NAVAL POSTGRADUATE SCHOOL

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JOINT APPLIED PROJECT

AN ANALYSIS OF THE ARMY SERVICE ACQUISITION REVIEW REQUIREMENTS AND THE PERCEIVED EFFECTIVENESS ON INTENDED IMPROVEMENTS

June 2016

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13. ABSTRACT (maximum 200 words)

In 2009, the Office of the Under Secretary of Defense Acquisition, Technology and Logistics (USD(ATL) established oversight requirements for service acquisitions upon realizing that services contracting accounted for half of the Department of Defense's annual obligations. This led to the enactment of stricter policies for services contracting within the Department of the Army. This project reviews the policies and procedures that led to the Army Service Acquisition Strategy (SAS) Review Requirements, analyzes their intent, and assesses progress. The objective is to identify potential improvements to the review processes and provide better value for Army service acquisitions.

To accomplish this objective, a survey was created to target individuals who have submitted requirements packages through the Army Services Strategy Panel (ASSP) process. The intent of the survey is to assess the perceived effectiveness of these policy changes to determine whether intended improvements are being achieved.

Research suggests that the Army may benefit from issuing a similar survey and should assess feedback to determine whether resources are being properly utilized. The Army should take measures to ensure lessons learned throughout the review process are captured to maximize potential value. Lastly, the Army should consider setting specific program metrics to track throughout the ASSP process.

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LIST OF ACRONYMS AND ABBREVIATIONS

AE	Acquisition Executive
AFARS	Army Federal Acquisition Regulation Supplement
AMC	Army Materiel Command
AR	Army Regulation
ARRT	Automated Requirements Roadmap Tool
ASA(ALT)	Assistant Secretary of the Army for Acquisition, Logistics and Technology
ASSP	Army Services Strategy Panel
BBP	Better Buying Power
CLL	Component Level Lead
D&F	Determination and Findings
DASA(P)	Deputy Assistant Secretary of the Army (Procurement)
DFARS	Defense Federal Acquisition Regulation Supplement
DOD	Department of Defense
DODI	Department of Defense Instruction
DPAP	Defense Procurement and Acquisition Policy
FDEs	Functional Domain Experts
FY	Fiscal Year
GAO	Government Accountability Office
HCA	Head of Contracting Activity
HQDA	Headquarters Department of the Army
IPT	Integrated Product Team
JAP	Joint Applied Project
MFIPT	Multi-Functional Integrated Product Team
NDAA	National Defense Authorization Act
OSBP	Office of Small Business Programs
OSD	Office of the Secretary Of Defense
PARC	Principal Assistant Responsible for Contracting

PEO	Program Executive Officer
PGI	Procedures, Guidance and Information
PM	Program Manager
PSCMs	Portfolio Specific Commodity Managers
SAE	Service Acquisition Executive
SAS	Service Acquisition Strategy
SAT	Simplified Acquisition Threshold
SAW	Service Acquisition Workshop
Services FIPT	Services Functional Integrated Product Team
SPE	Senior Procurement Executive
SRB	Solicitation Review Board
SRRB	Services Requirements Review Board
SSM	Senior Services Manager
USD (AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics

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I.   INTRODUCTION

A.   BACKGROUND

In 2002, Section 801(d) of the National Defense Authorization Act (NDAA) established a requirement for a program review structure for services procured by the Department of Defense (DOD) that is similar to the procurement of weapon systems by the DOD (NDAA of FY 2002). Since then, the DOD has released numerous policies to address service acquisitions to meet the intent of the NDAA; however, oversight at the DOD Component level was not being conducted as it was expected it should. As a result, Better Buying Power (BBP) 1.0 included a requirement to create a Senior (Services) Manager (SSM) for each DOD Component as part of the *Improve Tradecraft in Services Acquisition* tenant (Department of Defense, n.d.). The Army Senior Services Manager (SSM) is required to ensure proper oversight of service acquisitions, which is accomplished by establishing an Army Services Strategy Panel (ASSP) review and briefing to the Deputy Assistant Secretary of the Army for Procurement (DASA(P)) SSM for all service acquisitions over $250M (Army Federal Acquisition Regulation Supplement [AFARS] 5137.590-5) [previously $500M]; Headquarters, Department of the Army, 2010). In addition, service acquisitions meeting or exceeding $1B must participate in Office of the Secretary of Defense (OSD) Peer Reviews to ensure proper oversight is conducted (USD[AT&L], 2008). The perceived intent of this was to treat services acquisitions like the Milestone Decision Authority (MDA) review to determine true need. However, the acquisition of services is not comparable to the development of products.

B.   PURPOSE

This joint applied project (JAP) will analyze the Army Service Acquisition Review Requirements and the perceived effectiveness of intended improvements.

To achieve the goal of this JAP, our analysis will focus on two main areas: policy and the process of creating an effective survey instrument. The study examines the events leading up to the development and implementation of these policies through documented

testimonies and reports. The end result of this study is to provide a survey that can be utilized by the Army to assess the effectiveness of the service acquisition review process.

C.   RESEARCH QUESTIONS

Since this requirement has been established for Services Acquisitions, numerous policies and guidance have been released to support the requirement. Unfortunately, to the detriment of efficiency and reduced bureaucracies, when compared to the Better Buying Power tenants, these policies and guidance are perceived to be contrary to the added review requirements for service acquisition. To address these perceptions, this research seeks to provide an effective survey instrument that answers the following questions:

1.   Are the Army Service acquisition requirements/reviews leading to desired outcomes?

2.   Does the value added through completion of the requirements/reviews exceed the resource outputs required to complete the process?

3.   Is proper training/mentorship available prior to the Army service acquisition requirements/reviews to maximize the value of the ASSP?

4.   Are commands capturing metrics to document the requirements/ reviews impacts?

5.   Are commands taking proper measures to capture lessons learned?

D.   SCOPE AND LIMITATIONS

This scope of this project focuses on policies and guidance from the OSD, the United States Army (Army), the Government Accountability Office (GAO), and BBP initiatives specific to the Army as it pertains to Service Acquisition Requirements. Time, resources, and willing participants precluded this research from assessing a larger sample.

E.   METHODOLOGY

To determine the applicability of reviewed Army specific policies, an analysis was conducted to identify the appropriate DOD and Army policies and guidance needed to create an effective survey. Upon review of the data, an analysis was performed on how to prepare effective survey questions as well as determine what information would be most beneficial to collect. No official survey will be conducted for this JAP, instead a

survey field test will be distributed to individuals that have submitted requirements packages through the ASSP process. The survey field test was designed to determine the appropriateness of the survey questions and answer the following:

1. Are the survey questions clear and easy to understand?
2. Are the questions free of bias?
3. Is the individual taking the survey comfortable responding to the questions?

The final step involves interpreting the results of the data to assist in identifying any potential recommended changes or improvements to guidance found to be burdensome and non-value added.

F. PROJECT ORGANIZATION

Chapter I – Introduction. This chapter presents the purpose, research questions, scope and limitations, and methodology for our analysis.

Chapter II – Policy Background. This chapter provides a review of policies and guidance specific to the United States Army as it pertains to service acquisition requirements and briefly examines the events leading up to the development and implementation of these policies through documented testimonies and reports.

Chapter III – Policy Impacts Analysis. This chapter analyzes the impacts of policy and guidance when compared to the BBP tenants.

Chapter IV – Research Methodology. This chapter discusses the research methodology used to gather data.

Chapter V – Findings and Results. This chapter provides an analysis of the information gathered from the study.

Chapter VI – Summary and Recommendations. This chapter contains an overall summary including the results of the research provided by the survey field test as well as recommended changes or improvements.

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II.   POLICY BACKGROUND

This chapter provides a review of the policies and guidance (OSD, Army, GAO and BBP) specific to the Army as it pertains to Service Acquisition Requirements. The policies addressed only reflect general services acquisition related to the Military Components and do not provide reference to DOD Components outside the Military Departments (Defense Agencies, Field Activities and Combatant Commands), Information Technology, Research and Development or construction, as they do not apply to the intent of this discussion on Army services acquisition.

In his 2001 GAO testimony, David E. Cooper testified that service procurements were not being done efficiently. Cooper (2001) stated, "Agencies are not clearly defining their requirements, fully considering alternative solutions, performing vigorous price analyses, or adequately overseeing contractor performance. Further, it is becoming increasingly evident that agencies are at risk of not having enough of the right people with the right skills to manage service procurements" (p. 1). According to DOD's USD (AT&L), although there was an improvement in the quality of services acquired, DOD was still unable to meet their needs for higher levels of excellence (Brock, 2002). In 2001 Congress required that DOD improve service acquisition planning, tracking, and oversight.

> Section 2330 of title 10, United States Code, enacted in 2001 and amended in 2006, requires the (USD(AT&L) and the military departments to establish a management structure for the acquisition of services. USD(AT&L) and the military departments established an initial management structure for the review and approval of service acquisitions in 2002. (DiNapoli, 2016, p. 5).

A.   THE OFFICE OF THE SECRETARY OF DEFENSE (OSD)

Flow of Policy is as follows:
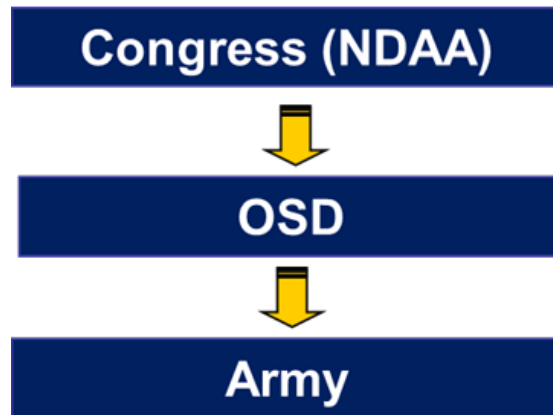
Figure 1. Flow of Policy

The first OSD service acquisition policy was released in FY 2002. There have been numerous policies, memorandums, and instructions released from the OSD since. The latest and most comprehensive service acquisition instruction was the release of Department of Defense Instruction (DODI) 5000.74, signed January 2016. This policy has been in the making for years and flows down to the DOD Components, which will necessitate revisions (or creation) of their policies for acquisition of services. DODI 5000.74 reflects all prior requirements that have been pushed down from the OSD, as a result, the former policies, although important to reflect the timeframe of requirements changes for service acquisitions, are not as relevant. Each policy/memorandum/ instruction is summarized in Table 1.

Table 1.   Office of the Secretary of Defense Service Acquisition Policies

Office of the Secretary of Defense Service Acquisition Policies		
Year	**DOD Policy/Memorandum/ Instruction**	**Details**
2002	Section 801(d) of NDAA FY 2002 Public Law 107–107 (author: Congress)	Requires the OSD to issue and implement a policy that applies to the procurement of services by the DOD
2002	Acquisition of Services policy (author: USD[AT&L})	OSD required the Military Components to submit a process and procedures for management and oversight of all service acquisitions for review by an OSD team to include review/approval requirements of the Service Acquisition Strategy (SAS), including the first ever USD(AT&L) review of SAS greater than $2B
2005	USD (AT&L) memorandum, subject: Acquisition of Services Policy Review	USD (AT&L) requested a formal review of the acquisition of services to assess compliance with Department policy while soliciting views on ways to improve the policy
2006	Section 812 of NDAA FY 2006 Public Law 109–163 (author: Congress)	Establishes the requirement for the Secretary of Defense to establish and implement a management structure for the procurement of contract services for the DOD. DOD is to work with the Military Components to identify skills and competencies needed for procurement of services and develop strategy to recruit and train employees for this
2006	USD (AT&L) memorandum, subject: Acquisition of Services policy	Includes guidelines for creating an Acquisition Strategy, assigned duties for Senior Officials with review and approval authorities for acquisitions of services (identified in Table 2), and established procedures for the collection of automated data to be submitted to the USD(AT&L)
2007	USD (AT&L) memorandum, subject: Acquisition of Services Review and Decision Authority	Delegated review and decision authority to DPAP for acquisitions of services greater than $1 billion in accordance with 10 U.S. Code 2330, as amended by Section 812 of the NDAA FY 2006
2008	USD (AT&L) memorandum, subject: Peer Reviews of Contracts for Supplies and Services	Established DOD policy for Peer Reviews Requiring: pre-award Peer Reviews for all contracts with an estimated value of $1 billion or more (including options) and post-award Peer Reviews for all service contracts with an estimated value of $1 billion or more (including options). Further, Military Departments will establish their own procedures for contracts valued at less than $1 billion

Table 1 (continued)

Year	DOD Policy/Memorandum/ Instruction	Details
2008	Acquisition of Services policy expressly stated in Enclosure 9 to DODI 5000.02 (author: Department of Defense)	Incorporates Acquisition of Services policy into DODI 5000.02. Provides detailed instructions on the completion of OSD Peer Reviews (pre-award and post-award), and establishes procedures for data collection and assigns responsibility for Military Departments. Revises the review and approval authorities for acquisitions of services (identified in Table 2)
2009	DPAP Policy memorandum, subject: Review Criteria for the Acquisition of Services	This policy provides the tenants and review criteria for the Acquisition of Services. These reviews are to ensure that the requirements are clear and well defined, acquisition approach and business strategy are appropriate and that there are mechanisms to ensure proper oversight of contractor performance
2012	DPAP memorandum, subject: Service Acquisition Workshop (SAW)	Mandates SAW for contracts valued at >$1B unless waived, recommends SAWs for contracts valued >$100M. Requires the training be completed before a Service Acquisition Strategy will be approved by the OSD
2013	The Services Acquisition Deputy Directorate established within the Office of DPAP	
2013	USD (AT&L) memorandum, subject: Appointment of DOD Functional Domain Experts for Contracted Services Acquisition Management	Appointed senior DOD officials as Functional Domain Experts (FDEs) in accordance with the requirements of Better Buying Power 2.0 to oversee each Services Portfolio Group. The intent is to actively oversee the life-cycle process of services acquisition to include forecasting and budgeting, requirements definition and validation, procurement, and active management and oversight of contracted services
2014	Performance of the Defense Acquisition System - 2014 Annual Report (author: DPAP)	Services acquisition metrics are included in this report for the first time. In terms of services, the focus was on incentives- particularly from contract types and profits or fees, in addition to updating the prior analysis where recent data may affect the statistical result. In conjunction with the BBP continuous improvement efforts, policies and structures related to the acquisition of services are being expanded
2015	The Services Functional Integrated Product Team (IPT) Charter was updated to reflect the appointment of the Deputy Director, DPAP/ SA as the Functional Lead for Services	
2016	DODI 5000.74 Services Acquisition was released and DODI 5000.02, Enclosure 9 is canceled (author: Department of Defense)	Addressed in detail below

Table 2 describes the changes in policy requirements throughout the past decade. While there have been many modifications to the structure and layout of the approval authorities, the thresholds have not been significantly altered. Prior to the release of Department of Defense Instruction (DODI) 5000.74, the USD(AT&L) was responsible to approve the service acquisition strategy for all actions meeting or exceeding $1B (Headquarters, Department of the Army, 2010), whereas the latest guidance provides the USD(AT&L) the authority to designate an OSD individual or the Military Department Service Acquisition Executive (SAE) to further reduce bureaucracy and delays (Department of Defense, 2016).

