

**APPENDIX Z DEPARTMENT OF HOMELAND SECURITY ACQUISITION PLAN
TEMPLATE**

Submitted by:

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

Name Date
Contracting Officer
(DHS Component and Organization)

Concurrence:

Name Date
Small Business Specialist
(DHS Component and Organization)

Name Date
Chief Information Officer
(DHS Component and Organization)

Approval:

Name Date
Head of the Contracting Activity, or designee
(DHS Component and Organization)

OR

Name Date
DHS Chief Information Officer
(DHS Component and Organization)
(Signature required when the requirement includes the purchase of information technology and if the AP is being approved by the CPO.)

AND

Chief Procurement Officer, or designee Date
Office of the Chief Procurement Officer

Acquisition Background and Objectives

1) Description of Need

- (a) Provide a description of the requirement. Summarize the required capabilities or performance characteristics of the supplies or the performance standards of the services. This discussion should also detail whether the requirement includes the purchase of information technology (IT) products, services, equipment, or commercial-off-the-shelf (COTS) software. This includes instances when IT capabilities or IT resources will be used to provide the requisite services (e.g., background investigation services, human resources support services, grants processing, etc.)
- (b) State all significant conditions or constraints affecting the procurement.
- (c) DHS Acquisition Programs:
 - (1) Is this procurement part of a Major or Non-major Capital Asset Acquisition Program (Level 1, 2, or 3) as defined in DHS Instruction 102-01-001, Acquisition Management Instruction? Yes No
 - (2) Is this procurement part of a Major Services Acquisition Program (Level 1 or 2) as defined in DHS Instruction 102-01-001, Acquisition Management Instruction? Yes No
 - (3) If “Yes”, to either question 1 or 2, identify the name of the Program and Program Level (Level 1, 2 or 3). []

2) Procurement History

- (a) Provide a short narrative discussing the overall procurement history for this requirement. For example, explain any varying strategies, if any, in the past.
- (b) Address items 1 through 10 below. Charts or graphics can be used to illustrate this information, and it can also be submitted as an appendix.
 - (1) Previous contract(s);
 - (2) Contractor name;
 - (3) Contract type;
 - (4) Contract value;
 - (5) Period of performance;
 - (6) Place of performance;
 - (7) Contract vehicle (e.g., EAGLE, 8(a) STARS, etc.);

- (8) Small or Large Business at time of award;
 - (9) Whether procurement was competitive or non-competitive;
 - (10) For competitive procurements, identify the extent competed;
 - (11) Whether the procurement was set-aside, and if so, what type; and
 - (12) Any protests filed against the solicitation or award.
- (c) Address whether lessons learned from previous acquisitions impact any aspect of the current acquisition and if knowledge gained from the prior acquisitions has been used to further refine the requirement or the acquisition strategy consistent with FAR 7.103(t).

3) Acquisition Planning Forecast System

Provide the Acquisition Planning Forecast System (APFS) record number for the requirement or rationale if there is none.

4) Contract Value/Independent Government Cost Estimate

Provide the total estimated value including all options.

5) Delivery or Period of Performance Requirements

Describe the performance period and describe the basis for establishing delivery or performance-period requirements (see FAR 11.4). If there is a gap in service from the current contract until the new award, discuss how the gap will be addressed.

6) Acquisition Streamlining

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

- (a) Encouraging industry participation by hosting Industry Days, using draft solicitations, presolicitation conferences, pre-proposal conferences, due diligence and other means of stimulating interaction with industry.
- (b) Acquiring Commercial-Off-the-Shelf (COTS) products, when applicable. State the timeframe for identifying which of those specifications and standards, originally provided for guidance only, shall become necessary.
- (c) Using innovative evaluation techniques.

7) Procurement Risks

Discuss technical, cost, and schedule risks and describe what efforts are planned or underway to reduce those risks.

