

Acquisition Planning Guidelines - 1.1.G (07/28/04)

[Last Update: \(07/28/04\) ABachicha:kma - 1.1.G.0](#)

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Last Update: (07/28/04) ABachicha:kma - 1.1.G.0

This guideline has been revised to update Acquisition Plan requirements and Source Selection Plan requirements.

Definitions

Acquisition planning is the precontractual process by which the efforts of all personnel responsible for acquisitions are coordinated and integrated through a comprehensive plan for fulfilling Sandia's needs in a timely manner and at a reasonable price/cost. This process allows the Sandia Contracting Representative (SCR) and line organization to make maximum use of precontracting techniques (e.g., defining Statement of Work (SOW), market surveys, developing criteria, prenegotiation planning, etc.) that will permit the procurement to be conducted smoothly from program inception to completion. Acquisition planning stresses:

- full cooperation between the program, budgeting and Procurement organizations to fully support program objectives,
- early involvement by Procurement during the program planning phase,
- use of precontracting techniques that may shorten the procurement cycle time, and
- understanding the entire acquisition process from program inception to completion.

Acquisition Planning Requirements -

1.1.G.1

Acquisition planning is mandatory for all procurements exceeding \$100K. A formal Acquisition Strategy Plan (form is located under the Documents section of the Guidelines) is mandatory for individual requirements over \$10M, including the values of all options and must be completed prior to issuing the solicitations.

The formal Acquisition Strategy Plan is also recommended for any acquisitions that are complex, critical, or time sensitive, regardless of dollar value where the SCR and user believe this plan is necessary.

Requirements are fulfilled by completing the Acquisition Strategy Plan document for a formal plan or Acquisition Planning Section of the Procurement Action Summary (PAS) for those not requiring a formal plan.

Exemptions from Acquisition Planning Requirements -

1.1.G.1.a

Acquisition planning is not required for:

- Integrated Contractor Orders (ICOs), and
- Federal Agency Orders (FAOs).

Participants - 1.1.G.1.b

The Acquisition Planning Team may include the following:

- Sandia Contracting Representative (SCR),
- Sandia Line Organization Program Manager (PM),
- Sandia Budget Analyst (BA),
- Procurement Price/Cost Analyst,
- Supplier Information and Relations Representative, and
- others identified by the SCR or Procurement Department Manager.

Process of Acquisition Planning - 1.1.G.1.c

Chronological events and responsibilities are as follows:

Step	Who	Action
1	Requester	Prepares and forwards a Purchase Requisition (PR) to the SCR. Note: The Requester may obtain assistance from the SCR and/or Procurement Help Desk at any stage of the PR process.
2	SCR	If the information provided by the Requester is complete and acceptable, the SCR proceeds to Step 6. If not, proceed to Step 3.
3	SCR	If the information provided by the Requester is not complete and acceptable, the SCR will advise the Requester of additional requirements.
4	Requester	Submits information/documentation requested by the SCR.
5	SCR	Returns to Step 2.
6	SCR	Prepares solicitation and all required documentation. (See 2.1.G – Solicitation Document.)

Acquisition Planning - Technical Evaluations - 1.1.G.2

Several issues should be considered during acquisition planning if there will be a technical evaluation. The following section gives guidelines for developing a Source Selection Plan and technical evaluation criteria.

Source Selection Plan - 1.1.G.2.a

A Source Selection Plan (SSP) is mandatory for all procurements which exceed \$10M and recommended for any acquisitions that have complex selection criteria, regardless of dollar value. For all other procurements, a Source Selection Plan (SSP) is optional and may be used if the SCR and user believe this planning is necessary. In any event, there must be continuity between the SOW, the basis for award, the contract award criteria (technical plus price/cost evaluation factors), and the Requester's SSP. The technical evaluation criteria that will be evaluated as a part of the SSP must support the requirements defined in the SOW. The SCR should review the SSP and the contract award criteria against the SOW and the Basis for Award

clause to ensure there is no conflicting information. The degree of formality and complexity of the plan shall be commensurate with the size and scope of the procurement, and may include the following:

- composition of the technical evaluation team,
- schedule for:
 - the technical evaluation,
 - price/cost evaluation,
 - submission of a written, detailed technical evaluation to the SCR,
 - identifying the Contractors that have the highest probability of success,
 - schedules for negotiation activities, if any, and
 - award of contract.
- scoring plan containing clearly defined instructions outlining the process, methodology, or techniques to be used for evaluating and assigning a rating or degree of compliance score to each technical criterion, and
- instruction on how scores for different criteria will be combined and how consensus scores will be determined.