Table 2.   Comparison of Approval Authorities for the Acquisition of Services

Comparison of Approval Authorities for the Acquisition of Services			
Category	Acquisition of Services Policy (2006)	DODI 5000.02 Enclosure 9 (2008)	DODI 5000.74 (2016)
Services Category I	**Estimated Value:** $250 million or more *Note that estimated value >$1B shall be referred to USD(AT&L) **Decision Authority:** Senior Official or as designated	**Estimated Value:** $250 million or more **Decision Authority:** Senior Official or as designated	**Estimated Value:** Greater than $1 billion or more than $300 million in any one year **Decision Authority:** USD(AT&L) or designee, or Military Department Service Acquisition Executive (SAE) or designee
Acquisitions >$1B	N/A	**Estimated Value:** Greater than $1 billion Decision Authority: USD(AT&L) or designee	N/A
Special Interest	**Estimated Value:** As designated by USD(AT&L) or other Senior Official **Decision Authority:** USD(AT&L) or Senior Officials	**Estimated Value:** As designated by USD(AT&L) or Military Department Senior Official **Decision Authority:** USD(AT&L) or Senior Officials	**Estimated Value:** As designated by USD(AT&L) **Decision Authority:** USD(AT&L) or designee

Table 2 (continued)

Category	Acquisition of Services Policy (2006)	DODI 5000.02 Enclosure 9 (2008)	DODI 5000.74 (2016)
Services Category II	**Estimated Value:** $10 million but less than $250 million **Decision Authority:** Senior Official or as designated	**Estimated Value:** $10 million but less than $250 million **Decision Authority:** Senior Official or as designated	**Estimated Value:** $250 million or more, but less than $1 billion **Decision Authority:** USD(AT&L) or designee, or Military Department SAE or designee
Services Category III	**Estimated Value:** Greater than Simplified Acquisition Threshold (SAT) but less than $10 million **Decision Authority:** Senior Official or as designated	**Estimated Value:** Greater than SAT but less than $10 million **Decision Authority**: Senior Official or as designated	**Estimated Value:** $100 million or more, but less than $250 million **Decision Authority:** Senior Services Manager (SSM) or designee
Services Category IV	N/A	N/A	**Estimated Value:** $10 million to less than $100 million **Decision Authority:** SSM or designee
Services Category V	N/A	N/A	**Estimated Value:** Greater than SAT but less than $10 million **Decision Authority:** SSM or designee

1. **2016: Department of Defense Instruction (DODI) 5000.74, Subject: Defense Acquisition of Services, 05 January 2016**

- Cancels DODI 5000.02 Enclosure 9, Acquisition of Services policy

- Procedures in this instruction apply to the entire DOD, however, DOD Component decision authorities may tailor to best achieve cost, schedule and performance objectives

- The DOD will manage services acquisitions in order to improve productivity and efficiency

- DOD Component heads implement the policy and procedures in this instruction within their respective Component

- Portfolio management enables a framework for strategic oversight by the USD (AT&L), coupled with decentralized execution by the DOD Components

  o Requires collection and sharing of data within and across organizations, employing cross-departmental teams, and identification and promulgation of best practices and lessons learned

  o Collaboration amongst requiring organizations and contracting activities enables the DOD to leverage its resources and buying power. By fostering collaboration, portfolio management can: improve requirements transparency across DOD, reduce redundancy of similar service requirements and allow for increased awareness of alternative solutions to better meet the needs of the requiring activity.

  o Using the DOD portfolio taxonomy (portfolio groups, see Figure 2) ensures they are overseen through the Functional Domain Expert (FDE) structure (see Figure 3)

- Establishes leaders through the USD(AT&L) and DOD Components and their duties (see Table 3)

Figure 2.   Services Acquisition Portfolio Groups.
Source: Department of Defense (2016).
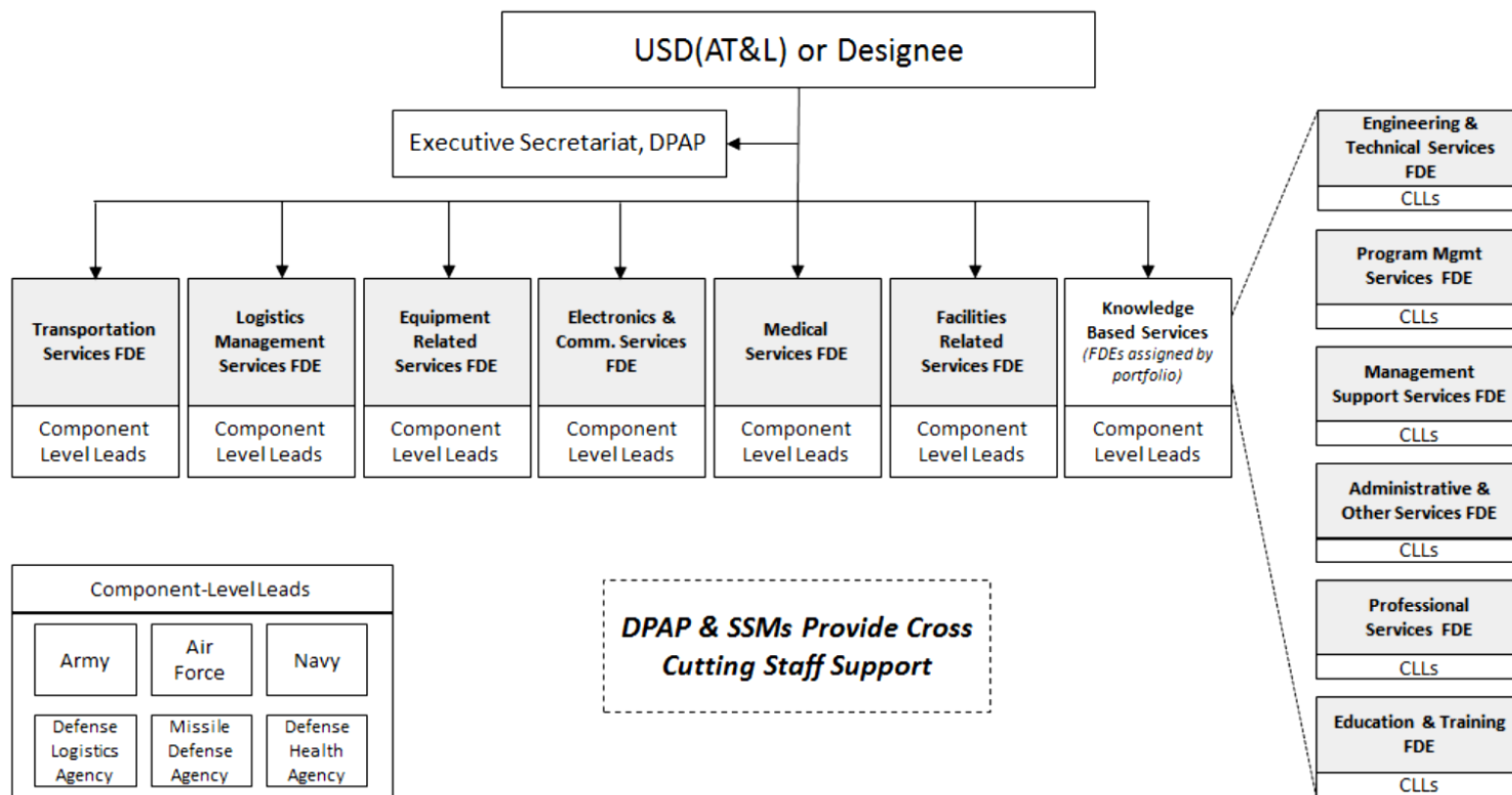
Figure 3. Functional Domain Expert Structure. Source: Department of Defense (2016).

Table 3.　Personnel Requirements due to DODI 5000.74. Source: Department of Defense (2016)

Personnel Requirements due to DODI 5000.74	
Appointed by USD(AT&L)	
Functional Domain Expert (FDE)	DOD-level lead reporting through Component head to USD (AT&L) for their service portfolio group to provide effective strategic oversight of contract service acquisitions. Will be designated for each of the service portfolio groups and collaborates to define common processes across DOD
Component Level Lead (CLL)	Aligned within FDE structure to support the strategic management and leadership portfolio groups across the DOD Components to improve acquisition of services
Portfolio Specific Commodity Managers (PSCMs)	Support efforts of the Senior Services Managers and requiring activities
Appointed by DOD Component	
Service Acquisition Executive (SAE)	Senior official responsible for management of acquisition of contracted services, further delegation to Senior Procurement Executive (SPE)
Senior Services Manager (SSM)	Service acquisition experts and decision authorities under the Secretaries of Military Department responsible for planning, strategic sourcing, execution and management of acquisition of contracted services. Establish appropriate management structures and processes to ensure effective implementation and execution of DODI 5000.74 and identify, forecast and track pending requirements

- Director, Defense Procurement and Acquisition Policy (DPAP) coordinates (as appropriate) with the FDE regarding specific portfolio or portfolio group for the acquisition, and with the OSD Office of Small Business Programs (OSBP) on all proposed acquisition of services acquisition strategies

- Services Requirements Review Board (SRRB) process will be used for services acquisitions

    o At or above $10M annually (excluding options that were previously considered and approved) to review, validate, prioritize and approve services requirements to accurately inform the budget and acquisition processes

    o Requirements approval should be obtained from the assigned SRRB chair before the initiation of any acquisition action unless otherwise directed by the decision authority

- o SRRB must be validated before the approval of the acquisition strategy. The SRRB will:

    a. Increase visibility of, and collaboration on, services requirements among stakeholders

    b. Validate requirements before a contract is awarded

    c. Provide for prioritization of services requirements to support funding decisions

    d. Increase collaboration among stakeholders on key strategy decisions to optimize services acquisitions and enable efficiencies

    e. Foster proactive management by the Components for services acquisitions

    f. Will provide a process for assessing, reviewing and validating services requirements by senior leaders to include mission need, workforce analysis, strategic alignment, relationship to other requirements, prioritization, and market research. Approval of the requirements should be obtained from the SRRB chair before any acquisition action is initiated and documented in the Acquisition Plan

- Multi-Functional Teams supporting services contract requirements valued at $1B or more will participate in a SAW before seeking acquisition strategy approval

    - o A SAW is a Defense Acquisition University facilitated course where the instructors mentor the team and guide in developing their market research, performance requirements, acquisition planning, source selection process and contractor performance assessment planning and execution documents

    - o The team learns the Seven-Step Service Acquisition Process, as well as how to establish performance based requirements in the Acquisition Requirements Roadmap Tool (ARRT)

- Submission of the Acquisition Strategies to OSD for review and approval are required:

    - o Before the final solicitation is issued

    - o To submit to the Director, DPAP for any proposed acquisition of services for which the USD(AT&L) or designee is the decision authority

- Will review within 30 days after receipt. Criteria and tenants are addressed in the Defense Federal Acquisition Regulation Supplement (DFARS) 237.102-76

- After review, the result will be either approval or disapproval of the acquisition strategy

- Review and approval process will precede the peer review of the request for proposal

- The Director, DPAP will conduct peer reviews for all service acquisitions with an estimated value of $1B or more or $500M for non-competitive acquisitions (DFARS 201.170)

- FDEs and their leadership teams will provide the USD (AT&L) semi-annual reports. The updates will review implementation of the strategic management processes and framework to lead, manage and support the effective and efficient acquisition of services. (Department of Defense, 2016)

2.   **Other Notable Considerations**

DFARS Procedures, Guidance and Information (PGI) 237.102-77 includes the requirements for the Automated Requirements Roadmap Tool (ARRT), which was created to assist requiring activities to develop their performance-based requirements by providing a standard template and some default text that can be modified to fit each requirement. The DFARS PGI further states "the tool *should* be used to prepare contract documents for all performance-based acquisitions for services." Acquisitions participating in the SAW will be taught how to use the ARRT. (DFARS PGI 237.102-77). Additionally, acquisitions meeting the threshold for OSD Peer Review will be asked to justify if they did not use ARRT to develop their requirements as it is a best practice.

DPAP has created a Services Acquisition website to provide information including policies and guidance, information on the assigned FDEs and SSMs, SRRB, and training. Additionally, the website provides information for both pre and post-award Peer Reviews to include frequently asked questions, Peer Request forms, questions asked for the Peer Reviews and most importantly, best practices. This website helps facilitate information sharing by DPAP and can assist to ensure that submissions to DPAP are more consistent (DPAP Service Acquisition, n.d.)

B.   THE UNITED STATES ARMY

The Army is required to implement the OSD Service Acquisition requirements, but also has the ability to add supplemental requirements as they deemed fit. This section will address the supplemental requirements for service acquisitions through the Army.

As stated in a briefing by the SSM, the Army has added Governance and Oversight through: Service Acquisition Guidance (Policy), Portfolio Management (by establishing a Portfolio Coordinator/Manager structure), Strategic Sourcing, Acquisition Strategy Approval/Peer Reviews, SAWs, Service Acquisition Training (to non-acquisition workforce), Audits, and Service Requirements Reviews. Assistant Secretary of the Army for (Acquisition, Logistics and Technology) ASA(ALT) Services Acquisition Update briefing, May 12, 2015 (W. Mercer, personal communication, August 18, 2015).[1]

Policies that lead the Army: DODI 5000.74, Army Federal Acquisition Regulation Supplement (AFARS) 5137-Service Contracting, Army Regulation (AR) 70-13 Management and Oversight of Service Acquisitions, and the Army Services Implementation Plan-Optimization of Army Services Acquisition. Although DODI 5000.74 is the leading policy, as of the conception of this JAP, the Army has not released updated policy in accordance with the changes. The provided Army policies do not include the latest requirements/updates and therefor, have not been included in this section, unless interim guidance was provided through points of contact, as specified further throughout this section.

Below is a brief explanation of each Army policy, in order of timeframe released and their supplemental requirements enacted for service acquisitions.

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[1] A PowerPoint briefing to the ASA(ALT) was provided via email by a portfolio coordinator at the Office of the DASA(P) SSM.

1. **2010 Army Regulation (AR) 70-13 Management and Oversight of Service Acquisitions**

- Provides pre-award requirements and documents required for Army service acquisitions from advance planning and service contract approval through contract formation

- Upon the release of the DODI 5000.74, the Army is in the process of updating this regulation and will provide the revision once complete

- Established the requirement for the Headquarters Department of the Army (HQDA) Army Services Strategy Panel (ASSP) for service acquisitions that require USD (AT&L) review and approval. The purpose of the ASSP is to "provide senior Army functional principals the opportunity to review proposed acquisition strategies and metrics for service acquisitions and reach consensus on the strategies that are most advantageous to the Army." (Headquarters, Department of the Army, 2010, p. 10)

- Strategic sourcing is the primary benefit to advance acquisition planning to ensure the most efficient and advantageous manner is utilized by leveraging amongst organizations and to manage procurement spending while seeking better terms and conditions for the life of the contract. (Headquarters, Department of the Army, 2010)

2. **2011 Army Services Implementation Plan–Optimization of Army Services Acquisition**

Prior to the release of the Optimization of Army Services Acquisition in 2011, the Army did not have standardization for services acquisitions. Commands and activities needed the processes and tools to provide visibility in what is being procured. The Implementation Plan describes what the Army requests the organizational structure and integrated processes to be, states the Commander has oversight and accountability for their agency's services spending and to ensure the necessary visibility of services acquisitions is available.

