources for capability to meet the requirement as follows:
   a. Availability from Excess (call Excess Property Management, 43561).
   b. Sharing with other government agencies (for short-term need only). Check current Federal Information Resources Management Regulation (FIRM R) Bulletin 8; if the requirement can be met by sharing, only a transfer of funds is involved—no procurement actions are necessary.
   c. Contact the Installation's ADP Officer to check for possible sharing or transfer of item(s) within the Installation to meet the requirement—no procurement actions are involved, although transfer of funds may be involved.

2. If state-of-the-art ADPE is required, contact the ADP Group Leader to coordinate canvassing of industry per FIRMR 201-32.107 (comparable to a Request for Information). Under this method, a proposed specification is forwarded to industry before release of the formal solicitation. Offerors are allowed at least 30 days to submit written comments—60 days if the acquisition is complex. All comments received are considered when developing the final specification for the solicitation.

3. Consult with the ADP Group Leader for advance procurement planning as soon as a requirement materializes for which funding is or will be available.

4. Specifications—The following types of specifications may be used, in descending order of preference:
   a. Functional
   b. Equipment Performance
   c. Plug-to-Plug Compatible Functionally Equivalent
   d. Brand Name or Equal (BNOE)
   e. Specific Make and Model (Sole Source)

B. Other Than Full and Open Competition (Sole Source)

The following items shall be implemented as appropriate:

1. Market Survey for a “Justification for Other Than Full and Open Competition” (JOFOC)—This is accomplished as follows:
   a. Trade journals, shows, etc.
   b. Other technical publications
   c. Sources Sought Synopsis in Commerce Business Daily (CBD) (JOFOC Committee generally requires this; see I.B.2 for JOFOC details)
(1) Can precede submission of purchase request, etc.

(2) Contact the Small Business Specialist, Acquisition Operations Branch (AOB), to accomplish this.

(3) Results must be addressed in the JOFOC.

2. JOFOC


b. Include Market Survey Results (see I.B.1. on the previous page).

c. Required for a contemplated procurement using a Specific Make and Model Specification, notwithstanding the existence of more than one responsible source for the specific make and model item(s).

d. Contact the Projects and Automated Data Processing (P&ADP) Contracts Branch Head for information or assistance on a JOFOC.

3. Acquisition Plan  The requestor prepares this plan. It constitutes special management approval of the acquisition and contains certain documentation requirements of the FIRMR.

a. Total Estimated Amount of Procurement:

(1) < $100K: Approval by Installation ADP Officer

(2) 100K - $2.5M: Approved by Installation Deputy Director

(3) > $2.5M: Approved by NASA Associate Administrator for Management, HQ Code N.

b. Coordinate preparation/approval of plan with Installation ADP Officer.

c. Acquisition Division requires copy of the approved plan before release of the solicitation.

d. Contents of plan:

(1) Analysis of Requirements (include system/item life and any options for increased quantities, maintenance, and technology update requirements)

(2) Analysis of Technical Alternatives

(3) Comparative Cost Analysis

(4) System Description

(5) Funding Data

(6) Schedules

(7) Acquisition Method
(8) Security and Privacy Safeguards

(9) Description of Planned Actions to Foster Competition for Subsequent Acquisitions

(10) Long Range Requirements

(11) Annual Information Technology Systems Plan Cross-Reference

(12) Software Conversion Study

(13) Federal Information Processing Standards (FIPS) Waivers

4. FIPS Checklist—Provided by Contract Specialist; the requestor executes and returns it to the Specialist indicating all FIPS that apply to the procurement (specific solicitation language for applicable FIPS and mandatory compliance by the Contractor are required).

5. Statement of Work (SOW) or Specific Make and Model Specification
   a. Define minimum requirements, including options, maintenance, and technology updates.
   b. Call either the ADP Group Leader or P&ADP Contracts Branch Head for SOW advice (SOW will vary with technical requirements, options, etc.).

6. Purchase Request
   a. Contains all approvals and certification of funds.
   b. Lists all items required.
   c. Includes all options and funding therefor (by fiscal year (FY) if appropriate).
      (1) Show funding for initial requirement and use that as the total estimated cost of the purchase request.
      (2) List options(s) and dollar estimate for each option in description portion of the purchase request (do not include these dollar amounts in the estimated cost column of the purchase request because new purchase requests are required for options).

7. Warranty
   a. If other than the standard commercial warranty for the required product(s) is necessary, submit a memorandum to 126/Contracting Officer citing this need and provide the details required by Federal Acquisition Regulation (FAR) 46.702 and 46.703 (Note: Procurement Officer approval is required to include warranty provisions and clauses in a solicitation/contract). Contact the Contract Specialist to obtain the memorandum requirements.
   b. Select the appropriate warranty clause from FAR 46.710(a), (b), or (c), in conjunction with the Contract Specialist.
8. Options for Increased Quantities

a. Include all anticipated option requirements, in firm quantities, for which funds are reasonably certain to become available during the term of the contract (see I.B.6.c.).

b. If a quantity range is appropriate in lieu of fixed quantities, an indefinite quantity type contract would be appropriate. Contact the Contract Specialist for details.

9. Maintenance

a. If maintenance of the system/item by the Contractor will be required following either acceptance or a subsequent warranty period, consider including this as part of the contract.

b. Maintenance services must be at firm-fixed-price monthly rates and may be provided, via annual options to extend the term of the contract, up to a total 5-year contract term inclusive of all contract requirements.

10. Technology Updates

a. If the procurement will contain options for increased quantities, and if the required ADPE is subject to rapid technological enhancement (e.g., workstations), technology update provisions may be included in the solicitation/contract with respect to the optional items only.

b. Discuss this potential requirement with either the ADP Group Leader or the Contract Specialist assigned to the procurement.

11. Acquisition Alternatives

a. Depending upon the total estimated cost of the procurement, the flow of fiscal year funding, and positive needs, consider the following acquisition alternatives that will meet the user's needs:

   (1) Outright Purchase

   (2) Lease With Option to Purchase (LWOP)

   (3) Lease to Ownership Plan (LTOP)

   (4) Straight Lease

b. Evaluate the proposed acquisition alternatives to determine the lowest overall cost alternative to the government over the system/item life (the system/item life is determined in the Requirements Analysis Section of the ADPE Acquisition Plan—see I.B.3.d.(1)).

12. Specific Delegation of Procurement Authority (DPA) from General Services Administration (GSA)
a. A specific DPA from GSA is required if the estimated price of the procurement exceeds either of the following thresholds:

(1) $250,000 purchase price, or

(2) $100,000 annual lease rate (based on monthly rental charges), including maintenance.

b. Assist Contract Specialist in preparing the Installation Agency Procurement Request (APR), which is submitted to HQ, Code HS (Director, Program Operations Division). Code NTD prepares the official NASA APR and forwards it to GSA.

c. Allow 9 weeks from the date the Installation APR is forwarded to HQ for GSA approval/disapproval.