Plan of Action

8) Sources

- (a) Address the extent and results of the market research and indicate how it impacts this procurement.
- (b) Strategic Sourcing Contract Vehicles/Best in Class Vehicles (BIC).
- (1) Yes No This acquisition is to establish a new strategic sourcing contract vehicle. (See HSAM 3007 regarding establishing Department-wide contract vehicles.)
- (2) Yes No This acquisition is a re-compete or follow-on to an existing strategic sourcing contract vehicle. (See HSAM 3007.271 regarding establishing Department-wide contract vehicles.)
- (3) Yes No This acquisition will be a task/delivery order against an existing strategic sourcing contract vehicle/BIC. Identify vehicle: []
- (4) Yes N/A This requirement is covered by an existing strategic sourcing/Best in Class (BIC) contract vehicle Identify vehicle: [] However, the vehicle will not be used for the following reason (provide rationale): [] (Attach a copy of the approved waiver or exception. If no waiver or exception has been obtained, provide an explanation. See Directive 060-01/HSAM 3017 regarding the use of strategic sourcing vehicles and associated exceptions and waivers).
- (c) Discuss consideration of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns (see FAR 19). If small businesses are not being considered provide a brief explanation based on the market research conducted. Discuss whether the procurement strategy was coordinated with the Component Small Business Specialist and/or the Office of Small and Disadvantaged Business Utilization (OSDBU). If the strategy was coordinated with OSDBU, discuss whether the strategy, described in the AP, reflects the discussion regarding small business concerns.
- (d) Consider the impact of any consolidation or bundling that might affect participation of small businesses in the acquisition (see FAR 7.107) (15 U.S.C. 644(e) and 15 U.S.C. 657q). When the proposed acquisition strategy involves bundling, identify the incumbent contractors and contracts affected by the bundling.

9) Competition

- (a) Describe how competition will be sought, promoted, and sustained. If full and open competition is not contemplated, cite the appropriate authority at FAR 6.302, 8.405-6 or 16.505(b) as applicable; and discuss the basis for the application of that authority, and identify the proposed contractor(s).

- (b) If applicable, discuss whether the resulting contract will be a bridge contract or if a separate bridge contract is required to support the competition and transition.
- (c) Discuss whether the requirement has been coordinated with the Procurement Activity Advocate for Competition (PAAC) or DHS Advocate for Competition, as appropriate.
- (d) When effective subcontract competition is both feasible and desirable, describe how such subcontract competition will be sought, promoted, and sustained. Identify any known barriers to increasing subcontract competition and address how to overcome them.

10) Contract Type Selection

- Firm Fixed-Price (FFP)
- Cost Reimbursement
- Time and Materials
- Labor Hour
- Other:

- (a) For FFP actions discuss why this is the appropriate contract type.
- (b) If this is a hybrid type containing both FFP and other than firm-fixed price (OTFFP) contract types discuss what portion of the work is OTFFP.
- (c) For OTFFP actions discuss items (c)(1) through (c)(6):
 - (1) Explain why the use of an OTFFP contract (e.g., cost reimbursement, time and materials, labor hour) is appropriate;
 - (2) Provide the rationale that details the particular facts and circumstances (e.g., complexity of the requirements, uncertain duration of the work, contractor's technical capability and financial responsibility, or adequacy of the contractor's accounting system), and associated reasoning essential to support the contract type selection;
 - (3) Provide an assessment regarding the adequacy of Government resources that are necessary to properly plan for, award, and administer other than firm-fixed-price contracts;
 - (4) Discuss the actions planned to minimize the use of OTFFP contracts on future acquisitions for the same requirement and to transition to firm-fixed-price contracts to the maximum extent practicable;
 - (5) If applicable, discuss why a level-of-effort, price redetermination, or fee provision was included; and
 - (6) Discuss the Government's additional risks and the burden to manage the contract type selected (e.g., when a cost-reimbursement contract is selected, the Government incurs additional cost risks, and the Government has the additional burden of managing the contractor's costs). For such instances, acquisition personnel shall discuss –

- How the Government identified the additional risks (e.g., pre-award survey, or past performance information);
- The nature of the additional risks (e.g., inadequate contractor's accounting system, weaknesses in contractor's internal control, non-compliance with Cost Accounting Standards, or lack of or inadequate earned value management system); and
- How the Government will manage and mitigate the risks.

11) Source Selection Procedures

- (a) Discuss the source-selection procedures for the acquisition(s), including the timing, proposed evaluation factors and evaluation of proposals.
- (b) Describe any innovative evaluation techniques being used. Has there been discussions with the Procurement Innovation Lab (PIL) on this requirement?
- (c) If using lowest price technically acceptable (LPTA) or other unique evaluation scheme provide a description and rationale for its use.

12) Acquisition Considerations

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

- (a) Use of multiyear contracting, options, or other special contracting methods (see FAR 17);
- (b) Any special clauses, special solicitation provisions, or FAR/HSAR deviations (see FAR 1.4);
- (c) If applicable, discuss the status of HSAM Appendix G *Individual of Class Checklist for Controlled Unclassified Information*. Has it been completed and coordinated with the cognizant SMEs? Do HSAR clauses 3052.304-71 Contractor Employee Access, 3052.204-72 Safeguarding Controlled Unclassified Information, 3052.204-73 Notification and Credit Monitoring Requirements for Personally Identifiable Information Incidents, and/or Special Clause Information Technology Security Awareness Training (see HSAR Class Deviation 15-01, Revision 1) apply to this acquisition?
- (d) Whether equipment will be acquired by lease or purchase and why (see FAR 7.4);
- (e) Provide rationale if a performance-based acquisition will not be used or if a performance-based acquisition for services is contemplated on other than a firm-fixed-price basis (see FAR 37.102(a), FAR 16.103(d), and FAR 16.505(a)(3)).