- The plan establishes the portfolio management approach to establish an oversight and management process that will identify, track and monitor projected savings. The Army SSM was formed, as required by OSD policy. (Office of the Assistant Secretary of the Army, 2011)

3. AFARS 5137- Service Contracting

The AFARS was last updated on 25 August 2015, and does not yet include the requirements changes since the release of DODI 5000.74. The Service Contracting part provides the requirements in addition to the Federal Acquisition Regulation and DFARS, to include reference to Army Regulation (AR) 70-13, Army Service Acquisition Strategy (SAS) review requirements, and most important to this topic, requirements for the ASSP and SAS content.

The ASSP process was initiated upon the release of AR 70-13. Formal guidance was provided in AFARS, which is balanced with the approval authorities of the SAS as described in Table 4.

Table 4. AFARS Approval Guidance of SAS

AFARS Approval Guidance of SAS- based on DODI 5000.02 Encl 9 guidance		ASSP Review Level
Acquisitions >$1B	**Estimated Value:** Greater than $1 billion Decision Authority: USD(AT&L)	HQDA level, following an OSD Peer Review
Special Interest	**Estimated Value:** As designated by USD(AT&L) or Military Department Senior Official **Decision Authority:** USD(AT&L)	HQDA level
Services Category I	**Estimated Value:** $250 million, but less than $1 billion **Decision Authority:** DASA(P) or SSM	HQDA level
Services Category II	**Estimated Value:** $50 million but less than $250 million **Decision Authority:** Head of Contracting Activity (HCA) (delegable no lower than Principal Assistant Responsible for Contracting (PARC), Program Executive Officer (PEO) or direct reporting Program Manager (PM)	PEO, direct reporting PMs and HCA level (delegable to PARC)
Services Category III	**Estimated Value:** Greater than SAT but less than $50 million **Decision Authority**: HCA (delegable no lower than the CCO) or PM	HCA level (delegable to PARC)

The ASSP concludes upon receiving approval of the SAS. The final solicitation cannot be posted until the SAS has been approved. For service acquisitions requiring HQDA review and approval (over $250 M, as reflected in Table 4), this process can take between 30 and 60 days (AFARS 5137(f)).

The Implementation Plan established the portfolio management approach for oversight, which ultimately led to the creation of the Portfolio Coordinators and Portfolio Managers to provide support to the Army services acquisition oversight by conducting spend and trend analysis; facilitating collaboration between requiring activities; and identifying potential strategic sourcing opportunities. Portfolio Coordinators are SSM staff, while Portfolio Managers are Command Level staff, with one manager aligned to each of the DOD portfolio taxonomies (Office of the Assistant Secretary of the Army, 2011).

4. Other Notable Considerations

A DPAP Memorandum established the requirement to participate in a SAW for service acquisitions meeting or exceeding $1B (Director, DPAP, 2012); however, to further establish the Army requirements, DASA(P) SSM lowered the threshold to $250M+, and strongly recommended for service acquisitions $10M (Office of the Assistant Secretary of the Army, Acquisition, Logistics and Technology, 2013).

C. GOVERNMENT ACCOUNTABILITY OFFICE (GAO)

As the federal government's largest buyer of services provided by contractors (Cooper, 2005), DOD's obligations for services in 2014 totaled $156 billion, accounting for more than half of total contract spending (DiNapoli, 2016). Although DOD has taken several actions to make improvements, it still continues to face challenges related to the management of service acquisitions.

This section will review those challenges and the events leading up to the current policies and directives and subsequently, the establishment of the additional Army service acquisition reviews.

In 2002, William T. Woods testified that DOD spending was not being managed efficiently and that "millions of service contract dollars were at risk at defense and

civilian agencies because acquisitions were poorly planned, not adequately competed, or poorly managed" (Woods 2002, p. 1). To help guide DOD's efforts, GAO examined strategic frameworks that industry adopted in order to find ways to leverage their resources to better manage their relationships with their suppliers and control costs. In 2001, "the Secretary of Defense noted that DOD is working to adapt the same 'revolutionary business and management practices that helped the commercial sector gain a competitive edge in a rapidly changing global marketplace'" (Brock, 2002, p. 17). In the same year, GAO reported that the DOD operated like companies before they adopted a strategic approach where responsibilities for acquiring services were divided amongst the different commands making it difficult to coordinate service contracting initiatives. In response, "Army officials noted that they are evaluating how to centralize the processes for acquiring services within the Office of the Secretary of the Army" (Brock, 2002, p. 20).

According to GAO report, *Defense Acquisitions: Tailored Approach Needed to Improve Service Acquisition Outcomes,* in May of 2002, DOD established policy requiring the development of a review process and oversight thresholds for individual service acquisitions. Thereafter, military departments were tasked with establishing similar review processes. "The Air Force, Army, and Navy each developed individual service acquisition review processes and authorities to support the DOD review requirements and identified respective decision authorities responsible for conducting execution reviews to assess progress against metrics" (Francis, 2006, p. 23). Also significant in 2002, was the formation of the Services Acquisition Reform Act of 2002. One main goal of the bill was to improve the management of service acquisitions (Woods 2002).

In 2003, GAO report *Contract Management: High-Level Attention Needed to Transform DOD Services Acquisition* reported that "recent legislation directs DOD to manage its services procurement more effectively" (Cooper, 2003, *Highlights*). However, DOD's management reviews for services acquisitions were not a good representation of their strategy to be more effective for DOD and the military departments. Cooper stated, "Greater attention is needed by DOD management to promote a strategic orientation by setting performance goals, including savings goals, and ensuring accountability for

achieving them" (Cooper, 2003, "Highlights"). Continuing their efforts in 2002, Cooper reported that using a strategic approach modeled after industry could help reform DOD.

> Congress included provisions in the National Defense Authorization Act for Fiscal Year 2002 to achieve significant savings through improved management and oversight of services procurement. Specifically, section 801 of this law requires DOD to establish (1) a management structure designed to provide visibility and establish accountability for services contracts, (2) a program review structure for major services acquisitions, and (3) an automated system to collect and analyze data to support management decisions in contracting for services. (Cooper, 2003, p. 2)

In 2001, the Army was given approval to consolidate contracting activities which established the Army Contracting Agency in October 2002 in an effort to reduce costs. "The agency's organizational structure assigns regional executive responsibility for managing services contracting, and included a high-level council in headquarters for overseeing more strategic approaches to buying Army installation support services." (Cooper, 2003, p. 12)

In a 2005 GAO report, *Contract Management: Opportunities to Improve Surveillance on Department of Defense Service Contracts*, Cooper reported that "the Army does not require surveillance personnel to be assigned responsibility prior to contract award" (Cooper, 2005, *Highlights*). Furthermore because surveillance duties were considered a part-time responsibility, they were not evaluated on their surveillance performance (Cooper, 2005). Despite efforts to implement the provisions in the FY2002 NDAA, there was little improvement in service contract surveillance (Cooper, 2005). In this same report, it was found that DOD was unable to communicate their plan to improve the acquisition of services, identify necessary changes and processes to prioritize risks or even understand service spending trends. At the time of this report, DOD's current strategy did not address how they intended to manage risk or integrate key service acquisition initiatives (Cooper, 2005).

In 2006, "GAO identified DOD contract management to be at high risk of vulnerabilities to fraud, waste, abuse, and mismanagement for more than a decade" (Francis, 2006, p. 1). Some reasons for vulnerabilities were identified by GAO's 2005 high-risk report and included a lack of a strategic approach to buying services and a

comprehensive plan to assess skills and capabilities in the acquisition workforce. Additionally, DOD was not fully considering all available tools and resources to acquire services (Francis, 2006). "DOD's current approach to managing service acquisition has tended to be reactive and has not fully addressed the key factors for success at either the strategic or the transactional level" (Francis, 2006, p. 3).

In April 2009 GAO report, *Defense Acquisitions: Actions Needed to Ensure Value for Service Contracts,* John Hutton and William Solis stated that "DOD does not always use sound practices when acquiring services and the department lacks sufficient people with the right skills to support its acquisitions" (Hutton & Solis, 2009, *Highlights*). Hutton and Solis reported that a review of Army services contracts indicated that contract oversight was inadequate due to lack of trained personnel. Additionally, due to incomplete files and lack of proper documentation, contract oversight for services contracts supporting contingency operations was inadequate (Hutton & Solis, 2009).

In September 2010, USD(AT&L) issued the first of three BBP memoranda that included steps to improve service acquisitions. In the November 2010 memorandum that followed it, USD(AT&L) directed that each military department establish the position of a SSM, responsible for planning, executing, strategically sourcing, and managing service contracts for their military departments, and to serve as the approval authority for service acquisitions valued at less than $250M (DiNapoli, 2016).

In September 2011, Belva M. Martin reported, "according to the Defense Science Board, buying services was fundamentally different than buying weapon systems because of the time it generally takes to move from the identification of a requirement to contract" (Martin 2011, p. 1). In GAO report, *Defense Acquisitions: Goals and Associated Metrics Needed to Assess Progress in Improving Service Acquisition*, DiNapoli reported that, of the contracts reviewed, more than half of the personnel with acquisition related responsibilities were non-acquisition personnel (DiNapoli, 2013). Over the past decade, the same issues have been raised about the challenges that DOD faces with services acquisitions.

In 2012, in an effort to assist DOD personnel develop better acquisitions, USD(AT&L) collaborated with DAU to develop the Acquisition Requirements Roadmap

Tool (ARRT). GAO reported, although it was not mandated to be used across DOD, the feedback was positive. Its intended purpose of helping personnel write critical documents such as performance based requirements and performance work statements, was apparent in these documents better reflecting the requirements. In this same year, USD(AT&L) mandated the use of the SAW. Additionally, "USD(AT&L) established the Acquisition of Services Functional Integrated Product Team (Services FIPT) in August 2012, in part, to address training requirements in 10 U.S.C. § 2330 acquisitions" (DiNapoli, 2013, p. 1 p. 11). One of the tasks for Services FIPT's was to identify how to properly train non-acquisition personnel involved in service acquisitions (DiNapoli, 2013). Unfortunately, at the time of report, the Services FIPT had made little progress.

GAO reported in June 2013 that, while DOD took actions to address legislative requirements, they were not positioned to determine its impacts to services acquisition. In part, DOD was unable to define a desired end state because the available data was not being utilized to determine the "current status of service acquisition in terms of the volume, type, location, and trends" (Di Napoli 2013, *Highlights)*. Additionally, because of DOD's inability to develop a strategy to utilize spending data for informed decision making, DOD's contract management remained on GAO's High Risk List (DiNapoli, 2013).

Still on the 2015 High Risk Series, GAO reported that DOD lacked an action plan to guide its efforts in service acquisitions. And although DOD acknowledged the need for a strategy for acquiring services, they still lacked one, as well as the necessary reliable data.

DOD has taken several important steps to improve its management of services as well as to increase its knowledge of and visibility into service contract spending. Until DOD changes its approach to comply with reporting requirements and captures all contracted services in its budget exhibits, Congress will not have the statutorily required information needed to help conduct oversight (DiNapoli, 2016).

D.   BETTER BUYING POWER

Another factor that influences the ASSP review processes is Better Buying Power (BBP), which is a series of iterative acquisition reform initiatives released by the Secretary of Defense Acquisition, Technology and Logistics.

> BBP is the implementation of best practices to strengthen the Defense Department's buying power, improve industry productivity, and provide an affordable, value-added military capability to the Warfighter. Launched in 2010, BBP encompasses a set of fundamental acquisition principles to achieve greater efficiencies through affordability, cost control, elimination of unproductive processes and bureaucracy, and promotion of competition. BBP initiatives also incentivize productivity and innovation in industry and Government, and improve tradecraft in the acquisition of service. (Department of Defense, n.d.)

A summary of the BBP release timeline is provided in Figure 4.

- BBP 1.0 – Released September 2010
- BBP 2.0 – Released November 2012
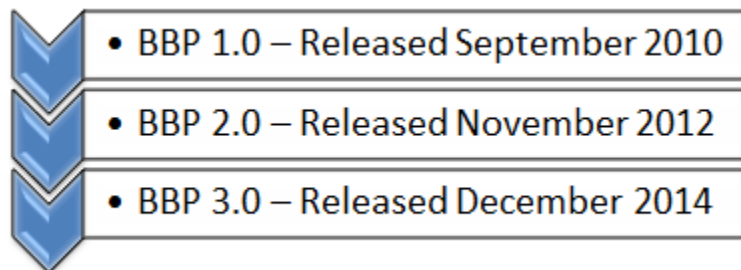- BBP 3.0 – Released December 2014

Figure 4.   BBP Release Timeline

Since the launch of the initiative, there have been three series of BBP. BBP 3.0 is the latest iteration released in December 2014 continued to build upon seven focus areas established during BBP 2.0. The latest version also provides further direction by creating initiatives under each focus area. Applicable information outlined in Table 5.

Table 5. BBP Influences on Army Service Acquisition Process. Source:
Department of Defense (n.d.)

BBP Influences on Army Service Acquisition Process		
Applicable BBP Focus Areas	**Description**	**Applicable Initiatives**
Achieve Affordable Programs	Conducting a program at a cost constrained by the maximum resources the Department can allocate for a capability. These resources include funding, schedule and manpower	• Mandate affordability as a requirement
Eliminate Unproductive Processes and Bureaucracy	Unnecessary and low-value added processes and document requirements are a significant drag on acquisition productivity and must be aggressively identified and eliminated.	• Reduce frequency of OSD level reviews • Re-emphasize AE, PEO and PM responsibility and accountability • Reduce cycle times while ensuring sound investment decisions
Promote Effective Competition	Real competition is the single most powerful tool available to the Department to drive productivity.	• Emphasize competition strategies and creating and maintaining a competitive environment • Increase small business roles and opportunities
Improve Tradecraft in Acquisition of Services	The substantial amount of money spent on contract support services demands a management structure to strategically source these goods and services.	• Assign senior managers for acquisition of services • Improve requirements definition / prevent requirements creep • Increase small business participation • Strengthen contract management outside of normal acquisition chain • Expand use of requirements review boards and tripwires
Improve Professionalism of Total Acquisition Workforce	It is the duty of the acquisition workforce to conduct itself with excellence, responsibility, integrity and accountability.	• Establish a higher standard for key leadership positions • Establish stronger professional qualification requirements for all acquisition specialties • Continue to increase the cost consciousness of the acquisition workforce

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III.   POLICY IMPACT ANALYSIS

The Army established goals in accordance with the Better Buying Power tenant, Improvements in Services Tradecraft. The objective was to produce $2.5 billion in Army-wide savings between the fiscal years 2012 and 2016. Army leadership was provided an annual update of army wide services acquisitions requirements and cost savings through consolidation of the 49 Army agencies services reports by the SSM, which reported $2.29B in savings as of 1QTR FY16, Army Senior Services Manager Cost Savings Update, December 21, 2015 (W. Mercer, personal communication, 2016, March 15)[2]

The Cost reduction drivers included change in contract types, requirements re-validation, consolidations, and reduction and increased competition through Strategic sourcing.