13. Findings to Support the Use of Compatibility-Limited Requirements—Applicable if requirement is to augment or replace existing APDE, services limited to ADPE, or services that are compatible with the existing operating system or with ADPE.

a. Include a software conversion study, if required.

b. Must be justified on the basis of agency mission-essential data processing requirements and on economy and efficiency.

c. Must meet the requirements of FIRMR 201-30.009-3. Factors to be considered in the justification determination are set forth in 201-30.009-3(b), and are as follows:

(1) The essentiality of exiting software, without redesign, to meet agency critical mission needs; e.g., the continuity of operations may be so critical that conversion is not a viable alternative.

(2) The additional risk associated with conversion if compatibility-limited requirements are not used and the extent to which the government would be injured, financially or otherwise, if the conversion to the new ADP system fails.

(3) The additional adverse impact of factors such as delay, lost economic opportunity, and less than optimum utilization of skilled professionals if compatibility-limited requirements are not used.

(4) The steps being taken to foster competitive procedures in the augmentation or replacement acquisition.

(5) The off-loading of selected applications programs to commercial data processing service facilities as an alternative to conversion.

(6) The continuation of ADP services for selected application programs with the present commercial ADP services contractor as an alternative to conversion of all programs in the present ADP resource system.

(7) The extent of essential parallel operations; i.e., the need to continue operation of the old system in parallel with the new system until the new system can fully support the mission needs.

(8) The feasibility of competing conversion requirements to be performed on a guaranteed basis under a solicitation that couples the conversion effort and ADP services.
in a single contract, including consideration of the basis for a calculation of liquidated damages provisions for conversion performance failure.

14. Procurement Plan

a. A Procurement Plan is required for all negotiated acquisitions in excess of $500,000. Approval must be effected before RFP release.

b. The approval levels for this plan are:

(1) >$500K to $5M (Langley Form PROC./P-147): Procurement Officer

(2) >$5M to $25M (NASA Form 1451): Center Director

(3) >$25M (Master Buy): NASA HQ, Code HP may elect to approve the plan; otherwise, the Center Director approves it (NASA Form 1451)

C. Full and Open Competition (Competitive)

The following items will be implemented as appropriate:

1. Types of Competitive Procurements:

a. Sealed Bid—Invitation for Bid (IFB)

(1) If it is anticipated that discussions with offerors will not be required, the requirement is for standard off-the-shelf items, and evaluation/scoring of offers is not necessary; sealed bid procedures are appropriate and will be used.

(2) Due to data rights problems, sealed bidding is not appropriate if proprietary software is required to be delivered under the contract.

(3) Contact the ADP Group Leader for guidance on sealed bidding.

b. Source Evaluation Committee (SEC)/Source Evaluation Board (SEB) and the Evaluation Plan

(1) Recommend, in writing to the Contracting Officer, a technical SEC or SEB (SEB >$25M) as appropriate, to evaluate proposals received.

(2) Prepare and submit to the Contracting Officer an SOW defining the minimum requirements (including options, maintenance, and technology updates, if appropriate).

(3) Establish the Evaluation Plan to be used in evaluating proposals.

c. BNOE

(1) Submit a memorandum to the Contracting Officer justifying the use of the BNOE, if required. Consult with the Contract Specialist for guidance on this.

(2) Establish, in a memorandum to the Contracting Officer, the salient features of the specified brand name item to establish the government’s minimum technical requirements, and to be used in evaluating items proposed to be equal to the specified brand name item. Also include any additional requirements (e.g.,
installation, options, training, maintenance, and benchmark test for other than
the specified brand name).

(3) Evaluation Plan and Committee procedures are not required.

2. Documentation required, in addition to that described in C.1.b., and c. is as follows:

a. ADPE Acquisition Plan—The requestor prepares this plan. It constitutes special
management approval of the acquisition and contains certain documentation require-
ments of the FIRMR.

(1) Total Estimated Amount of Procurement:

(a) <$100K: Approved by Installation ADP Officer
(b) $100K - $2.5M: Approved by Installation Deputy Director
(c) > $2.5M: Approved by NASA Associate Administrator for Management, HQ
   Code N

(2) Coordinate preparation/approval of plan with Installation ADP Officer.

(3) Acquisition Division requires a copy of the approved plan before release of the
   solicitation.

(4) Contents of plan:

(a) Analysis of Requirements (include system/item life and any options for in-
   creased quantities, maintenance, and technology update requirements)

(b) Analysis of Technical Alternatives

(c) Comparative Cost Analysis

(d) System Description

(e) Funding Data

(f) Schedules

(g) Acquisition Method

(h) Security and Privacy Safeguards

(i) Long Range Requirements

(j) Annual Information Technology Systems Plan Cross-Reference

(k) Software Conversion Study

(l) FIPS Waivers

b. FIPS Checklist—Provided by Contract Specialist; the requestor executes and returns
it to the Specialist indicating all FIPS that apply to the procurement (specific
solicitation language for applicable FIPS and mandatory compliance by the Contractor
are required).
c. SOW or Salient Features for BNOE

(1) Define minimum requirements, including options, maintenance, and technology updates.

(2) Call either the ADP Group Leader or P&ADP Contracts Branch Head for SOW advice (SOW will vary with technical requirements, options, etc.).

d. Purchase Request

(1) Contains all approvals and certification of funds.

(2) Lists all items required.

(3) Includes all options and funding therefor (by FY if appropriate).

   (a) Show funding for initial requirement and use that as the total estimated cost of the purchase request.

   (b) List option(s) and dollar estimate for each option in description portion of the purchase request (do not include these dollar amounts in the estimated cost column of the purchase requests because new purchase requests are required for options).

e. Warranty

(1) If other than the standard commercial warranty for the required product(s) is necessary, submit a memorandum to 126/Contracting Officer citing this need and providing the details FAR 46.702 and 46.703 require. (Note: Procurement Officer approval is required to include warranty provisions and clauses in a solicitation/contract.) Contact the Contract Specialist to obtain the memorandum requirements.

(2) Select the appropriate warranty clause from FAR 46.710(a), (b), or (c), with the Contract Specialist.

f. Options for Increased Quantities

(1) Include all anticipated option requirements, in firm quantities, for which funds are reasonably certain to become available during the term of the contract (See I.B.6.c.).

(2) If a quantity range is appropriate in lieu of fixed quantities, an indefinite quantity type contract would be appropriate. Contact the Contract Specialist for details.

g. Maintenance

(1) If maintenance of the system/item by the Contractor will be required following either acceptance or a subsequent warranty period, consider including this as part of the contract.

(2) Maintenance services must be at firm-fixed-price monthly rates and may be provided, via annual options to extend the term of the contract, up to a total 5-year contract term inclusive of all contract requirements.
h. Technology Updates

(1) If the procurement will contain options for increased quantities and if the required ADPE is subject to rapid technological enhancement (e.g., workstations), technology update provisions may be included in the solicitation/contract with respect to the optional items only.