13) Information Technology Considerations

Section 508: For information technology acquisitions, identify the applicable ICT Accessibility Standard(s). When an exception or an exemption to the standard(s) applies, the plan must list the exception and/or exemption, and the item(s) to which it applies. For those items listing FAR 39.204 or FAR 39.205(a)(1) or (2), the corresponding

accessibility standard does not need to be identified. (See FAR subpart 39.2, 36 CFR 1194.1, and HSAM subchapter 3039.2).

- (b) For information technology acquisitions, discuss whether the appropriate Component and/or Headquarter CIO coordination and approvals have occurred (See HSAM 3039.170(b)). If not, discuss how the applicable agency information security requirements will be met.
- (c) For information technology acquisitions using Internet Protocol, discuss whether the requirements documents include the Internet Protocol compliance requirements specified in 11.002(g) or a waiver of these requirements has been granted by the agency's Chief Information Officer.

14) Inherently Governmental Functions

Address the consideration given to FAR 7.5 inherently governmental functions and if an Inherently Governmental and Critical Functions Analysis or Inherently Governmental and Critical Functions Product Service Code Exemption Memo, as applicable, will be completed prior to the issuance of the solicitation.

15) Government-Furnished Property

Indicate any Government property to be furnished to contractors, and discuss any associated considerations, such as its availability or the schedule for its acquisition (see 45.102). Charts or graphics can be used to illustrate this information.

16) Government-Furnished Information

Discuss any Government information, such as manuals, drawings, and test data, to be provided to prospective offerors and contractors. Indicate which information that requires additional controls to monitor access and distribution (e.g., technical specifications, maps, building designs, schedules, etc.), as determined by the agency, is to be posted via the enhanced controls of the governmentwide point of entry also known as Contract Opportunities at <https://sam.gov> (see FAR 5.102(a)). Charts or graphics can be used to illustrate this information.

17) Security Considerations

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

18) Buy American Considerations

- (a) Will foreign end products or services (i.e., non-domestic/U.S.-made end products or non-U.S. services) be permitted to be offered? If yes, identify the applicable exception to the Buy American statute from FAR 25.103 or FAR 25.202 or indicate that the acquisition is covered by a trade agreement.

- (b) For actions where an exception to the Buy American statute is applicable and a written determination is required, has the determination been submitted for review and approval by the Chief Procurement Officer (See HSAM 3025.103 and HSAM 3025.202)?

19) Contract Administration

Describe how the contract will be administered. In contracts for services, include how inspection and acceptance corresponding to the work statement’s performance criteria will be enforced.

20) Other Considerations:

Address other considerations, as applicable to the procurement, such as environmental considerations etc.

21) Milestones for the Acquisition Cycle

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

Acquisition Cycle – Sample

Event	Date Completed or Due Date	Person Responsible
IPT Formed		Program Manager
Market Research Completed		Program Manager
Program Approvals Obtained		
AP Approved		
SOO/SOW/PWS/Specifications Finalized		
PR with Funding Provided to the Contracting Officer		
J&A and/or D&F Approval		
Issuance of Synopsis		Contracting Officer
Solicitation Package Complete		
Solicitation Package Reviewed by OGC		
Solicitation Released		
Proposals/Quotes Received		
Evaluators Trained		
Evaluation of Proposals Complete		
Source Selection Complete		
Negotiations		
Post Selection Documentation Complete		
Contract Preparation, Review and Clearance		
Department of Labor Equal Employment Opportunity Clearance		

Contract Award		
Notification of Unsuccessful Offerors		
DHS Unique Congressional Notification of Award in Accordance with HSAM 3005.303-70 (5-Day Advance Notice/Actions > \$4M)		
Notification of Award		

22) Identification of Participants in AP Preparation

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

AP Preparation Participants – Sample

Name	Title	Organization	Telephone Number	Email
	Program Manager			
	Contracting Officer			
	Contract Specialist			
	Small Business Specialist			
	Advocate for Competition			
	Personnel Security Representative			
	Chief Information Officer Representative, as applicable			