An Army Services Acquisition Update was provided to the Assistant Secretary of the Army for Acquisition, Logistics and Technology (ASA(ALT)) on 12 May 2015 to assess the DASA(P) Senior Service Manager progress.

The ASA(ALT) was interested in how the goal to save $2.5 billion in services acquisition was being accomplished. The data presented by the SSM reflected that 52% of the cost savings were achieved by changing or reducing requirements due to the increased use of structured requirements and conducting requirements validation and reviews. Additionally, the SSM provided the quantities of service acquisitions that have submitted their SAS for approval in Table 2 (ASA(ALT) Services Acquisition Update briefing, May 12, 2015; W. Mercer, personal communication, August 18, 2015).[3]

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[2] A PowerPoint briefing from the SSM was provided via email by a portfolio coordinator at the Office of the DASA(P) SSM.

[3] A PowerPoint briefing to the ASA(ALT) was provided via email by a portfolio coordinator at the Office of the DASA(P) SSM.

Table 6.   Service Acquisition Strategy Submissions. Source: W. Mercer, personal communication (August 18, 2015)

SAS Submitted to SSM (>$250M<$1B)	
Quantity	Fiscal Year
10	2013
7	2014
3	2015
SAS Submitted to DPAP (>$1B)	
Quantity	Fiscal Year
2	2013
5	2014
2	2015

Although these numbers do not appear to be significant in comparison to the $56.4 billion in 2013 and $48.8 billion in 2014 spent annually by the Army on service acquisitions, the impact to the specific requirement is noteworthy (ASA(ALT) Services Acquisition Update briefing, May 12, 2015; W. Mercer, personal communication, August 18, 2015). This section will provide a further examination into the mandatory documentation, review timeframes to complete the ASSP, and obtain approval of their SAS.

As part of requirements development, the Multi-Functional Integrated Product Team (MFIPT) is required to participate in a SAW. DOD requires for service acquisitions meeting or exceeding $1 billion, however, the Army has a more stringent requirement for participation in a SAW; for any service acquisition $250 million and above, and strongly recommends for those over $10 million (Office of the Assistant Secretary of the Army, Acquisition, Logistics and Technology, 2013). During the SAW, recommendation will be given to utilize ARRT to help develop performance-based requirements for these service acquisitions. Use of ARRT is not mandatory, but the DFARS PGI 237.102-77 states "this tool should be used …" While the SAW can be helpful in training the MFIPT in using ARRT, there is a definite learning curve to understand the processes of the system.

In a typical requiring/contracting activity, a Solicitation Review Board (SRB) must be conducted prior to releasing a final solicitation. For service acquisitions that fall

under the description provided throughout the OSD and Army policies discussed, many steps are to be completed following the SRB but prior to releasing the final solicitation.

It is a best practice that the requiring activity is in communication with their portfolio coordinators and portfolio managers throughout requirements development and all the way through submission of their SAS for review/approval. It is also important that the IPT publicize their upcoming requirement with the SSM well in advance to ensure personnel are available.

Prior to submitting the SAS for the ASSP, the IPT is required to pre-brief the Army OSBP (AFARS 5137.590-5). There may also be pre-briefs to other OSBP offices prior to that level (such as the Army Materiel Command) as requested, but not per policy. As outlined in the Secretary of the Army Office of Small Business Programs memorandum, this brief is required to address the small business opportunities specifically, a description of market research completed, how opportunities and competition are increased, how small business participation will be evaluated, etc. (Secretary of the Army OSBP 2014). The OSBP office will scrutinize the requirement and validate that all opportunities were pursued where possible. The required ASSP documentation includes the following (ASSP Meeting list) in Table 7.

Table 7.   DASA(P) Service Acquisition

ASSP Supporting Documents Required:
Business Case Analysis
Cost Benefit Analysis
Completion of SAW or Waiver
Consolidation Determination and Findings (D&F) (if applicable)
Market Research Report
Source Selection Authority Appointment (if over $500M, by DASA(P)
Performance Work Statement (PWS)
Quality Assurance Surveillance Plan (QASP)
Small Business Coordination Record DD2579
Independent Government Cost Estimate
Request for Services Contract Approval Form
Service Acquisition Strategy
Source Selection Plan
Pre-Brief to Army Office Small Business Programs
ASSP Briefing Package

Although the Army has yet to provide supplemental guidance in response to the release of the DODI 5000.74, approval for service acquisitions exceeding $1 billion can be delegated to an Army SAE or designee (Department of Defense, 2016). This should reduce review and approval timelines as SAS approval stays within the military department.

According to a portfolio coordinator from the SSM office, in the past when submitting a package for DPAP approval they estimated 60 days, whereas with the approval delegation, they anticipate providing approval between 30 and 45 days. (W. Mercer, personal communication, March 16, 2016).[4] To ensure best success, coordination with the Portfolio Manager and Portfolio Coordinator throughout requirements development and preparing for the ASSP is recommended. The ASSP supporting documentation referenced in Table 3 would already have been completed by the MFIPT prior to this stage, requiring the team only to provide an ASSP Briefing as an additional requirement. A sample ASSP Briefing provided by a Portfolio Coordinator outlines the briefing requirements are included in Table 8.

Table 8.   ASSP Briefing Contents (Sample)

Requirement	Risk Management Approach
Summary of Acquisition	Small Business Provisions
Acquisition Benefits	Business Arrangements
Previous Acquisition Challenges	Source Selection Approach
Organizational Structure	Source Selection Evaluation
Market Research	Metrics
Competition	Acquisition Schedule
Consolidation	Recommendation

As detailed in the Chapter IIB, OSD Policy section, DOD requires Peer Reviews, both for pre-award (up to three phases) and post-award (annually). For a typical Army acquisition exceeding $1 billion, the team can expect approximately 66 additional days (W. Mercer, personal communication, March 15, 2016)[5] to obtain approval from the

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[4] This information was communicated via email with a portfolio coordinator at the Office of the DASA(P) SSM.

[5] This information was communicated via email with a portfolio coordinator at the Office of the DASA(P) SSM.

Army SAE when accounting for Army OSBP Pre-Brief, anticipated revisions, the routing of the SAS and the completion of the ASSP Briefing. The process begins once the agency SRB has concluded and is submitted to the Army SSM. This estimated timeframe includes the Army OSBP pre-brief, although that may be able to be completed in conjunction with the SRB (unrelated). In addition, completion of the Phase 1 OSD Peer Review is anticipated to add another 30 days to the schedule (W. Mercer, personal communication, March 15, 2016).

Once the ASSP has concluded upon receipt of SAS approval, the IPT is permitted to post the final request for proposal (AFARS 5137.590-5). After receiving proposals and evaluations are conducted, a Phase 2 OSD Peer Review is required if the IPT requests final proposal revisions. This could lengthen the procurement administrative lead time by another 30 days.

Finally, after a local agency contract review board provides approval of the contract award, the Phase 3 OSD Peer Review is required, further lengthening the process by 30 days for review time. (W. Mercer, personal communication, March 15, 2016).

Table 9 reflects the total estimated additional procurement acquisition lead time to conduct the OSD and Army service acquisition review requirements. This list is not inclusive of other pre-briefs that could include subordinate commands (such as Army Materiel Command) or the SSM. The IPT should make greatest attempt to participate in the pre-briefs in conjunction of other activities without lengthening time to award.

Table 9.   Timeline of Requirements Leading up to ASSP

Activity	Estimated Duration
Army OSBP Pre-brief	21 days
ASSP Process	45 days
OSD Phase 1 Peer Review	30 days
OSD Phase 2 Peer Review	30 days
OSD Phase 3 Peer Review	30 days
Total Estimated Duration	**156 days**

One might question why briefings would require such an extensive period, but the IPT must account for coordination days, pre-reviews (such as providing briefing/

supporting documents in advance), the actual briefing, and any necessary adjudications prior to final approval. In all of these review instances, the Army or OSD provides a completion memo, and the IPT is unable to move forward until receiving that approval. DASA(P) Service Acquisition.

The contracting officer is required to document the disposition of all Peer Review recommendations and if they choose not to accept the recommendations, it must be addressed why they were not incorporated. The signed memorandum is to be provided prior to the next Peer Review (DFARS PGI 201.170-4).

Since the release of the DODI 5000.74, the Army is hesitant to provide specific guidance on approval authorities, as the Army has not yet announced the selection of the SAE. This affects part of the ASSP process, as generally when a pre-award Peer Review was required, DPAP would provide the final approval of the SAS. Now that the SAS approval has been delegated, there is some uncertainty in the process (W. Mercer, personal communication, March 17, 2016).[6] The following flowchart reflects the process and requirements of the ASSP.

As noted in the ASSP Requirements (Figure 5), the SSM has the ability to waive the ASSP briefing requirement if the package submittal contents have thoroughly explained and addressed the requirements and no further questions necessitate a briefing (AFARS 5137.590-5(a)(2)). If the MFIPT thoroughly followed the instructions provided "prior to the ASSP," the likelihood may be higher. For example; if a team utilizes ARRT to create their performance-based requirements, they should be better suited for the acquisition and could therefore result in reduced revisions. Additionally, constant communication and sharing of requirements documents with the Portfolio Coordinators and Portfolio Managers will allow them the opportunity to provide suggestions prior to the ASSP briefing.

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[6] This information was communicated to use via email with a portfolio coordinator at the Office of the DASA(P) SSM.

Ensure compliance with DoDI 5000.74 and Army Policies on Services Management

Step 1
Prior to the ASSP: Form IPT, conduct SAW, follow the DAU seven step process, assign/coordinate with services PM, FSM and SSM office coordinator, develop requirements, complete SRRB, develop D&Fs, draft RFP, etc.

Begin SAS routing locally Post Draft RFP

Step 2
Begin ASSP Process

Step 3
*Pre-brief SSM: Five W's: what are you acquiring, for what mission, where, when, and what is the contracting approach to the acquisition

Step 4
Provide Small Business Pre-brief to leadership

Step 5
*Pre-brief AMC OSBP: Focus on increasing competition and small business opportunities, inclusion of Small Business Specialist, Evaluation of Small Business, Risk Mitigation and Performance Metrics

Step 6
Pre-brief Army OSBP Focus on increasing competition and small business opportunities, inclusion of Small Business Specialist, Evaluation of Small Business, Risk Mitigation and Performance Metrics

Step 7
Conduct local SRB/ASSP package review

Step 8
Send SAS and ASSP package to SSM Include all contents as referenced in the ASSP Meeting Prep List

Step 9
ASSP Briefing (unless waived)

Step 10
Obtain approval of SAS by DASA(P) SSM

< $1 Billion acquisition: Approved to release solicitation

> $1 Billion acquisition: Proceed below to obtain approval to release solicitation

Step 11
SSM coordinates with DPAP for any service acquisition over $1B to initiate OSD Peer Reviews (pre-solicitation)

Step 12
Conduct Pre-Award Peer Review(s) with DPAP

Step 13
Obtain concurrence from DPAP to release solicitation

*these requirements are not listed in Policy but will be required, per discussion with the Office of the DASA(P) SSM, March 2016
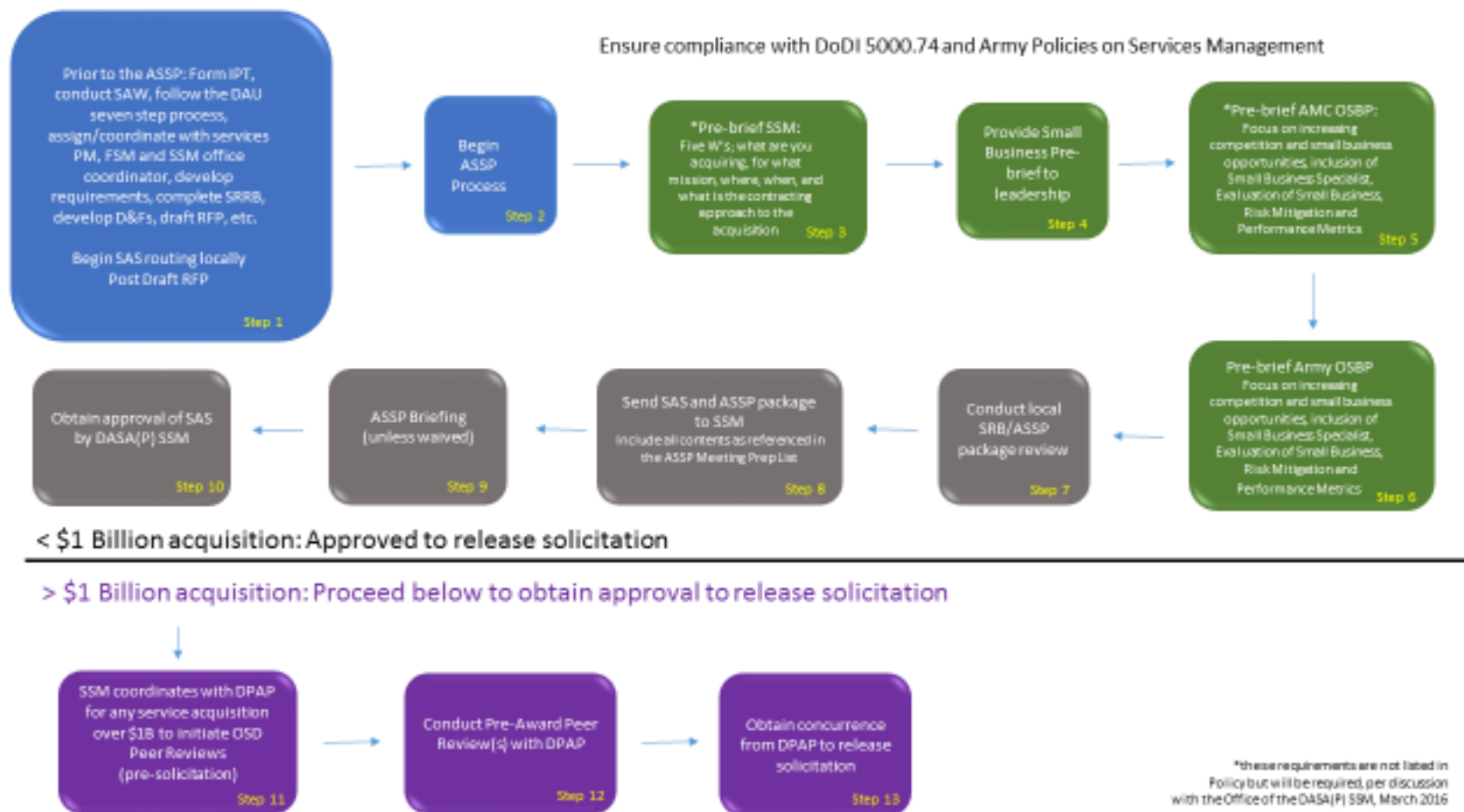
Figure 5. Army Services Strategy Panel (ASSP) Requirements for Service Acquisitions ≥ $250M

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There are two briefings required per the ASSP Requirements Figure 5 that are not part of any current Army policies: the SSM pre-brief and the AMC OSBP pre-brief (if aligned under AMC). The SSM pre-brief is something that the Portfolio Coordinators request the MFIPT to provide an overview of the acquisition and the anticipated strategy. This is to be conducted one to two months prior to beginning the ASSP process (W. Mercer, personal communication, March 15, 2016).[7] The AMC OSBP pre-brief is now requested so they have insight into the acquisition strategy prior to briefing the Army OSBP where small business approves of the acquisition strategy prior to beginning the ASSP (W. Mercer, personal communication, March 16, 2016). Recommend these additional requirements will be part of the updated Army policy (AR 70-13) in response to the release of the DODI 5000.74

BBP Analysis

Direction provided in BBP acquisition improvement initiatives drives policy change across the DOD. Each branch adopts and creates practices to help achieve these goals in a manner that works best within the organization. The tenants outlined in BBP are filtered down and impressed upon acquisition communities Many of the goals identified in BBP are fairly straightforward in nature when assessed individually. In a vacuum, it would be easy to create policies to achieve certain initiatives without factoring for the side effects of those changes and how they might impact other areas of the acquisition process. Analyzing BBP direction shows areas where intentions may contradict each other.