(2) Discuss this potential requirement with the ADP Group Leader or with the Contract Specialist assigned to the procurement.

i. Acquisition Alternatives

(1) Depending upon the total estimated cost of the procurement, the flow of fiscal year funding, and positive needs, consider the following acquisition alternatives that will meet the user's needs:

(a) Outright Purchase

(b) LWOP

(c) LTOP

(d) Straight Lease

(2) Evaluate the proposed acquisition alternatives to determine the lowest overall cost alternative to the government over the system/item life (the system/item life is determined in the Requirements Analysis Section of the ADPE Acquisition Plan—see I.B.3.d.(1)).

j. Specific DPA from GSA

(1) A specific DPA from GSA is required if the estimated price of the procurement exceeds either of the following thresholds:

(a) $2,500,000 purchase price, or

(b) $1,000,000 annual lease rate (based on monthly rental charges), including maintenance

(2) Assist Contract Specialist in preparing the Installation APR, which is submitted to HQ, Code HS. HQ, Code NTD then prepares the official NASA APR and forwards it to GSA.

(3) Allow 9 weeks from the date the Installation APR is forwarded to HQ for GSA approval/disapproval.

k. Findings to Support the Use of Compatibility-Limited Requirements—Applicable if requirement is to augment or replace existing ADPE, services limited to ADPE, or services that are compatible with the existing operating system or with ADPE.

(1) Include a software conversion study, if required.

(2) Must be justified on the basis of agency mission-essential data processing requirements and on economy and efficiency.
(3) Must meet the requirements of FIRMR 201-30.009-3. Factors to be considered in the justification determination are set forth in 201-30.009-3(b) and are as follows:

(a) The essentiality of existing software, without redesign, to meet agency critical mission needs; e.g., the continuity of operations may be so critical that conversion is not a viable alternative.

(b) The additional risk associated with conversion if compatibility-limited requirements are not used and the extent to which the government would be injured, financially or otherwise, if the conversion to the new ADP system fails.

(c) The additional adverse impact of factors such as delay, lost economic opportunity, and less than optimum utilization of skilled professionals if compatibility-limited requirements are not used.

(d) The steps being taken to foster competitive procedures in the augmentation or replacement acquisition.

(e) The off-loading of selected applications programs to commercial data processing service facilities as an alternative to conversion.

(f) The continuation of ADP services for selected application programs with the present commercial ADP services contractor as an alternative to conversion of all programs in the present ADP resource system.

(g) The extent of essential parallel operations; i.e., the need to continue operation of the old system in parallel with the new system until the new system can fully support the mission needs.

(h) The feasibility of competing conversion requirements to be performed on a guaranteed basis under a solicitation that couples the conversion effort and ADP services in a single contract, including consideration of the basis for a calculation of liquidated damages provisions for conversion performance failure.

1. Procurement Plan

(1) A Procurement Plan is required for all negotiated acquisitions in excess of $500,000. Approval must be effected before RFP release.

(2) The approval levels for this plan are:

   (a) >$500K to $5M (Langley Form PROC./P-147): Procurement Officer

   (b) >$5M to $25M (NASA Form 1451): Center Director

   (c) >$25M (Master Buy): NASA HQ, Code HP may elect to approve the plan; otherwise, the Center Director approves it (NASA Form 1451)

D. Summary—Hardware

1. Requirements from Requestor to Constitute a "Complete Package"

   a. Other Than Full and Open Competition (Sole Source)
(1) Purchase Request with certified funds. If option(s) are involved, certified funds for the basic requirement with funding shown, usually on a fiscal year basis, for the option items.

(2) ADPE Acquisition Plan—Include all Acquisition Alternatives that will meet the user's needs.

(3) JOFOC, which must include Market Survey results.

(4) FIPS Checklist.

(5) SOW/Specific Make and Model Specification. Include requirements for:
   *(a) Option(s) for Increased Quantities (See I.B.8.)
   *(b) Maintenance (See I.B.9.)
   *(c) Technology Updates (See I.B.10.)

*(6) Warranty: Memorandum to Contracting Officer providing details of the warranty requirement for Procurement Officer approval. (See I.B.7.)

(7) Findings to Support the Use of Compatibility-Limited Requirements. (See I.B.13.)

b. Full and Open Competition (Competitive) (See I.C.)

   (1) Purchase Request with certified funds. If options are involved, certified funds for the basic requirement with funding shown, usually on a FY basis, for the option items. (See I.C.2.d.)

   (2) ADPE Acquisition Plan. (See I.C.2.a.)

       Include all Acquisition Alternatives that will meet the user's needs.

   *(3) Memorandum establishing the Source Evaluation Committee (SEC)/Source Evaluation Board (SEB) and the Evaluation Plan. (See I.C.1.b.(1)&(2))

   (4) FIPS Checklist. (See I.C.2.b.)

*(5) SOW/BNOE Salient Features. (See I.C.1.c.(2)&C.2.c.(2.))

   *(a) SOW (See I.C.1.b.(2))

       Includes requirements for:

     * (i) Option(s) for Increased Quantities

     * (ii) Maintenance

     *(iii) Technology Updates

   *(b) BNOE (See I.C.1.c.(2))
(i) Memorandum justifying use of BNOE, if required. (See I.C.1.c.(1))

(ii) Include requirements for:

*(aa) Option(s)

*(bb) Maintenance

*(cc) Technology Updates

*(c) Warranty: Memorandum to Contracting Officer providing details of the warranty requirement for Procurement Officer approval

(d) Findings to support the use of Compatibility-Limited Requirements

2. Also, provide necessary information to the Contract Specialist to assist in the preparation of:

a. CBD Synopsis Notice for the Solicitation

*b. Installation APR to NASA HQ to obtain a specific DPA from GSA

*c. Procurement Plan

II. Software

A. General

1. There are several ways to meet a requirement. Before submitting a purchase request, check other sources for the capability to meet the requirement, as follows:

a. Using software from NASA's Computer Software Management Information Center (COSMIC)

b. Sharing software from the Federal Software Exchange Center (FSEC)

(1) Common-use software developed or revised by government or Contractor personnel and reported to the FSEC.

(2) Software to which the government has full rights of ownership.

(3) Sharing is for short-term needs only.

(4) Sharing is on a reimbursable basis.

c. Contact the Installation ADP Office for possible sharing within the Installation to meet the requirement—no procurement actions are involved.