BBP strives for *achieving affordable programs* with respect to cost, schedule and manpower. The DOD is constantly resource challenged so it's understandable why this would be a goal. The Army services acquisition review process is designed to help facilitate procurements that will provide the best value to the government and the taxpayer. It's important to realize though that these review processes require greater government resources in order to be effective. The man-hours and associated cost to

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[7] This information was communicated to use via email with a portfolio coordinator at the Office of the DASA(P) SSM.

conduct and complete these reviews should be tracked and evaluated to ensure value add is realized.

BBP also aims to *eliminate unproductive processes and bureaucracy* to eliminate low value-added processes. To do so, individual commands needs to exercise more autonomy and manage programs organically rather than mandating higher level reviews. To determine whether or not review processes are providing critical inputs to the procurement, the Army must constantly assess whether the input requirements to participate in the peer reviews warrant the end result. Without a critical look at the process and realized gains, a determination cannot be made with respect to the value of the process.

Currently, DOD requires DPAP Peer Reviews for service acquisitions exceeding $1B; however, with the release of DODI 5000.74, the USD(AT&L) has the ability to delegate the approval of the Acquisition Strategy to the Army SAE. Considering that the $1B review threshold now has the ability to be waived, the DOD should consider increasing the threshold for OSD Peer Reviews. Requirements for seeking Army SAE review delegation could also be outlined to reduce more OSD level reviews.

The Army further mandates that service contract requirements in excess of $250M must participate in the ASSP process. The Army could also consider increasing this monetary threshold to reduce the resource challenges associated with higher levels reviews.

Part of the primary focus of the ASSP review process is to help promote effective competition for Army requirements. This coincides with BBP initiative to not only promote but to maintain competitive environments and create opportunities for small businesses. To achieve this goal, extensive resources must be applied during the acquisition planning process to ensure that the Army's requirements can be met without creating overly restrictive solicitation requirements. The Army should track and assess whether or not the goals are being obtained and weigh the perceived benefits against the resource requirements.

BBP's focus on *improving the tradecraft in the acquisition of services* also influences Army contracting policies. The ASSP review process helps facilitate improved acquisition approaches and implementation by following the required OSD level oversight and influence. This also comes with an associated cost in terms of man-hours and schedule requirements. The Army should assess the resulting benefits and improvements after completion of requirements reviews.

Improvement of the acquisition workforce will continue to be a pillar of BBP. It will take time and considerable efforts to make the wide spanning culture change to develop and retain a talented acquisition community. As these changes occur over time, the Army should track whether OSD level reviews are still necessary and provide sufficient value as compared to schedule and cost requirements. This could provide insight to OSD to consider if the reviews could be pushed back to the military departments. As the acquisition community grows and evolves, more autonomy should be applied resulting in less peer reviews while maintaining improved acquisition documents.

IV. RESEARCH METHODOLOGY

The section will leverage existing research in order to create a tool to analyze the Army service acquisition review requirements and test the perceived effectiveness of the intended policy improvements. In order to gain insight from participants of the ASSP review process, a survey will be developed for potential use by DOD leadership. As part of the development process, the tool will be field tested by a group that represents the target population for review, and comments for potential improvements. In order to create an effective instrument, it is critical that proper survey development techniques are implemented. Various scholastic resources were reviewed with slightly varying methodology to provide a framework to navigate this process. Components of the different methods will be utilized in order to develop an effective survey instrument that will best pull information needed to meet the stated objective. This section will look closely at elements of various surveying techniques and apply them in this context.

A.   SURVEY DEVELOPMENT PROCESS

Fundamentally, a determination needs to be made whether to utilize a quantitative or qualitative methodology, which will set the foundation for the survey as a whole. The two different approaches have varying ideologies, which will impact each step in the survey development process.

> Quantitative methodology refers to an approach involving the use of numeric-based information that can be measured, compared, and analyzed statistically. This methodology is primarily used as a way to quantify achievement of outcomes as a result of participation in a program. The advantage of quantitative methodology is that it measures the reactions of a great many people to a limited set of questions, thus facilitating comparison and aggregation of data. Therefore, findings can be generalized.

> Qualitative methodology refers to an approach that examines, describes, or interprets a program. Qualitative methods make it possible to study a program or issue in more depth and detail than quantitative methods. This methodology is designed to find out what people do, plan to do, think, and feel.

Qualitative methods provide vast amounts of detailed information about small numbers of people and cases, while quantitative methods can deal with large numbers of people and limited sets of questions. (Barkman, 2002, p. 9).

For the purposes of answering the primary research question, a qualitative survey instrument will be developed.

The next step in the process is to identify what will be accomplished by issuing the survey. Before designing, it is essential to identify the objective, or the reason the survey is being conducted (Loyola, n.d.). Understanding the objectives sets the framework and narrows in the focus and direction of the survey.

It is also critical to determine what is being measured. This should be decided based on the overall research objectives and will also frame in latter parts of the survey.

Surveys typically measure any of the following: attitudes or perceptions; knowledge; skills; goals, intentions, aspirations; behavior and practices; knowledge, skills and behaviors. It's possible to measure more than one of these attributes, but questions will differ in wording and response options based on what is being targeted. (Rutgers, 2002, p. 1-2).

For the purpose of accomplishing the thesis objectives, the survey instrument will be developed to assess attitudes or perceptions, which carry similar design characteristics.

Another important decision point in the survey development is to choose an appropriate data collection procedure. Particularly, emphasis should be placed on deciding whether or not to use confidential or anonymous methodology. Before making this determination, it is important to understand the fundamental differences between the two (Rutgers, 2002).

Utilizing confidential collection techniques helps protect identities during surveying. Characteristics of confidential collection include: names and identifiers used to follow non-respondents or match data from pretests; information is not used for other purposes; and identifying information is destroyed after survey is complete.

Anonymous collection methods also help protect the identities of the respondents. Characteristics of anonymous collection methods include: name is not asked of respondents (researcher is unable to follow non-respondents or match data from pretests); and can collect basic descriptive

data (can be useful for comparing respondents with the population). (Rutgers, 2002, p. 2-3).

For the purposes of the survey being developed, an anonymous survey would be most appropriate. Considering that the survey is measuring perceptions of individuals work environments as well as oversight officials, anonymity is key to getting honest answers. Further, demographic information, such as job category could be useful information to collect.

Knowing the survey focus intends to assess attitudes or perceptions, the survey should be constructed to assess altitudinal outcomes.

> When trying to measure the type of outcome, there are three types of attitudinal statements. Cognitive items express beliefs. Affective Items express feelings. Conative items express behavior intention or preference. (Barkman, 2002, p. 22).

Considering the survey itself will assess DOD employees' perspective on recent policy changes, the focus should be on cognitive items as the instrument would be crafted to understand the individual's beliefs or opinions of the subject.

Response options must be crafted in a manner which will support a cognitive attitudinal assessment. Failure to properly structure the questionnaire will result in inconsistent or flawed data. The model followed for this survey will be constructed as demonstrated below:

> Respondents can rate statements about the topic on a scale such as: strongly disagree, disagree, undecided, agree, and strongly agree. The mean (average) rating of those statements indicates the respondent's attitude toward the topic. (Barkman, 2002, p. 22).

An example of this type of statement and response set can be found in Figure 6.

Figure 6. Attitude Questions and Response Choices. Source: Barkman (2002)

This survey type aligns well in with the project objective. By using this response type and scoring system an aggregate of response averages can be quickly recorded for individual questions.

B.   ESTABLISHING SURVEY OBJECTIVES

The survey itself will be designed to help determine a set of primary objectives centered around assessing Army service acquisition personnel's perceptions about the service contracting review board requirements. The objectives have been derived after the extensive review of OSD, Army, GAO and BBP policies that helped shape the review process intent and focus. The objective of the survey is to create an instrument that will help to shed insight on the following five questions:

1. Is the ASSP review process leading to desired outcomes?
2. Does value add of ASSP reviews exceed resource outputs required to complete process?
3. Are proper resources available prior to ASSP review in order to maximize value?
4. Are commands capturing metrics to document ASSP review process impacts?
5. Are commands taking appropriate measures to capture lessons learned?

The survey instrument provides a vehicle to gain insight from the perspectives of the reviews' participants. Answering these fundamental questions will help to determine the effectiveness of the Army's services acquisition review processes, and will help provide feedback to DOD leadership on potential ways to maximize value for services acquisitions. Given the time required to successfully complete the Army's services requirements, it's important to take a critical look at the process.

1. Is the ASSP Review Process Leading to Desired Outcomes?

Of the four challenges identified by GAO as high risk, the most significant issue is the lack of an action plan to guide DOD's efforts when acquiring services. DOD was unable to communicate their plan to improve the acquisition of services, identify necessary changes and processes to prioritize risks or even understand service spending trends (Cooper, 2005). Additionally, since the early 2000's, a repeat finding by GAO was that service procurements were not being done efficiently. As stated previously, "agencies were not clearly defining requirements, fully considering alternative solutions, performing vigorous price analyses, and adequately overseeing contractor performance" (Cooper, 2001, p. 1).

To help improve the contracting process, the Army established the ASSP review requirements. The Army has a series of pre-established goals that they intend to achieve by mandating that certain procurements complete this review. As a primary focus of the survey, a series of statements and answer responses will be crafted to help gain understand whether ASSP participants believe these goals are being obtained.

2. Does the Value Add of ASSP Reviews Exceed Resource Outputs Required to Complete the Process?

In an effort to ensure the resource outputs from DOD are value added, DOD needs to adopt a strategy and develop guidance that could provide better management and oversight and help leverage its buying power. Cooper recommended "key elements of this guidance should address:

- Improving knowledge of services spending of services spending by collecting and analyzing data about services procurements across DOD and within military departments and defense agencies,

- Promoting collaboration across DOD and within military departments and defense agencies promoting collaboration across DOD and within military departments and defense agencies by establishing cross-functional teams to carry out coordinated purchasing of services, and

- Establishing strategic savings and performance goals, measuring results, and ensuring accountability by assigning high-level responsibility for monitoring those results" (Cooper, 2003, p. 14)

While addressing these key elements, the ASSP requires a significant commitment from the personnel that are mandated to complete the process as well as the oversight officials involved in the reviews. Consequently, because DOD is constantly faced with resource restrictions, it is imperative to take a look at the effectiveness of the reviews.

Statements and responses in the survey will be tailored to help shed light from recent participants. If input requirements are found to exceed the value add associated with completing the review, consideration should be given to addressing the issue.

3. Are Proper Resources Available Prior to ASSP Review in Order to Maximize Value?

Specific to the Army, GAO reported that the lack of trained personnel lead to inadequate contract oversight. In some cases, Army surveillance was a collateral duty for personnel. "To improve surveillance and further mitigate risk, GAO recommended that the Secretary of Defense ensure proper surveillance training of personnel, develop practices for accountability, and ensure the service contract review process and associated

data collection requirements provide information that will provide more management visibility over contract surveillance" (Cooper, 2005, p.16). The Army, in an effort to ease coordination, planned to adopt a strategy on how to centralize acquiring services, rather than being compartmentalized by consolidating contracting activities to reduce costs and centralize services acquisitions.

Given that the ASSP is a relatively new requirement, it is reasonable to expect many participants may be inexperienced with the process. Considering this constraint, it's important to understand whether or not oversight officials or experienced personnel are available to help guide and direct the acquisition team during the early phases of the procurement. Without sufficient resources, valuable time and effort could be wasted to potential rework. The survey will help to understand individual participant's perspective about their support structure.

4. Are Command Capturing Metrics to Document ASSP Review Process Impacts?

Coinciding with the first survey question, it's important to document whether or not ASSP objectives are being met. Additionally, it's important for commands to track metrics to understand the impacts of the review process in terms of cost, schedule, and programmatic risk.

DiNapoli reports that DOD does not utilize available data or metrics to determine trends or define goals which would put them in a better position to track progress or determine impacts to services acquisition. To do this, DiNapoli recommended "that the Principal Deputy USD (AT&L), in consultation with the military departments' SSMs, take the following three actions:

- Identify baseline data on the status of service acquisition

- Develop specific goals associated with their actions to improve service acquisition, and

- Establish metrics to assess progress in meeting these goals" (DiNapoli, 2013, p. 21)

Statements and responses will be created in the survey to show whether or not individual commands are tracking the outcomes and effects of the ASSP process.

5.   Are Commands Taking Appropriate Measures to Capture Lessons Learned?

As Francis stated, because DOD's approach is reactive when acquiring services, they remain "at high risk of vulnerabilities to fraud, waste, abuse and mismanagement" (Francis, 2006, p. 1). The ASSP review process requires the acquisition team's personnel to complete a stringent review process with oversight from senior acquisition professionals. In his GAO report, Francis recommended a more proactive approach to managing service acquisitions by "capturing lessons learned and

- establish a normative position of how and where service acquisition dollars are currently and will be spent (including volume, type, and trends);

- determine areas of specific risk that are inherent in acquiring services and that should be managed with greater attention (including those areas considered sensitive or undesirable in terms of quantity or performance);

- on the basis of the above, clearly identify and communicate what service acquisition management improvements are necessary and the goals and timelines for completion;

- ensure that decisions on individual transactions are consistent with DOD's strategic goals and objectives;

- ensure that requirements for individual service transactions are based on input from key stakeholders; and

- provide a capability to determine whether service acquisitions are meeting their cost, schedule, and performance objectives" (Francis, 2006, p. 34)

It is important that lessons learned from senior leadership are realized and applied toward future procurements. The survey will seek to gain perspective on whether or not lessons learned are being distributed across acquisition programs.