2. If state-of-the-art software is required, contact the ADP Group Leader to coordinate canvassing of industry per FIRMR 201-32.107 (comparable to a Request for Information). Under this method, a proposed specification is forwarded to industry before release of the formal solicitation. Offerors are allowed at least 30 days to submit their written comments—60 days if the acquisition is complex. All comments received are considered in developing the final specification for the solicitation.
3. If either an ADA, Fortran, or Pascal Compiler is required to be delivered under a contract, validation of the compiler by the Institute for Computer Sciences & Technology (ICST) of the National Institute for Standards and Technology (NIST—formerly the National Bureau of Standards (NBS)) is required before the Installation can officially accept and pay the Contractor for the compiler. If the use of the compiler is critical to any of the minimum technical requirements, such that the ADPE system will not be suitable for its intended use unless the compiler functions properly in this area(s), regardless of how great the proposed system might be with respect to remaining areas of the minimum technical requirement, prepare a benchmark program written in the high-level programming language to cover the critical requirement(s). Offerors will be required to request the benchmark, run it, and submit the benchmark test results with their proposals. Proposals not containing satisfactory benchmark test results will be rejected and will not be further evaluated. This would constitute the use of “qualification standards,” which is restrictive and must be supported by a memorandum from the requestor, with the concurrence of the “Director for” and approval of the Procurement Officer.

4. Consult with the ADP Group Leader as necessary for advance procurement planning as a requirement materializes for which funds are or will be available.

5. Specifications—The following types of specifications may be used, in descending order of preference:
   a. Functional
   b. Performance
   c. Software Compatible Functionally Equivalent
   d. BNOE
   e. Specific Make and Model (Sole Source)

6. Data Rights
   a. Special contract clauses may be necessary to protect the Contractor's interests regarding restricted computer software, and documentation thereof, required to be delivered under the contract.
   b. A special clause in Section H of the Contract Schedule would explicitly identify the software subject to protection.
   c. A software licensing agreement may be required. (LaRC incorporates the license into the contract in conjunction with NFS clause 18-52.227-86.)
   d. Discuss data rights requirements with the Contract Specialist or ADP Group leader.

B. Other Than Full and Open Competition (Sole Source)

The following items will be implemented as appropriate:

1. Market Survey for a JOFOC—This is accomplished as follows:
   a. Trade Journals, shows, etc.
   b. Other technical publications
c. Sources Sought Synopsis in CBD (JOFOC Committee generally requires this; see II.B.2 on the following page for JOFOC details)

(1) Can precede submission of purchase request (PR), etc.

(2) Contact the Small Business Specialist, AOB, to accomplish this

(3) Results must be addressed in the JOFOC

2. JOFOC


b. Include Market Survey Results (see II.B.1.).

c. Required for a contemplated procurement using a specific Make and Model Specification, notwithstanding the existence of more than one responsible source for the specific make and model item(s).

d. Contact P&ADP Contracts Branch Head for information or assistance on a JOFOC.

3. Documentation to Support the Acquisition of Commercially Available Software—This document is prepared by the requestor in accordance with Chapter 4, Section 404, of NHB 2410.1, “Information Processing Resources Management,” and is submitted to the Contracting Officer. It contains certain documentation requirements of the FIRMR.

a. Acquisition Division requires receipt of this document before release of the solicitation. (Note: Approval of this document as for the ADPE Acquisition Plan under I.B.3. above does not apply.)

b. Contents of Documentation (may be combined into one document):

(1) Requirements Analysis (include options)

(2) Analysis of Technical Alternatives

(3) Comparative Cost Analysis

(4) Software Description

(5) Funding Data

(6) Schedules

(7) Acquisition Method

(8) Security and Privacy Safeguards

(9) Description of Planned Actions to Foster Competition for Subsequent Acquisitions

(10) Long-Range Requirements

(11) FIPS Waivers
4. FIPS Checklist—Provided by Contract specialist; the requestor executes and returns it to the Specialist indicating all FIPS that apply to the procurement (specific solicitation language for applicable FIPS and mandatory compliance by the Contractor are required).

5. SOW or Specific Make and Model Specification
   a. Define minimum requirements, including options, maintenance, and technology updates.
   b. Call either the ADP Group Leader or P&ADP Contracts Branch Head for SOW advice (SOW will vary with technical requirements, options, etc.).

6. Purchase Request
   a. Contains all approvals and certification of funds.
   b. Lists all items required.
   c. Includes all options and funding therefor (by FY if appropriate).
      (1) Show funding for initial requirement and use that as the total estimated cost of the purchase request.
      (2) List option(s) and dollar estimate for each option in description portion of the purchase request (do not include these dollar amounts in the estimated cost column of the purchase request because new purchase requests are required for options).

7. Warranty
   a. If other than the standard commercial warranty for the required product(s) is necessary, submit a memorandum to the 126/Contracting Officer citing this need and provide the details required by FAR 46.702 and 46.703 (Note: Procurement Officer approval is required to include warranty provisions and clauses in a solicitation/contract.) Contact the Contract Specialist to obtain the memorandum requirement.
   b. Select the appropriate warranty clause from FAR 46.710(a), (b), or (c) with the Contract Specialist.

8. Options for Increased Quantities
   a. Include all anticipated option requirements, in firm quantities, for which funds are reasonably certain to become available during the term of the contract (see II.B.6.c).
   b. If a quantity range is appropriate in lieu of fixed quantities, an indefinite quantity type contract would be appropriate. Contact the Contract Specialist for details.

9. Maintenance
   a. If maintenance of the software by the Contractor will be required following either acceptance or a subsequent warranty period, consider including this as part of the contract.
   b. Maintenance services must be at firm-fixed-price monthly rates and may be provided, via annual options to extent the term of the contract, up to a total 5-year contract term inclusive of all contract requirements.
10. Technology Updates

a. If the procurement will contain options for increased quantities and if the required software is subject to rapid technological enhancement, technology update provisions may be included in the solicitation/contract with respect to the optional items only.

b. Discuss this potential requirement with the ADP Group Leader, or with the Contract Specialist assigned to the procurement.

11. Acquisition Alternatives

a. Solicit the following acquisition alternatives that will meet the user's needs.
   
   (1) Perpetual License to Use
   
   (2) License to Use for Extended Term (i.e., more than 12 months)
   
   (3) License to Use on a Monthly Basis

b. Evaluate the proposed acquisition alternatives to determine which alternative represents the lowest overall cost to the government.

12. Specific DPA from GSA

a. A specific DPA from GSA is required if the estimated total price of the procurement exceeds $100,000.

b. Assist Contract Specialist in preparing the Installation APR, which is submitted to HQ, Code HS. HQ, Code NTD then prepares the official NASA APR and forwards it to GSA.

c. Allow 9 weeks from the date the Installation APR is forwarded to HQ for GSA approval/disapproval.

13. Findings to Support the Use of Compatibility-Limited Requirements

a. Include a software conversion study, if required.

b. Must be justified on the basis of agency mission-essential data processing requirements and on economy and efficiency.

c. Must meet the requirements of FIRMR 201-30.009-3. Factors to be considered in the justification determination are set forth in 201-30.009-3(b) and are as follows:

   (1) The essentiality of existing software, without redesign, to meet agency critical mission needs; e.g., the continuity of operations may be so critical that conversion is not a viable alternative.

   (2) The additional risk associated with conversion if compatibility-limited requirements are not used and the extent to which the government would be injured, financially or otherwise, if the conversion to the new ADP system fails.

   (3) The additional adverse impact factors such as delay, lost economic opportunity, and less than optimum utilization of skilled professionals if compatibility-limited requirements are not used.
(4) The steps being taken to foster competitive procedures in subsequent acquisitions.

(5) The off-loading of selected applications programs to commercial data processing service facilities as an alternative to conversion.

(6) The continuation of ADP services for selected application programs with the present commercial ADP services contractor as an alternative to conversion of all programs in the present ADP resource system.

(7) The extent of essential parallel operations; i.e., the need to continue operation of the old system in parallel with the new system until the new system can fully support the mission needs.

(8) The feasibility of competing conversion requirements to be performed on a guaranteed basis under a solicitation that couples the conversion effort and ADP services in a single contract, including consideration for the basis for a calculation of liquidated-damages provisions for conversion performance failure.

14. Procurement Plan

a. A Procurement Plan is required for all negotiated acquisitions in excess of $500,000. Approval must be effected before RFP release.

b. The approval levels for this plan are:

(1) >$500K to $5M (Langley Form PROC./P-147): Procurement Officer

(2) >$5M to $25M (NASA Form 1451): Center Director

(3) >$25M (Master Buy): NASA HQ, Code HP may elect to approve the plan; otherwise, the Center Director approves it (NASA Form 1451)

C. Full and Open Competition (Competitive) The following items shall be implemented as appropriate:

1. Types of Competitive Procurements:

a. SEC

(1) Recommend, in writing to the Contracting Officer, a technical SEC to evaluate proposals received.

(2) Prepare and submit to the Contracting Officer an SOW defining the minimum requirements (including options, maintenance, and technology updates, if appropriate).

(3) Establish and submit to the Contracting Officer the Evaluation Plan to be used in evaluating proposals, which must relate to SOW requirements.

b. BNOE

(1) Submit a memorandum to the Contracting Officer justifying the use of BNOE, if required. Consult with the Contract Specialist for guidance on this.

(2) Establish, in a memorandum to the Contracting Officer, the salient features of the specified brand name item to establish the government's minimum technical
requirements, and to be used in evaluating items proposed to be equal to the specified brand name item. Also include any additional requirements (e.g., installation, options, training, maintenance, and benchmark test for other than the specified brand name).

(3) Evaluation Plan and Committee are not required.

2. Documentation required, in addition to that described in II.C.1, is as follows:

a. Documentation to Support the Acquisition of Commercially Available Software—This document is prepared by the requestor in accordance with Chapter 4, Section 404, of NASA Handbook (NHB) 2410.1, “Information Processing Resources Management” and is submitted to the Contracting Officer. It contains certain documentation requirements of the FIRMR.

   (1) Acquisition Division requires receipt of this document before release of the solicitation. (Note: Approval of this document as for the ADPE Acquisition Plan under I.B.3 above does not apply.)

   (2) Contents of Documentation (may be combined into one document):

   (a) Requirements Analysis (include options)

   (b) Analysis of Technical Alternatives

   (c) Comparative Cost Analysis

   (d) Software Description

   (e) Funding Data

   (f) Schedules

   (g) Acquisition Method

   (h) Security and Privacy Safeguards

   (i) Description of Planned Actions to Foster Competition for Subsequent Acquisitions

   (j) Long Range Requirements

   (k) FIPS Waivers

b. FIPS Checklist—Provided by Contract Specialist. Execute and return to the Specialist indicating all FIPS that apply to the procurement (specific solicitation language for applicable FIPS and mandatory compliance by the Contractor are required).

c. SOW

   (1) Define minimum requirements, including options, maintenance, and technology updates.

   (2) Call either the ADP Group Leader or P&ADP Contracts Branch Head for SOW advice (SOW will vary with technical requirements, options, etc.).
d. Purchase Request

(1) Contains all approvals and certification of funds.

(2) Lists all items required.

(3) Includes all options and funding therefore (by FY if appropriate).

(a) Show funding for initial requirement and use that as the total estimated cost of the purchase request.

(b) List options(s) and dollar estimate for each option in description portion of the purchase request (do not include these dollar amounts in the estimated cost column of the purchase request, because new purchase requests are required for options).

e. Warranty

(1) If other than the standard commercial warranty for the required products(s) is necessary, submit a memorandum to 126/Contracting Officer citing this need and provide the details required by FAR 46.702 and 46.703 (Note: Procurement Officer approval is required to include warranty provisions and clauses in solicitation/contract). Contact the Contract Specialist to obtain the memorandum requirements.

(2) Select the appropriate warranty clause from FAR 46.710(a), (b), or (c) with the Contract Specialist.

f. Options for Increased Quantities

(1) Include all anticipated option requirements, in firm quantities, from which funds are reasonably certain to become available during the term of the contract (see II.B.6.c).

(2) If a quantity range is appropriate in lieu of fixed quantities, an indefinite quantity type contract would be appropriate. Contact the Contract Specialist for details.

g. Maintenance

(1) If maintenance of the software by the Contractor will be required following either acceptance or a subsequent warranty period, consider including this as part of the contract.

(2) Maintenance services must be at firm-fixed-price monthly rates and may be provided, via annual options to extend the terms of the contract, up to a total 5-year contract term inclusive of all contract requirements.

h. Technology Updates

(1) If the procurement will contain options for increased quantities and if the required software is subject to rapid technological enhancement, technology update provisions may be included in the solicitation/contract with respect to the optional items only.

(2) Discuss this potential requirement with the ADP Group Leader or with the Contract Specialist assigned to the procurement.
i. Acquisition Alternatives

(1) Solicit the following acquisition alternatives that will meet the user's needs.

   (a) Perpetual License to Use

   (b) License to Use for Extended Term (i.e., more than 12 months)

   (c) License to Use on a Monthly Basis

(2) Evaluate the proposed acquisition alternatives to determine which alternative represents the lowest overall cost to the government.

j. Specific DPA from GSA

(1) A specific DPA from GSA is required if the estimated total price of the procurement exceeds $1,000,000.

(2) Assist Contract Specialist in preparing the Installation APR, which is submitted to HQ, Code HS. HQ, Code NTD then prepares the official NASA APR and forwards it to GSA.

(3) Allow 9 weeks from the date the Installation APR is forwarded to HQ for GSA approval/disapproval.

k. Findings to Support the Use of Compatibility-Limited Requirements

(1) Include a software conversion study, if required.

(2) Must be justified on the basis of agency mission-essential data processing requirements and on economy and efficiency.

(3) Must meet the requirements of FIRMR 201-30.009-3. Factors to be considered in the justification determination are set forth in 201-30.009-3(b) and are as follows:

   (a) The essentiality of existing software, without redesign, to meet agency critical mission needs; e.g., the continuity of operations may be so critical that conversion is not a viable alternative.