C.   CREATING THE SURVEY

The survey was created using design approaches identified during the research phase. The instrument was constructed to help answer the five primary survey objectives by creating a series of statements and response options that could be aggregated to provide insight into the actual perceptions of those who have been through the ASSP process. Statements were developed in manner that addressed specific elements of recent policy changes to help assess the end results.

Individual statements, along with the rationale behind their creation are provided in Appendix 1. Appendix 1 applies DOD and Army policies against the each statement, to demonstrate their significance. A number of these statement and response options were designed to help provide insight where policies may seem to contradict.

Statements outlined the Appendix 1 are combined into the draft survey instrument, Appendix 2. Each statement has a corresponding answer set that is designed as a Likert scale to measure varying degrees of agreement with the individual questions. The response options range from *Strongly Agree*, *Agree*, *Neutral*, *Disagree*, and *Strongly Disagree*. An option is also provided to choose not applicable if the respondent were to determine that a question is not relevant to their experience. This statement and answer design will help assess each individual's perceptions on the five primary research questions.

D.   PILOT TESTING

After creating the survey, it's critical to validate or pilot test the instrument. A pilot test provides an opportunity for an unbiased party to review and critique the instrument. It can also greatly increase the accuracy and consistency of the survey.

> This process can help to demonstrate whether or not the questions and response choices are easy to understand and adequate. Misleading or unclear questions can also be pointed out during the pilot. The process also provides an opportunity for feedback and suggestions for improvement from an individual who falls within the demographic that would otherwise have been surveyed. (Barkman, 2002, p. 31).

The pilot testing process provides the researchers valuable critiques from an unbiased party that represents a sample of the targeted population. During this phase, decisions should be made whether or not to revise or improve statement, or potentially remove some altogether. This feedback should help to make the survey instrument stronger and ready for implementation.

In order to pilot test this survey, a draft version of the survey was provided to a group of Army acquisition personnel who have previously experienced the ASSP review process. A listing of acquisitions that had gone through the ASSP review process was provided by a Portfolio Coordinator at the Office of the DASA(P) SSM (W. Mercer, personal communication, August 18, 2015).[8] This information was then utilized to pull the points of contact from the Federal Business Opportunities website (Federal Business Opportunities) to send requests for participation in this pilot test. Appendix 3 provides the initial correspondence sent by the team to those interested in participating in the pilot test. The initial email was sent on January 27, 2016 providing a brief summary of the project with the intent to submit a survey to be field tested in the March timeframe. The survey was provided on March 7, 2016 to all possible participants to include their program and contracts personnel from working level to management. This sample population is representative of the demographic that would be targeted should the Army issue the actual survey at a later date. This process injects valuable firsthand perspective and suggestions on ways to improve the effectiveness of the instrument.

Instructions, provided as Appendix 2, were provided to program participants supporting the pilot test. The pilot will allow each participant approximately two weeks to review the survey and provide comments or suggestions on overall survey improvement. The results of the pilot test will be summarized and recorded in Appendix 1. Inputs and feedback will be weighed and factored into the final survey design.

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[8] This information was communicated to use via email with a portfolio coordinator at the Office of the DASA(P) SSM.

E. ASSESSING PILOT TESTING FEEDBACK

The field test resulted in responses from 4 individuals, which means that half of those that the survey was sent to, took the time to review the tool and provide comments. Ideally, the team would have preferred a higher response rate. Time constraints and workloads of field test participants made requesting an additional data call not feasible. Despite the low response rate, valuable contributions were received from those that did participate. The feedback received during the pilot testing process was evaluated by the team to determine how to best utilize the information. Individual comments and suggestions provided critical insight to help improve the overall survey design.

The respondents all provided varying feedback on the survey. Three of the four elected to answer all of the survey questions to demonstrate how they would respond to the question as written. Further, these three provided additional comments as they addressed the individual questions to help clarify their positions. The forth respondent did not indicate a response for each question to provide their answer as written. This individual did however provide written feedback to help improve certain questions.

The results of the field test feedback are summarized in Appendix 1 and briefly discussed in the next chapter. Comments from the field test participants were reviewed and assessed to effectively utilize the critiques. The team made an assessment on each of the comments and ultimately made a determination on how to revise the survey instrument. The influence of the field test helped create a more comprehensive and effective tool.

F. FINAL SURVEY INSTRUMENT

The revised and final survey instrument is provided as Appendix 2. This survey is the result of in depth policy analysis and critical design efforts. The goal of the survey design was to improve individual statements to help create the more polarizing responses. This was achieved by adjusting verbiage and revising multi-tiered questions to ensure primary focus is evident. The team also aimed to minimize questions that are truly not applicable.

This product has been improved through the process of field-testing individuals that have submitted requirements packages through the ASSP process and is shaped to become an informative tool for Army leadership. The survey can be utilized to provide critical feedback and inputs to help develop an action plan or strategy to guide efforts in services acquisition and help craft future policy decisions.

V. FINDINGS AND RESULTS

This section reviews the findings and results of the survey instrument as provided to program participants supporting the pilot test. As stated earlier, the objective of the survey is to create an instrument that will help to shed some insight on the following five questions:

1. Are the Army service acquisition requirements/reviews leading to desired outcomes?

2. Does the value added through completion of the requirements/review exceed the resource outputs required to complete the process?

3. Is proper training/mentorship available prior to Army service acquisition requirements/reviews to maximize the value of the ASSP?

4. Are Commands capturing metrics to document the requirements/reviews impacts?

5. Are Commands taking appropriate measures to capture lessons learned?

The finding and results for each objective are summarized below. Detailed results of the pilot test are recorded in Appendix 1.

Are the Army service acquisition requirements/reviews leading to desired outcomes?

The statements developed to address this question focused in the perceived benefit of increased oversight and the impact on the following:

- Services contract spending
- Small business contracting opportunities
- Utilization of incentive based contracts
- Requirements definitions
- Effective competition

Additionally, statements were developed that address the influence of the process over increased critical thinking toward the acquisition approach, early identification of

potential risk for proposed strategies, and the whether or not the Army Service Acquisition Requirements reviews help to prevent a protest from being sustained.

Overall, the results varied. While some statements may have elicited strong responses, others were neutral or seen as inapplicable to their organization. In instances where the respondents were unsure of how to respond to the statement, the statement was revised to be clearer, with the intent to elicit a stronger response.

Specific to the statement regarding the utilization of incentive-based contracts, individual respondents did not believe the statement to be applicable to their procurements. Responses indicate that this objective may not be understood or it is not being achieved. In this instance, the statement was not revised; the intent was to determine whether or not there is an increased use of incentive-based contracts. This statement will help to provide feedback to the Army to assess whether or not the review process is aiding to achieve this goal. For those statements that elicited strong responses, there was no change required.

Does the value added through completion of the requirements/review exceed the resource outputs required to complete the process?

The statements developed to address this question focused on the following:

- Improvements in acquisition approach, skillsets of acquisition team, procurement outcomes and acquisition strategies

- Opportunities for feedback for the acquisition team

- Schedule risks on programs

- Utilization of ARRT

- Consequent delays

- Value add to the services acquisition process, such as best practices and capturing lessons learned

Similar to the first question, the results of the statements addressing this question varied. While the majority of the questions elicited strong enough responses and the statements remained unchanged, there were two statements that were revised.

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The first statement revised addressed whether the time spent preparing for and participating in the OSD Pre-Award Peer Review provided valuable input to the acquisition resulting in improvements to the Acquisition Strategy. The statement did not elicit strong responses as written. Because it is important to determine whether the additional oversight is adding value to the procurement process, the statement was revised to be more clear and direct.

The second statement revised addressed whether time spent preparing for and participating in the OSD Pre-Award Peer Review was worthwhile, utilizing the IPT's time efficiently and did not result in delays to the acquisition. The statement elicited a strong response overall. However, because it captures multiple topics, it was split into two separate statements to prevent confusion.

Is proper training/mentorship available prior to Army service acquisition requirements/reviews to maximize the value of the ASSP?

The statements developed to address this question focused on the impacts of the Portfolio Manager/Coordinator on the following:

- Sufficiency of resources provided to guide the Multi-Functional IPT

- Clear direction of resource allocation while preparing for the ASSP

- Value added feedback/input

All statements addressing this question elicited strong responses and remained unchanged.

Are Commands capturing metrics to document the requirements/reviews impacts?

The statements developed to address this question focused on the Command's use of metrics to document and assess if:

- Additional time spent impacted procurement timelines

- Reviews have led to cost savings and reductions in services contracting spending rates

- Reviews have led to an increase in small business contracting opportunities

- Reviews have improved requirements definition

Although varied responses were received, field test results indicate that respondents were unsure of metrics being tracked. Because tracking metrics is vital to track the progress and impacts of the additional reviews, the statements remained unchanged and responses were considered impactful as it may indicate that metrics are not being captured or if captured, not shared with individual programs. Failure to share tracked metrics may not impress importance of individual focus areas.

Are Commands taking appropriate measures to capture lessons learned?

The statements developed to address this question focused on the following:

- Documentation and dissemination of lessons learned

- Use of lessons learned for other procurements

- Use of lessons learned for ease of process navigation during subsequent iterations

- Use aggregate data collected to identify improvements to service acquisitions

Similar to the previous question, the responses from these statements would help to track if lessons learned are properly captured and disseminated. Field test results indicate that this may not be the case.

While majority of the statements remain unchanged, one statement was revised. Although all respondents provided feedback to whether aggregate data collected from post-award Peer Reviews was utilized by commands to identify improvements to service acquisition, the statement was revised to elicit a stronger response. It is important that commands leverage experiences and share lessons learned.

The results from the field test led to minor revisions of the survey instrument and provided insight to the team in the effectiveness of the questions and whether the responses were received as intended. The team utilized the responses to improve the statements within the survey instrument where needed.

VI. SUMMARY AND RECOMMENDATIONS

A. SUMMARY

This JAP examined existing OSD and Army policies, GAO cases, and BBP initiatives that influence the Army Service acquisition process. The in depth policy review provided insight to the origins on the Army service contracting review requirements that are currently levied on higher value acquisitions. The review helped highlight key policy initiatives that the service review process is geared toward achieving.

The JAP then analyzed all of these policies and peripheral influences to apply them in a practical setting. This process also helped to provide a better understanding how these policies align and interact. The analysis pointed to areas where certain initiatives might contradict each other and/or lead to confusion during implementation.

The intention of the JAP is to analyze the Army Service Acquisition Review Requirements and the perceived effectiveness on intended improvements. In order to accomplish this, the team developed a survey instrument to help assess program participant's perceptions on whether certain targeted goals were being realized or accomplished. The survey was then field tested then revised to reflect inputs from a small sample size of respondents who represent the target population. The final survey instrument is provided via Appendix 2.

B. RECOMMENDATIONS

Recommendation 1

The DASA(P) SSM should consider issuing a survey to program personnel that participate in the Army service acquisition review process with questions similar to Appendix 2, Survey Questions (to include discussion with the Portfolio Managers/PC, ASSP, OSD Peer Reviews, etc.).

The intent of this project was to analyze the perceived effectiveness of the intended improvements of the Army service acquisition review process. The responses

received during the field test reflect that many of the intended improvements (such as better visibility, additional small business opportunities, increased use of incentive-based contracts, etc.) have not been passed down to the acquisition personnel, as one may expect it would. It is imperative that the Army receive feedback from program participants to understand whether or not policy goals are being realized or achieved.

Recommendation 2

The DASA(P) SSM should assess survey feedback and evaluate existing guidance/policies to ensure resources are effectively utilized.

OSD and Army policies, as well as many BBP influences seek to improve the overall tradecraft in the acquisition of services. To fulfill many of the intended improvements, higher level oversight and more stringent review processes are required for Army services contracts. BBP also aims to eliminate unproductive processes and bureaucracy. Feedback from the survey may help to demonstrate whether or not certain processes are effective in achieving policy initiatives. Unproductive processes should be reviewed with the intent to refine or eliminate in accordance with BBP.

Compare the BBP aim to eliminate bureaucracy and improve tradecraft in the acquisition of services. This information should ultimately be provided to OSD for their consideration in revising policies as directed from their level.

Recommendation 3

The DASA(P) SSM should ensure lessons learned from the Army service acquisition review process are captured and disseminated to requiring activities and contracting agencies to maximize value add.

The DASA(P) Office of the SSM currently has a restricted SharePoint site that provides some information related to the SAS; however, much of the information is outdated. Program participants would greatly benefit from a more robust library of lessons learned and strategy recommendations centralized at DASA(P). DASA(P) should mandate that lessons learned captured from each individual service contract review are provided for inclusion on their SharePoint site to maximize availability and exposure.

Recommendation 4

The Army should set specific guidelines for contracting agencies to track certain program metrics throughout the ASSP process.

The survey instrument developed during the JAP specifically intended to find out whether individual commands are tracking metrics to ensure the Army service acquisition review process is helping to achieve policy initiatives in an effective and efficient manner. Survey field test results indicated that working-level personnel are not aware that metrics are tracked. The Army should mandate that all commands track metrics to assess how the service review processes impacts the achievement of goals. Commands should also track the additional time required by agency level personnel to complete the required ASSP process to ensure resource inputs exceed outputs and provide value add.

C. CONCLUSIONS

In conclusion, this JAP culminates with a series of recommendations for DASA(P) SSM and Army leadership to consider to help maximize the value of the Army's service review requirements process. The JAP also provides a completed survey instrument that the Army could utilize to help assess program participant's perceptions of the process in an anonymous manner.

We believe that these recommendations could help to improve certain aspects of the Army services requirements reviews, and strongly encourage that they be considered. We also believe that while the review processes do help to improve services aspects of service acquisitions, an emphasis should be placed on tracking the improvements and weighing the value against the resource requirements.

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APPENDIX 1. SURVEY ANALYSIS

Append - Survey Analysis			
Objective 1: Are the Army service acquisition requirements/reviews leading to desired outcomes?			
Statement	Rationale	Field Test Response	Assessment
Increased oversight from the office of the Senior Services Manager (SSM) has improved visibility into command level services contracting spending.	GAO repeatedly reported 2011 Army Services Implementation Plan- Optimization of Army Services Acquisition strived to achieve better visibility into command level contract spending. The intention of the question is to assess whether or not there is a perceived improvement.	• One respondent indicated that the statement seemed geared toward the organization that is providing the oversight rather than that which must follow the review process. Respondent questioned merit of this statement. • Two respondents indicated that their response to the statement would be neutral as written. • One respondent indicated that they would strongly agree with the statement as written.	The field test suggests that the individual respondents are unsure how to respond to the question. Considering that improved visibility into services contract spending was a primary focus of the 2011 Army policy, it's important to determine whether or not this is occurring. The team has decided to revise statement to be clearer and elicit a stronger response. "Increased oversight from the office of the Senior Services Manager (SSM) has improved your command's visibility into their services contracting spending."