   (b) The additional risk associated with conversion if compatibility-limited requirements are not used and the extent to which the government would be injured, financially or otherwise, if the conversion to the new ADP system fails.

   (c) The additional adverse impact of factors such as delay, lost economic opportunity, and less than optimum utilization of skilled professionals if compatibility-limited requirements are not used.

   (d) The steps being taken to foster competitive procedures in subsequent acquisitions.

   (e) The off-loading of selected applications programs to commercial data processing service facilities as an alternative to conversion.

   (f) The continuation of ADP services for selected application programs with the present commercial ADP services contractor as an alternative to conversion of all programs in the present ADP resource system.
(g) The extent of essential parallel operations; i.e., the need to continue operation of the old system in parallel with the new system until the new system can fully support the mission needs.

(h) The feasibility of competing conversion requirements to be performed on a guaranteed basis under a solicitation that couples the conversion effort and ADP services in a single contract, including consideration of the basis for a calculation of liquidated damages provisions for conversion performance failure.

1. Procurement Plan

(1) A Procurement Plan is required for all negotiated acquisitions in excess of $500,000. Approval must be effected before RFP release.

(2) The approval levels for this plan are:

(a) <$500K to $5M (Langley form PROC./P-147): Procurement Officer

(b) >$5M to $25M (NASA Form 1451): Center Director

(c) >$25M (Master Buy): NASA HQ, Code HP may elect to approve the plan; otherwise, the Center Director approves it (NASA Form 1451)

D. Summary—Software

1. Requirements from Requestor to Constitute a “Complete Package”

a. Other than Full and Open Competition (Sole Source) (See II.B.)

(1) Purchase Request with certified funds. (If options(s) are involved, certified funds for the basic requirement with funding shown, usually on an FY basis, for the option items.) (See II.B.6.)

(2) JOFOC, which must include Market Survey results. (See II.B.1.&2.)

(3) Documentation to Support the Acquisition of Commercially Available Software (include Acquisition Alternatives that will meet your needs). (See II.B.3.)

(4) FIPS Checklist. (See II.B.4.)

(5) SOW or Specific Make and Model Specification. (See II.B.5.)

(a) Include requirements for:

* (i) Option(s) for Increased Quantities (See II.B.8.)

* (ii) Maintenance (See II.B.9.)

*(iii) Technology Updates (See II.B.10.)

*(6) Warranty: Memorandum to 126/Contracting Officer providing details of the warranty requirement for Procurement Officer approval. (See II.B.7.)

*(7) Findings to Support the Use of Compatibility-Limited Requirements. (See II.B.13.)
b. Full and Open Competition (Competitive)  (See II.C.)

(1) Purchase Request with certified funds. (If option(s) are involved, certified funds for the basic requirement with funding shown, usually on an FY basis, for the option items.)*  (See II.C.2.d.)

(2) Documentation to Support the Acquisition of Commercially Available Software.  (See II.C.2.a.)

*(3) Memorandum establishing the SEC and the Evaluation Plan.  (See II.C.1.a.(2)&(3))

(4) SOW or BNOE

*(a) SOW  (See II.C.1.a.(2)&II.C.2.c.)

(1) Includes requirements for:

*(a) Option(s) for Increased Quantities  (See II.C.2.f.)

*(b) Maintenance  (See II.C.2.g.)

*(c) Technology Updates  (See II.C.2.h.)

*(b) BNOE

(1) Memorandum justifying use of BNOE

(2) Include requirements for:

*a. Option(s) for Increased Quantities

*b. Maintenance

*c. Technology Updates

(5) FIPS Checklist.  (See II.C.2.b.)

*(6) Warranty: Memorandum to 126/Contracting Officer providing details of the warranty requirement for Procurement Officer approval.  (See II.C.2.e.)

*(7) Findings to Support the Use of Compatibility-Limited Requirements.  (See II.C.2.k.) Also, provide necessary information to the Contract Specialist to assist in the preparation of:

a. CBD Synopsis Notice for the Solicitation.

b. Installation Agency Procurement Request (APR) to NASA HQ to obtain a Specific DPA from GSA.  (See II.C.2.j.)

c. Procurement Plan  (See II.C.2.l.)

* If applicable.
III. Maintenance

A. General

1. A contract requirement for maintenance services may be for either ADP hardware, software, or both. Prior to submitting a purchase request for hardware maintenance, contact the ADP Officer to determine if the required maintenance can be performed by Wyle Laboratories under an existing support services contract (in which case, a separate contract is not required).

   Note: Hardware maintenance may be available on a competitive basis, but maintenance of proprietary software invariably is only available on a sole source basis from the firm that developed and markets the software.

2. Consult with the ADP Group Leader as necessary for advance procurement planning as soon as a requirement materializes for which funds are or will be available.

B. Other Than Full and Open Competition (Sole Source)

1. Market Survey for a JOFOC

   a. Hardware Maintenance—This is accomplished as follows:

      (1) Trade journals, shows, etc.

      (2) Other technical publications

   b. Software Maintenance—This is accomplished as follows:

      (1) Trade journals, shows, etc.

      (2) Other technical publications

   c. Sources Sought Synopsis in CBD (JOFOC Committee generally requires this; see III.B.2. for JOFOC details)

      (1) Can precede submission of Purchase Request.

      (2) Contact the Small Business Specialist, AOB, to accomplish.

      (3) Result must be addressed in the JOFOC.

2. JOFOC


   b. Include Market Survey results (See III.B.1.)

   c. Contact P&ADP Contracts Branch Head for information or assistance on a JOFOC.

3. Documentation to Support Commercial ADP Maintenance Service Acquisitions—This document is prepared by the requestor in accordance with Chapter 4, Section 408, of NHB 2410.1D "Information Processing Resources Management," and is submitted to the Contracting Officer. It contains certain documentation requirements from the FIRMR.
a. Acquisition Division requires receipt of this document before release of the solicitation
(Note: Approval of this document, as for the ADPE Acquisition Plan under I.B.3.
above, is not required).

b. Contents of Documentation (may be combined into one document):

(1) Requirements Analysis
(2) Comparative Cost Analysis
(3) Description of Services
(4) Funding Data
(5) Schedules
(6) Acquisition Method
(7) Description of Planned Actions to Foster Competition for Subsequent Acquisitions

Note: Consult with the Contract Specialist or the ADP Group Leader for guidance
in documenting III.B.3.b.(1) for hardware versus software maintenance requirements.

4. FIPS Checklist—Provided by Contract Specialist. Execute and return to the Specialist
indicating all FIPS that apply to the procurement (specific solicitation language for
applicable FIPS and mandatory compliance by the Contractor are required).

5. SOW

a. Hardware Maintenance—Emphasis generally is on remedial maintenance on an “on-
call” basis. Develop SOW requirements to the extent possible, (e.g., from company
sales literature). Interface with the Contract Specialist for guidance and obtain a copy
of maintenance requirements contained in the “GSA Solicitation Document for ADP
Equipment Systems.” Select those requirements (if any) to be included in the SOW.
A SOW for hardware maintenance requirements generally is quite detailed.

b. Software—SOW requirements for software maintenance generally are brief and include
enhancements, hot-line telephone services, etc. Develop the SOW requirements from
company sales literature and/or interface with the Contract Specialist for guidance.

6. Purchase Request

a. Contains all approvals and certification of funds.

b. Lists all items required.

c. Includes all options and funding therefor (by FY if appropriate).

(1) Show funding for initial requirement and use that as the total estimated cost of
the purchase request.

(2) List option(s) and dollar estimate for each option in description portion of the
purchase request (do not include these dollar amounts in the estimated cost column
of the purchase request, because new purchase requests are required for options).
Note: The only options authorized for maintenance services are options to extend the terms of the contract.

7. Options to Extend the Term of the Contract—The basic term for a maintenance contract generally is 12 months. Each option extension also is for a 12-month term, with an allowable maximum term (including options) of 60 months. Pricing is on a monthly basis at firm-fixed prices. Generally, the maximum term of a maintenance contract is 2 or 3 years because of the requirement for firm-fixed prices.

8. Acquisition Alternatives

a. Solicit the following acquisition alternatives that will meet the user's needs.

   (1) On-site maintenance

   (2) On-call maintenance

   (3) Time and Materials (hardware maintenance only)

Note: On-site maintenance is expensive; “on-call” maintenance, with short (but realistic) maximum response time requirements has been meeting the Installation’s maintenance needs.

b. Evaluate the proposed acquisition alternatives (if soliciting more than one) to determine which alternative represents the lowest overall cost to the government.

9. Specific DPA from GSA (Applies to Hardware Maintenance Acquisitions Only)

a. A specific DPA from GSA is required if the estimated total price of the procurement exceeds an annual rate of $100,000.

b. Assist Contract Specialist in preparing the Installation APR, which is submitted to HQ, Code HS. HQ, Code NTD then prepares the official NASA APR and forwards it to GSA.

c. Allow 9 weeks from the date the Installation APR is forwarded to HQ for GSA approval/disapproval.

   Note: Software maintenance is considered to be a part of ADP Support Services. Therefore, a DPA from GSA is not required for software maintenance acquisitions.

10. Procurement Plan

a. A Procurement Plan is required for all negotiated acquisitions in excess of $500,000. Approval must be effected before RFP release.

b. The approval levels for this plan are:

   (1) >$500K to $5M (Langley Form PROC./P-147): Procurement Officer

   (2) >$5M to $25M (NASA Form 1451): Center Director

   (3) >$25M (Master Buy): NASA HQ, Code HP may elect to approve the plan; otherwise, the Center Director approves it (NASA Form 1451)
C. Full and Open Competition (Competitive)

1. Types of Competitive Procurement (Hardware Maintenance Only):

   a. SEC

      (1) Recommend, in writing to the Contracting Officer, a technical SEC to evaluate proposals received.

      (2) Prepare and submit to the Contracting Officer a SOW defining the minimum requirements, including options to extend the term of the contract, if desired.

      (3) Establish, and submit to the Contracting Officer, the Evaluation Plan to be used in evaluating proposals, which must relate to SOW requirements.

   b. Hardware Maintenance—Emphasis generally is on remedial maintenance on an “on-call” basis. Develop SOW requirements to the extent possible (e.g., from company sales literature). Interface with the Contract Specialist for guidance and obtain a copy of maintenance requirements contained in the “GSA Solicitation Document for ADP Equipment Systems.” Select those requirements, if any, to be included in the SOW. A SOW for hardware maintenance requirements generally is quite detailed.

   c. BNOE—A BNOE generally is not applicable to maintenance requirements; however, if the firm identifies and advertises in its sales literature maintenance services that meet the Installation’s needs, the BNOE technique may be used as follows:

      (1) Submit a memorandum to the Contracting Officer justifying the use of a BNOE, if required. Consult with the Contract Specialist for guidance on this.

      (2) Establish, in a memorandum to the Contracting Officer, the salient features of the specified brand name maintenance services to establish the government’s minimum technical requirements, and to be used in evaluating items proposed to be equal to the specified brand name item.

(Note: Competition is not applicable to maintenance of proprietary software, which invariably is only available on a sole source basis from the firm that developed and markets the software.)

2. Documentation Required, in addition to that described in III.C.1. above, is as follows:

   a. Documentation to Support Commercial ADP Maintenance Service Acquisitions—The requestor prepares this document in accordance with Chapter 4, Section 408, of NHB 2410.1, “Information Processing Resources Management,” and submits it to the Contracting Officer. It contains certain documentation requirements from the FIRMR.

      (1) Acquisition Division requires receipt of this document before release of the solicitation. (Note: Approval of this document as for the ADPE Acquisition Plan under I.B.3. is not required.)

      (2) Contents of Documentation (may be combined into one document):

         (a) Requirements Analysis

         (b) Comparative Cost Analysis
(c) Description of Services

(d) Funding Data

(e) Schedules

(f) Acquisition Method

b. FIPS Checklist—Provided by Contract Specialist; the requestor executes and returns it to the Specialist indicating all FIPS that apply to the procurement (specific solicitation language for applicable FIPS and mandatory compliance by the Contractor are required).

c. Purchase Request

(1) Contains all approvals and certification of funds.

(2) Lists all items required.

(3) Includes all options and funding therefor (by FY if appropriate).

(a) Show funding for initial requirement and use that as the total estimated cost of the purchase request.

(b) List option(s) and dollar estimate for each option in description portion of the purchase request (do not include these dollar amounts in the estimated cost column of the purchase request, because new purchase requests are required for options).

Note: The only options for maintenance services are options to extend the term of the contract.

d. Options to Extend the Term of the Contract—The basic terms for a maintenance contract generally is 12 months. Each option extension also is for a 12-month term, with an allowable maximum term (including options) of 60 months. Pricing is on a monthly basis at firm-fixed prices. Generally, the maximum term of a maintenance contract is 2 or 3 years because of the requirement for firm-fixed prices.

e. Acquisition Alternatives

(1) Solicit the following acquisition alternatives that will meet the user's needs.

(a) On-site maintenance

(b) On-call maintenance

(c) Time and Materials (hardware maintenance only)

Note: On-site maintenance is expensive; "on-call" maintenance, with short (but realistic) maximum response time requirements has been meeting the Installation's maintenance needs.

(2) Evaluate the proposed acquisition alternatives (if solicit more than one) to determine which alternative represents the lowest overall cost to the government.

f. Specific DPA from GSA
(1) A specific DPA from GSA is required if the estimated total price of the procurement exceeds an annual rate of $1,000,000.