Append - Survey Analysis			
Increased oversight through the Army service acquisition requirements/reviews has led to an increase in small business contracting opportunities.	BBP 3.0 focus to promote competition is supplemented by an initiative to increase small business roles and opportunities. The intent of the questions is to determine if Army requirements are working toward this outcome.	• One respondent indicated that the statement seemed geared toward the organization that is providing the oversight rather than that which must follow the review process. Respondent questioned merit of this statement. • One respondent indicated that they would disagree with the statement as written. • One respondent indicated that they would strongly agree with the statement as written, and noted that there was a specific emphasis placed on creating small business opportunities. • One respondent indicated that they would agree with the statement as written.	Statement currently elicits strong response from participants. No change is required.
Increased oversight through the Army service acquisition requirements/reviews has led to an increase in the utilization of incentive based contracts.	2011 Army Services Implementation Plan-Optimization of Army Services Acquisition strived to cost savings by implementing more incentive based contracts. The	• One respondent indicated that the statement seemed geared toward the organization that is providing the oversight rather than that which must follow the review process. Respondent	The field test suggests that the individual respondents believe this statement is not applicable to their procurements. Considering that increasing the

Append - Survey Analysis			
	intention of the question is to assess whether or not increased visibility drove higher usage of this contract type.	questioned merit of this statement. • Two respondents indicated that this statement is not applicable to their procurement. • One respondent indicated that they would agree with the statement as written.	utilization of incentive based contracts was a primary focus of the 2011 Army policy, it's important to determine whether or not this is occurring. Responses indicate that this objective may not be understood or it is not being achieved. The team has decided to leave this question in to help provide feedback to the Army to assess whether or not the review process is aiding to achieve this goal.
Increased oversight through the Army service acquisition requirements/reviews has improved requirements definition.	BBP 3.0 focus to improve tradecraft in the acquisition of services is supplemented by an initiative to improve requirements definition. The intent of the question is to determine if Army requirements are working toward this outcome.	• One respondent indicated that the statement seemed geared toward the organization that is providing the oversight rather than that which must follow the review process. Respondent questioned merit of this statement. • Two respondents indicated that their response to the statement would be neutral as written. • One respondent indicated that they would agree with the	The field test suggests that the individual respondents are unsure how to respond to the question. Considering that improving requirements definition was a primary focus of the 2011 Army policy, it's important to determine whether or not this is occurring. The team has decided to revise the statement to be clearer and elicit a stronger response.

		statement as written.	"Increased oversight through the Army service acquisition requirements/ reviews has resulted in feedback that has improved the requirements package."
Increased oversight through the Army service acquisition requirements/reviews has led to an increase in effective competition.	2011 Army Services Implementation Plan-Optimization of Army Services Acquisition strived to achieve cost savings by increasing competition and limiting one bid contracts. The intent of the question is to assess whether or not increased visibility drove higher effective competition.	• One respondent indicated that the statement seemed geared toward the organization that is providing the oversight rather than that which must follow the review process. Respondent questioned merit of this statement. • One respondent indicated that their response to the statement would be neutral as written. • Two respondents indicated that they would agree with the statement as written.	Although one respondent challenged the validity of the question, and one indicated that they would respond neutral as written, the team is electing to keep the question as is. Considering that increasing effective competition was a primary focus of the 2011 Army policy, it's important to determine whether or not this is occurring. Statement currently elicits strong response from half of the participants.
Preparing for the Army service acquisition requirements/reviews requires the acquisition team to apply more critical thinking toward the acquisition approach.	BBP 3.0 focuses on improving the tradecraft of the acquisition of services workforce as well as improving the professionalism of the total acquisition workforce. The intent of this question is to help determine	• One respondent indicated concern over the statement as it eludes that an individual does not provide critical thinking unless they go through the process. Respondent further stated that people might not	Although one respondent indicated that the question may be off-putting, the statement received a strong response from the remaining three respondents. The team does not believe that the

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	whether participation in review processes are driving these changes.	want to answer statement as written. • Three respondents indicated that they would agree with the statement as written.	statement implies that critical thinking is not otherwise applied under normal acquisitions, rather it stresses that "more critical thinking" is required. No change is required.
The review of the Service Acquisition Strategy through the ASSP helps to identify potential risks for proposed acquisition strategies.	2010 Army Regulation 70–13 Management and Oversight of Service Acquisitions established the ASSP to allow senior Army functional principals to review proposed acquisition strategies metrics for service acquisitions to reach a consensus on the strategies that are most advantageous to the Army. The intent of the question is to determine if stronger acquisition strategies are resulting from reviews.	• Three respondents indicated that they would agree with the statement as written.	Statement currently elicits strong response from participants. No change is required.
The guidance and improved documents provided through the Army service acquisition requirements/reviews helped prevent a protest from being sustained.	BBP 3.0 focuses on improving the tradecraft of the acquisition of services workforce. The intent of this question is to help determine if review process is leading toward improvements in services acquisitions, specifically with respect to	• Two respondents indicated that this statement was not applicable to their procurements. One of these respondents stated that they are not sure what is meant by "improved documentation	The statement as written did not response strong responses. The respondents were confused or unaware of improved documentation provided throughout the review process. The true intent of the statement is

	protest prevention.	provided." • One respondent indicated that their response to the statement would be neutral as written, and stated they are "unaware of any improved documents."	rather to determine if the process helped prevent a protest from being sustained. The team elected to revise the statement to elicit a stronger response. "The guidance provided through the Army service acquisition requirements/ reviews helped prevent a protest from being sustained."
Objective 2: Does the value added through completion of the requirements/reviews exceed the resource outputs required to complete the process?			
Statement	Rationale	Field Test Response	Assessment
Increased oversight through the Army service acquisition requirements/reviews provides critical feedback for acquisition team.	BBP 3.0 focuses on improving the tradecraft of the acquisition of services workforce as well as improving the professionalism of the total acquisition workforce. The intent of this question is to help determine whether participation in review processes drive these changes.	• Three respondents indicated that they would agree with the statement as written. • One respondent indicated that feedback from the ASSP review resulted in changes to the acquisition prior to proceeding to the OSD-level peer review.	Statement currently elicits strong response from participants. No change is required.

Append - Survey Analysis			
Results from the ASSP review process have led to significant improvements in acquisition approach.	2010 Army Regulation 70–13 Management and Oversight of Service Acquisitions established the ASSP to allow senior Army functional principals to review proposed acquisition strategies metrics for service acquisitions to reach a consensus on the strategies that are most advantageous to the Army. The intent of the question is to determine if stronger acquisition strategies are resulting from reviews.	• One respondent indicated that their response to the statement would be neutral as written. • Two respondents indicated that they would agree with the statement as written.	Overall, statement currently elicits strong response from participants. Even though there is one neutral response, the statement should remain to help determine the perceived value add of the process on the overall procurement. No change is required.
Time spent preparing for and participating in the ASSP review process improves skillset of acquisition team.	BBP 3.0 focuses on improving the tradecraft of the acquisition of services workforce as well as improving the professionalism of the total acquisition workforce. The intent of this question is to help determine whether participation in review processes are driving these changes.	• One respondent indicated that they would strongly agree with the statement as written. • Two respondents indicated that they would agree with the statement as written.	Statement currently elicits strong response from participants. No change is required.

Append - Survey Analysis			
Time spent preparing for and participating in the ASSP review process places schedule risk on programs.	2010 Army Regulation 70–13 Management and Oversight of Service Acquisitions established the ASSP to allow senior Army functional principals to review proposed acquisition strategies metrics for service acquisitions to reach a consensus on the strategies that are most advantageous to the Army. BBP 3.0 focuses on eliminating unproductive processes or bureaucracy. The intent of the question is to determine if review process places schedule risk on programs.	• One respondent indicated that their response would be neutral as written. • One respondent indicated that they would strongly agree with the statement as written. • One respondent indicated that they would disagree with the statement as written, and stated that the review process placed no schedule risk on their program.	Overall, statement currently elicits strong response from participants. Even though there is one neutral response, the statement should remain to help determine the perception of the schedule risk placed on the procurement. No change is required.
Utilizing the Seven Steps to Service Acquisition Processes demonstrated during Services Acquisition Workshop improved procurement outcomes.	DPAP memorandum, subject: Service Acquisition Workshop dated 6 Dec 2012 mandates that Service Acquisition Workshop training be completed prior to submitting acquisition strategies for services contracts valued higher than $100m. The intent of the question is to determine if participation is driving acquisition improvements.	• One respondent indicated that the statement was not applicable to their procurement, and stated that DPAP waived the requirement for a SAW on their program. • One respondent indicated that they would agree with the statement as written. • One respondent indicated that they would disagree with the statement as written, and stated	Overall, statement currently elicits strong response from participants. Even though there is not applicable response, the statement should remain to help determine the perception of the value add of the Services Acquisition Workshop. No change is required.

Append - Survey Analysis			
		that they did not see the benefit of the SAW after participating.	
Using the Acquisition Requirements Roadmap Tool (ARRT) assisted the requiring activity to ensure Performance Based requirements were utilized for the acquisition.	BBP 3.0 focus to improve tradecraft in the acquisition of services is supplemented by an initiative to improve requirements definition. The intention of the question is to assess whether use of ARRT to create performance based requirements is utilized to help achieve this goal.	• One respondent indicated that the statement was not applicable to their procurement, and stated ARRT was not used for their program. • One respondent indicated that their response would be neutral as written. • One respondent indicated that they would disagree with the statement as written, and stated that the ARRT tool is not locally endorsed or mandated.	The responses received indicate that ARRT is not being utilized wide scale. The team has decided to keep the statement to provide insight to Army leadership on how many programs are leveraging the tool. Feedback may suggest that tool is not being implemented and the Army could consider pushing the initiative further. The DOD PGI says "should" use ARRT, which could be changed to "shall" to increase usage.
Your command had sufficient personnel to participate in the additional Army service acquisition requirements/reviews without causing delay in other activities	BBP 3.0 focus on eliminating unproductive processes or bureaucracy is supplemented by an initiative to reduce cycle times while ensuring sound investment decisions. The intention of the question is to assess sufficient resources are available to achieve this goal.	• One respondent indicated that they would strongly disagree with the statement as written. • Two respondents indicated that they would agree with the statement as written.	Statement currently elicits strong response from participants. No change is required.

Append - Survey Analysis			
Time spent preparing for and participating in the OSD Pre-Award Peer Review provided valuable input to the acquisition resulting in improvements to the Acquisition Strategy.	USD (AT&L) memorandum, subject: Peer Reviews of Contracts for Supplies and Services dated 29 Sept 2008 established requirements for pre-award peer reviews for services contract value higher than $1B. The intent of the question is to determine if stronger acquisition strategies are resulting from reviews.	• One respondent indicated that the statement was not applicable to their procurement. • One respondent indicated that their response would be neutral as written, and stated that OSD did not change their strategy. • One respondent indicated that they would strongly agree with the statement as written.	The statement did not elicit strong responses as written. The team has decided to revise the statement to make it clearer and more direct. It is important to determine whether the additional OSD level oversight is adding value to the procurement process. Note: Post award peer review teams may differ from the team that initially awarded the contract. An N/A response would be appropriate in this instance. "Time spent preparing for and participating in the OSD Pre-Award Peer Review resulted in improvements to the Acquisition Strategy."

Append - Survey Analysis			
Time spent preparing for and participating in the OSD Pre-Award Peer Review was worthwhile, utilizing the IPTs time efficiently and did not result in delays to the acquisition	USD (AT&L) memorandum, subject: Peer Reviews of Contracts for Supplies and Services dated 29 Sept 2008 established requirements for pre-award peer reviews for services contract value higher than $1B. BBP 3.0 focuses on eliminating unproductive processes or bureaucracy. The intent of the question is to determine if review process was productive and efficient.	• One respondent indicated that the statement was not applicable to their procurement. • One respondent indicated that they would strongly agree with the statement as written, and stated that their program has a positive OSD review experience. • One respondent indicated that they would agree with the statement as written. The respondent stated that while the process was worthwhile to gain OSD perspective. The process added significant time to the milestone schedule.	Although the statement elicited a strong response overall, the team realized that there are multiple topics of focus under this statement. The team elected to revise the statement in split out into two separate items to prevent potential confusion going forward. . "The IPT utilized time efficiently while preparing for the OSD Pre-Award Peer Review. " "Time spent preparing for the OSD Pre-Award Peer Review resulted in delays to the acquisition."
Time spent preparing for and participating in the OSD Post-Award Peer Review added value to the services acquisition process.	USD (AT&L) memorandum, subject: Peer Reviews of Contracts for Supplies and Services dated 29 Sept 2008 established requirements for pre-award peer reviews for services contract value higher than $1B. The intent of the question is to determine if time spent	• Two respondents indicated that the statement was not applicable to their procurement. • One respondent indicated that they would agree with the statement as written.	Although two respondents indicated that the statement was not applicable to their procurement, the team has elected to keep the statement as is. It is possible that these individuals have not yet been through the peer review process. It's

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Statement	Rationale	Field Test Response	Assessment
			preparing for review process was perceived as productive.	important to assess the perceived value add of higher level OSD reviews.
Participating in an annual OSD Post-Award Peer Review has proven valuable by providing guidance to improve oversight, best practices and lessons learned.	USD (AT&L) memorandum, subject: Peer Reviews of Contracts for Supplies and Services dated 29 Sept 2008 established requirements for pre-award peer reviews for services contract value higher than $1B. The intent of the question is to determine if time spent preparing for review process was perceived as productive.	• Three respondents indicated that the statement was not applicable to their procurement.	Although three respondents indicated that the statement was not applicable to their procurement, the team has elected to keep the statement as is. It is possible that these individuals have not yet been through the peer review process. It's important to assess the perceived value add of higher level OSD reviews. Note: Post award peer review teams may differ from the team that initially awarded the contract. An N/A response would be appropriate in this instance.
Objective 3: Is proper training/mentorship available prior to the Army service acquisition requirements/reviews to maximize the value of the ASSP?			
Statement	Rationale	Field Test Response	Assessment
The Portfolio Manager/ Coordinator provides sufficient resources to guide the Multi- Functional IPT	2011 Army Services Implementation Plan- Optimization of Army Services Acquisition established a	• One respondent indicated that they would strongly disagree with the statement as written, and noted that the portfolio	Statement currently elicits strong response from participants. No change is required.

through ASSP preparation.	portfolio management approach to guide acquisitions. The intent of the question is to determine is support level provided is sufficient.	manager was unable to offer any insight. • Two respondents indicated that they would agree with the statement as written.	
The Portfolio Manager/ Coordinator worked with acquisition team during procurement planning and provided valuable feedback/ input.	2011 Army Services Implementation Plan- Optimization of Army Services Acquisition established a portfolio management approach to guide acquisitions. BBP 3.0 focuses on eliminating unproductive processes or bureaucracy. The intent of the question is to determine feedback is value added.	• Two respondents indicated that they would agree with the statement as written. • One respondent indicated that they would disagree with the statement as written.	Statement currently elicits strong response from participants. No change is required.
The Portfolio Manager/ Coordinator provides clear direction of where best to focus resources while preparing for the ASSP.	2011 Army Services Implementation Plan- Optimization of Army Services Acquisition established a portfolio management approach to guide acquisitions. BBP 3.0 focuses on eliminating unproductive processes or bureaucracy. The intent of the question is to determine if direction provided is efficient and productive.	• Two respondents indicated that they would agree with the statement as written. • One respondent indicated that they would disagree with the statement as written.	Statement currently elicits strong response from participants. No change is required.