(2) Assist Contract Specialist in preparing the Installation APR, which is submitted to HQ, Code HS. HQ, Code NTD then prepares the official NASA APR and forwards it to GSA.

(3) Allow 9 weeks from the date the Installation APR is forwarded to HQ for GSA approval/disapproval of the NASA APR.

Note: Software maintenance is considered part of ADP Support Services. Therefore, a DPA from GSA is not required for software maintenance acquisitions.

g. Procurement Plan

(1) A Procurement Plan is required for all negotiated acquisitions in excess of $500,000. Approval must be effected before RFP release.

(2) The approval levels for this plan are:
   (a) >$500K to $5M (Langley Form PROC./P-147): Procurement Officer
   (b) >$5M to $25M (NASA Form 1451): Center Director
   (c) >$25M (Master Buy): NASA HQ, Code HP may elect to approve the plan; otherwise, the Center Director approves it (NASA Form 1451)

D. Summary—Maintenance

1. Requirements from Requestor to Constitute a Complete Package

   a. Other than Full and Open Competition (Sole Source) (See III.B.)

      (1) Purchase Request with certified funds. (See III.B.6.)

      * (If options(s) are involved, the purchase request must contain certified funds for the basic requirement, and should show funding for the options, usually on an FY basis.)

      (2) JOFOC, which must include Market Survey results. (See III.B.2. & III.B.1.)

      (3) Documentation to Support Commercial ADP Maintenance Service Acquisition. (Include Acquisition Alternatives that will meet your needs.) (See III.B.3. & III.B.8.)

      (4) FIPS Checklist. (See III.B.4.)

      (5) SOW (See III.B.5.)

      *(6) Option Requirements (See III.B.7.)

   b. Full and Open Competition (Competitive) (See III.C.)

      (1) Purchase Request with certified funds (See III.C.2.(c))

*If applicable.
(If options are involved, the purchase request must contain certified funds for the basic requirement, and should show funding for the options, usually on an FY basis.)

(2) Documentation to Support Commercial ADP Maintenance Service Acquisitions (Include Acquisition Alternatives that will meet your needs.) (See III.C.2.(a) & III.B.8.)

(3) Memorandum establishing the SEC and Evaluation Plan. (See III.C.1.(a)(1), (3))

(4) SOW. (See III.B.5.)

(5) FIPS Checklist. (See III.C.2.(b))

*(6) Option Requirements—Also, provide necessary information to the Contract Specialist to assist in the preparation of: (See III.C.2.(d))

(a) CBD Synopsis Notice for the Solicitation.

*(b) Installation (APR) to NASA HQ to obtain a Specific DPA from GSA. (See III.C.2.(f))

*(c) Procurement Plan. (See III.C.2.(g))

*If applicable.
ACRONYMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACD</td>
<td>Analysis &amp; Computation Division</td>
</tr>
<tr>
<td>ADP</td>
<td>Automatic Data Processing</td>
</tr>
<tr>
<td>ADPE</td>
<td>Automatic Data Processing Equipment</td>
</tr>
<tr>
<td>AOB</td>
<td>Acquisition Operations Branch</td>
</tr>
<tr>
<td>APR</td>
<td>Agency Procurement Request</td>
</tr>
<tr>
<td>BNOE</td>
<td>Brand Name or Equal</td>
</tr>
<tr>
<td>CBD</td>
<td>Commercial Business Daily</td>
</tr>
<tr>
<td>CDC</td>
<td>Control Data Corporation</td>
</tr>
<tr>
<td>COSMIC</td>
<td>Computer Software Management Information Center</td>
</tr>
<tr>
<td>DPA</td>
<td>Delegation of Procurement Authority</td>
</tr>
<tr>
<td>FAR</td>
<td>Federal Acquisition Regulation</td>
</tr>
<tr>
<td>FIPS</td>
<td>Federal Information Processing Standards</td>
</tr>
<tr>
<td>FIRMR</td>
<td>Federal Information Resources Management Regulation</td>
</tr>
<tr>
<td>FSEC</td>
<td>Federal Software Exchange Center</td>
</tr>
<tr>
<td>FY</td>
<td>Fiscal Year</td>
</tr>
<tr>
<td>GSA</td>
<td>General Services Administration</td>
</tr>
<tr>
<td>HP</td>
<td>Director, Procurement Policy Division</td>
</tr>
<tr>
<td>HQ</td>
<td>Headquarters</td>
</tr>
<tr>
<td>IFB</td>
<td>Invitation For Bid</td>
</tr>
<tr>
<td>JOFOC</td>
<td>Justification For Other Than Full And Open Competition</td>
</tr>
<tr>
<td>LaRC</td>
<td>Langley Research Center</td>
</tr>
<tr>
<td>LTOP</td>
<td>Lease-To-Ownership Plan</td>
</tr>
<tr>
<td>LWOP</td>
<td>Lease With Option To Purchase</td>
</tr>
<tr>
<td>NASA</td>
<td>National Aeronautics and Space Administration</td>
</tr>
<tr>
<td>NBS</td>
<td>National Bureau of Standards</td>
</tr>
<tr>
<td>NFS</td>
<td>NASA/FAR Supplement</td>
</tr>
<tr>
<td>NIHB</td>
<td>NASA Handbook</td>
</tr>
<tr>
<td>NTID</td>
<td>Director, Information Resources Management (IRM) Policy Division</td>
</tr>
<tr>
<td>P&amp;ADP</td>
<td>Projects &amp; Automatic Data Processing</td>
</tr>
<tr>
<td>PR</td>
<td>Purchase Request</td>
</tr>
<tr>
<td>PROC.</td>
<td>Procurement</td>
</tr>
<tr>
<td>RFP</td>
<td>Request For Proposal</td>
</tr>
<tr>
<td>SEB</td>
<td>Source Evaluation Board</td>
</tr>
<tr>
<td>SEC</td>
<td>Source Evaluation Committee</td>
</tr>
<tr>
<td>SOW</td>
<td>Statement of Work</td>
</tr>
</tbody>
</table>
# Technical Guide on Documentation Requirements for Open Market Contract Acquisitions of Information Resources

**Author(s):**
Asa L. Shaw, Jr., William R. Kivett, and James Y. Taylor

**Performing Organization Name and Address:**
NASA Langley Research Center
Hampton, VA 23665-5225

**Sponsoring Agency Name and Address:**
National Aeronautics and Space Administration
Washington, DC 20546-0001

**Abstract:**
This document is intended as a guide to assist requestors in formulating and submitting the required "Complete Package" for Information Resources (IR) contract acquisitions (i.e., in excess of the $25,000 small purchase threshold).

**Key Words:**
- ADP hardware
- ADP software
- ADP maintenance

**Security Classification:**
Unclassified

**Distribution Statement:**
Unclassified—Unlimited

**Subject Category:** 81