Append - Survey Analysis			
The current acquisition team contains personnel who have previously participated in the ASSP review process.	BBP 3.0 focus to improve the professionalism of the acquisition workforce is supplemented by an initiative to establish higher standard for key leadership positions, which includes relevant experience. The intent of this question is to determine if key acquisition leaders have this specific relevant experience.	• One respondent indicated that their response would be neutral as written. • One respondent indicated that they would agree with the statement as written. • One respondent indicated that they would strongly disagree with the statement as written, and stated that while their team was "green" still successful.	The statement currently elicits strong response from participants. No change is required.
Objective 4: Are Commands capturing metrics to document the requirements/reviews impacts?			
Statement	Rationale	Field Test Response	Assessment
Your command tracks metrics to document additional time spent preparing for the Army service acquisition requirements/reviews to understand impacts on procurement timelines?	BBP 3.0 focus on eliminating unproductive processes or bureaucracy is supplemented by an initiative to reduce cycle times while ensuring sound investment decisions. The intention of the question is to assess whether or commands are tracking progress toward this goal.	• One respondent indicated that the statement was not applicable to their procurement, and stated that they are unaware if this is being tracked. • One respondent indicated that their response would be neutral as written, and stated that they are unaware what metrics are being tracked.	Although two respondents indicate that they are not sure what metrics are being tracked, the team has elected to keep the question as is. The result of the survey may indicate that metrics are not being captured or they're not being shared with individual programs. Failure to share tracked metrics may not impress importance of

		• One respondent indicated that they would agree with the statement as written.	individual focus areas.
Your command tracks metrics to assess whether the Army service acquisition requirements/reviews has led to cost savings and reductions in services contracting spend rates.	2011 Army Services Implementation Plan-Optimization of Army Services Acquisition strived to achieve better visibility into command level contract spending. The intention of the question is to assess whether or commands are tracking progress toward this goal.	• One respondent indicated that the statement was not applicable to their procurement, and stated that they are unaware if this is being tracked. • One respondent indicated that their response would be neutral as written, and stated that they are unaware what metrics are being tracked. • One respondent indicated that they would agree with the statement as written.	Although two respondents indicate that they are not sure what metrics are being tracked, the team has elected to keep the question as is. The result of the survey may indicate that metrics are not being captured or they're not being shared with individual programs. Failure to share tracked metrics may not impress importance of individual focus areas.
Your command tracks metrics to assess whether the Army service acquisition requirements/reviews has led to an increase in small business contracting opportunities.	BBP 3.0 focus to promote competition is supplemented by an initiative to increase small business roles and opportunities. The intention of the question is to assess whether or commands are tracking progress toward this goal.	• One respondent indicated that the statement was not applicable to their procurement, and stated that they are unaware if this is being tracked. • One respondent indicated that their response would be neutral	Although a respondent indicated that they are not sure what metrics are being tracked, the team has elected to keep the question as is. The result of the survey may indicate that metrics are not captured or they're not

Append - Survey Analysis			
		as written. • One respondent indicated that they would agree with the statement as written.	being shared with individual programs. Failure to share tracked metrics may not impress importance of individual focus areas.
Your command tracks metrics to assess whether the Army service acquisition requirements/reviews has improved requirements definition?	BBP 3.0 focus to improve tradecraft in the acquisition of services is supplemented by an initiative to improve requirements definition. The intention of the question is to assess whether or commands are tracking progress toward this goal.	• One respondent indicated that the statement was not applicable to their procurement, and stated that they are unaware if this is being tracked. • One respondent indicated that their response would be neutral as written. • One respondent indicated that they would agree with the statement as written.	Although a respondent indicated that they are not sure what metrics are being tracked, the team has elected to keep the question as is. The result of the survey may indicate that metrics are not being captured or they're not being shared with individual programs. Failure to share tracked metrics may not impress importance of individual focus areas.

Objective 5: Are commands taking appropriate measures to capture lessons learned?			
Statement	Rationale	Field Test Response	Assessment
Your command documents and disseminates lessons learned from the Army service acquisition requirements/ reviews.	BBP 3.0 focuses on improving the tradecraft of the acquisition of services workforce as well as improving the professionalism of the total acquisition workforce. The intent of this question is to help determine if commands are applying lessons learned toward other procurements and driving these changes.	• Two respondents indicated that their response would be neutral as written. One of these respondents stated that lessons learned from their program were offered to OSD, but they are unaware of what happened to them. They also noted that they leveraged lessons learned from OSD website prior to peer review. • One respondent indicated that they would agree with the statement as written.	Two neutral responses indicate that lessons learned are not being properly captured and disseminated. The team has elected to keep the statement as is. It is important that commands leverage experiences and share lessons learned. The survey may provide insight that this is not being done wide scale.
Lessons learned from the Army service acquisition requirements/reviews are applied to other procurements, to include those service acquisitions that are not held to the ASSP requirements (under $250M).	BBP 3.0 focuses on improving the tradecraft of the acquisition of services workforce as well as improving the professionalism of the total acquisition workforce. The intent of this question is to help determine commands are applying lessons learned toward other procurements and driving these changes.	• One respondent indicated that their response would be neutral as written. • One respondent indicated that they would strongly agree with the statement as written. • One respondent indicated that they would agree with the statement as written.	The statement currently elicits strong response from participants. No change is required.

Utilizing lessons learned from the Army service acquisition requirements/reviews make it easier to navigate process during subsequent iterations.	BBP 3.0 focuses on improving the tradecraft of the acquisition of services workforce. The intent of this question is to help determine lessons learned are leading toward long term service improvements.	• One respondent indicated that they would strongly agree with the statement as written. • Two respondents indicated that they would agree with the statement as written.	Statement currently elicits strong response from participants. No change is required.
Aggregate data collected from post-award Peer Reviews is utilized by your command to identify improvements to service acquisition.	BBP 3.0 focuses on improving the tradecraft of the acquisition of services workforce. The intent of this question is to help determine if commands are utilizing all data collected to improve service acquisitions.	• Two respondents indicated that the statement was not applicable to their procurement. • One respondent indicated that they would agree with the statement as written.	Two respondents indicated that the statement was not applicable to their procurement. It is possible that these individuals have not yet been through the peer review process. It's important to assess the perceived value add of higher level OSD reviews. The team has elected to revise the question to elicit a stronger response. Note: Post award peer review teams may differ from the team that initially awarded the contract. An N/A response would be appropriate in this instance. "Lessons learned from post-award Peer Reviews are utilized by your command to identify improvements to service acquisition."

APPENDIX 2. ARMY SERVICE ACQUISITION REVIEW ASSESSMENT

Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A
Increased oversight from the office of the Senior Services Manager (SSM) has improved your command's visibility into their services contracting spending						
Comments:						
Increased oversight through the Army service acquisition requirements/ reviews has led to an increase in small business contracting opportunities.						
Comments:						
Increased oversight through the Army service acquisition requirements/ reviews has led to an increase in the utilization of incentive based contracts.						
Comments:						
Increased oversight through the Army service acquisition requirements/ reviews has resulted in feedback that has improved the requirements package.						
Comments:						
Increased oversight through the Army service acquisition requirements/ reviews has led to an increase in effective competition.						
Comments:						
Preparing for the Army service acquisition requirements/reviews requires the acquisition team to apply more critical thinking toward the acquisition approach.						
Comments:						
The review of the Service Acquisition Strategy through the ASSP helps to identify potential risks for proposed acquisition strategies.						
Comments:						
The guidance provided through the Army service acquisition requirements/ reviews helped prevent a protest from						

Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A
being sustained."						
Comments:						
The guest staff was knowledgeable and fully answered my questions about the area.						
Comments:						
Increased oversight through the Army service acquisition requirements/ reviews provides critical feedback for acquisition team.						
Comments:						
Results from the ASSP review process have led to significant improvements in acquisition approach.						
Comments:						
Time spent preparing for and participating in the ASSP review process improves skillset of acquisition team.						
Comments:						
Time spent preparing for and participating in the ASSP review process places schedule risk on programs.						
Comments:						
Utilizing the Seven Steps to Service Acquisition Processes demonstrated during Services Acquisition Workshop improved procurement outcomes.						
Comments:						
Using the Acquisition Requirements Roadmap Tool (ARRT) assisted the requiring activity to ensure Performance Based requirements were utilized for the acquisition.						
Comments:						
Your command had sufficient personnel to participate in the additional Army service acquisition requirements/ reviews without causing delay in other activities						
Comments:						
Time spent preparing for and participating in the OSD Pre-Award Peer Review resulted in improvements to the Acquisition Strategy.						

Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A
Comments:						
The IPT utilized time efficiently while preparing for the OSD Pre-Award Peer Review.						
Comments:						
Time spent preparing for the OSD Pre-Award Peer Review resulted in delays to the acquisition.						
Comments:						
Time spent preparing for and participating in the OSD Post-Award Peer Review added value to the services acquisition process.						
Comments:						
Participating in an annual OSD Post-Award Peer Review has proven valuable by providing guidance to improve oversight, best practices and lessons learned.						
Comments:						
The Portfolio Manager/Coordinator provides sufficient resources to guide the Multi- Functional IPT through ASSP preparation.						
Comments:						
The Portfolio Manager/Coordinator worked with acquisition team during procurement planning and provided valuable feedback/input.						
Comments:						
The Portfolio Manager/Coordinator provides clear direction of where best to focus resources while preparing for the ASSP.						
Comments:						
The current acquisition team contains personnel who have previously participated in the ASSP review process.						
Comments:						
Your command tracks metrics to document additional time spent preparing for the Army service acquisition requirements/reviews to understand impacts on procurement timelines?						

Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A
Comments:						
Your command tracks metrics to assess whether the Army service acquisition requirements/reviews has led to cost savings and reductions in services contracting spend rates.						
Comments:						
Your command tracks metrics to assess whether the Army service acquisition requirements/reviews has led to an increase in small business contracting opportunities.						
Comments:						
Your command tracks metrics to assess whether the Army service acquisition requirements/reviews has improved requirements definition?						
Comments:						
Your command documents and disseminates lessons learned from the Army service acquisition requirements/ reviews						
Comments:						
Lessons learned from the Army service acquisition requirements/reviews are applied to other procurements, to include those service acquisitions that are not held to the ASSP requirements (under $250M).						
Comments:						
Utilizing lessons learned from the Army service acquisition requirements/ reviews make it easier to navigate process during subsequent iterations.						
Comments:						
Lessons learned from Post-Award peer reviews are utilized by your command to identify improvements to service acquisition.						
Comments:						

Statement	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A
Additional Comments:						

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APPENDIX 3. SURVEY INSTRUCTIONS

Our thesis examines the existing policies/guidance for service acquisitions (OSD, Army, GAO cases and BBP), analyzes the policies/guidance for service acquisitions, provides the research methodology to help determine the survey questions and will conclude with the findings and results. This survey "field test" we have provided fits into the research methodology where we describe the survey development, field testing procedure and will analyze the provided results.

These service acquisition review requirements are relatively new and the objective of our analysis is to create a survey that could be issued at the conclusion of the ASSP process to obtain input from the commands. The field test of the survey is designed to determine the appropriateness of the question, if it is clear/easy to understand, if questions are free of bias, and whether you are comfortable responding to it. **Your input is very crucial for the success of our thesis.**

The use of *Army service acquisition requirements/reviews* in the survey is inclusive of the entire process of coordinating with the Portfolio Managers, Portfolio Coordinators and Senior Service Manager. This includes participation in the SAW, completion of a BCA and CBA (if applicable), providing draft requirements documents, submission of SAS for draft review, all the way through the completion of the ASSP, resulting in the signed SAS.

Essentially, we have five separate objectives that are addressed, which resulted in a series of questions. Although these specific questions will not be included in the survey, we will provide for insight.

Objective 1: Are the Army service acquisition requirements/reviews leading to desired outcomes?

Objective 2: Does the value added through completion of the requirements/reviews exceed the resource outputs required to complete the process?

Objective 3: Is proper training/mentorship available prior to the Army service acquisition requirements/reviews to maximize the value of the ASSP?

Objective 4: Are commands capturing metrics to document the requirements/reviews impacts?

Objective 5: Are commands taking proper measures to capture lessons learned?

We will not reveal names or programs of the participants. This is solely for research in developing the appropriate question and we are seeking feedback on the question and the

design of the questions. Your comments on individual questions will provide valuable feedback and will be incorporated into the final survey instrument.

APPENDIX 4. INITIAL EMAIL CORRESPONDENCE

January 27, 2016

Good Afternoon,

My name is Megan Weidner, I am a contract specialist at Army Contracting Command Orlando. Your solicitation (FBO announcement) was provided to me by Mr. Bill Mercer from ASA(ALT). My intention was to get in touch with individuals working acquisitions that recently went through the Army Services Strategy Panel (ASSP) process for approval of your Acquisition Strategy.

BLUF: I am working on a Graduate Thesis at the Naval Postgraduate School entitled: An Analysis of the Army Service Acquisition Review Requirements and the Perceived Effectiveness of Intended Improvements. As part of the thesis, my team and I will create a survey, and although we do not intend to issue the survey, we will field test to ensure our questions are clear, as intended, effective, etc. To do so, we must gather individuals who would be able to assist in the 'development' of the survey by reviewing our questions.

We hope to take no more than 10 minutes or so of your time when our survey is issued in the March timeframe.

If you could, please let me know if you are willing to help us out so we can reach graduation. Your response is greatly appreciated!

March 7, 2016

Good Afternoon,

As we had previously discussed, you have been identified by Mr. Bill Mercer from the office of the DASA(P) Senior Service Manager, as a recent participant in the Army Services Strategy Panel (ASSP) Process.

The reason you have been sought you out is that I am nearing completion of my Masters in Contract Management at the Naval Postgraduate School. My team and I (Mike, Roxanne and I- CC'd in email) are working our Joint Applied Project (Thesis) on Army service acquisitions. The title of our project is: An Analysis of the Army Service Acquisition Review Requirements and the Perceived Effectiveness of Intended Improvements.

Our thesis examines the existing policies/guidance for service acquisitions (OSD, Army, GAO cases and BBP), analyzes the policies/guidance for service acquisitions, provides

the research methodology to help determine the survey questions and will conclude with the findings and results. This survey "field test" we have provided fits into the research methodology where we describe the survey development, field testing procedure and will analyze the provided results.

Please first review the attached Survey Instructions, following with the Survey Field Test. If you happen to have any questions during the completion of the survey, please do not hesitate to call or email me. We kindly request response by COB 18 March, so that we can consolidate the data and incorporate into our thesis.

We GREATLY appreciate your time and interest in supporting this matter.

March 14, 2016

Happy Monday!

In order for our team to adequately plan for receipt of survey responses and ensure we receive a sufficient number of responses, I wanted to follow-up to the email I sent last Monday requesting your response and comments of our ASSP Process Survey.

If you intend to complete the survey, but have been unable to yet, could you please provide a response of your intentions? I have attached the survey instructions and questions for your reference.

Again, we greatly appreciate your feedback to ensure this Survey is a success!

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