Note: Source Selection Plans are Sandia Procurement company-sensitive and must not be released to non-Sandians or individuals who do not have a need-to-know.

Source Selection Team - 1.1.G.2.b

The Source Selection Team should be made up of individuals knowledgeable of or responsible for the SOW. Whenever possible, such participation shall be limited to Sandia personnel. However, situations may arise where others may be utilized as a resource (advisory capacity only).

Use of Contractor Personnel. Contractor personnel shall not participate in any aspect of a procurement, especially when their firm is a potential Contractor for the proposed requirement or any follow-on effort. This conflict of interest shall be grounds for immediate cancellation of the procurement. When a procurement does not involve the firm of a Contractor, participation may be allowed in very rare instances and only when there are compelling reasons to do so. In these extremely rare instances, the Contractor may be used in a limited fashion as a resource if approved in writing by the SCR. Contractor personnel can not participate as Technical Evaluation Team Members. When Contractor personnel will be used to provide input (but not score) technical proposals and serve as consultants (but not to make recommendations regarding contract award), the Requester must advise the SCR about such provisions before preparing a solicitation. This fact is then disclosed as part of the evaluation team information in the solicitation, and so that a nondisclosure agreement can be obtained from the non-Sandia

personnel who will be given access to Contractors proposals. Using Contractors may give rise to vendor objections which must be addressed. All Contractor-furnished information must be protected. The Contractor personnel should not have access to supplier-furnished proprietary data. If access to supplier-furnished proprietary data is required, the Contractor personnel must sign a nondisclosure agreement prior to receiving the proprietary information. (A nondisclosure form can be obtained from the Sandia Legal Organization.) When the work is funded or performed in conjunction with an Integrated Contractor, the military or other customer (e.g., Work For Others, Cooperative Research and Development Agreements (CRADAs)), personnel from such entities may sit on the review panel but may not score or recommend a company for award. When a non-Sandian will be utilized as a resource, he/she must be identified in the SSP, and prior approval must be obtained from the SCR.

Caution: When non-Sandians have access to an offeror's proposal, the solicitation should instruct those solicited that disclosure of their proposal shall be made to other non-Sandians and used only for the purpose of the evaluation process. All active and passive participants of the evaluation process shall protect proprietary/private data from unauthorized use or disclosure, using the information only for that purpose for which it was furnished. All copies of such data shall be returned to the Requester/Sandia Delegated Representative (SDR) following the conclusion of the evaluation process. The Requester/SDR should shred or destroy proposals as soon as practicable following contract award. The SCR shall retain one copy of each proposal for the file.

Potential Conflicts of Interest - 1.1.G.2.c

Sandia must avoid even the appearance of a conflict of interest in its supplier relations, therefore, any proposed evaluation team member who feels that he/she may have a conflict situation, actual or potential, must report all pertinent details to the Evaluation Team Leader (ETL). The ETL must in turn report all details to the SCR, who will then make the final decision regarding the Sandian's participation as an Evaluation Team member. Sandians must avoid financial, business, and personal relationships which might be opposed to Sandia's interests, the government's interests, or which might impair independent judgment related to Sandia matters. Personal relationships include those in which a firm employs, and/or is owned or controlled by, a Sandia employee or his/her family. When such a relationship exists, the Sandian may be used to read (but not score) technical proposals and serve as consultant (but not to make recommendations regarding contract award). Every Sandian who has an interest in or a relationship with a supplier must report this fact and carefully follow any precautionary steps established by management.

The SCR has the responsibility of making the final determination on who may or may not serve as an Evaluation Team member when there is an actual or potential conflict of interest. The SCR may request the assistance of the Ethics Director and/or the Legal Organization in making determinations.

Developing Technical Evaluation Criteria- 1.1.G.2.d

When a contract will be awarded based on criteria other than price alone, the SCR shall work with the Requester to develop technical evaluation criteria that are valid predictors of whether a Contractor can successfully complete the required work. These criteria must relate directly to the

SOW. (For full details on developing evaluation criteria see 2.1.G - Solicitation Document Guideline.)

There are two basic types of criteria:

- go/no-go or accept/reject these relate to characteristics that are mandatory minimum requirements and may be specified as not-to-exceed minimums or maximums, and
- variable these relate to characteristics that are helpful in evaluating not only an adequately qualified offeror, but the best qualified offeror, by assessing the degree to which the necessary characteristics are possessed/offered by each entity. These may be specified as a range.

Some attributes to consider when developing evaluation criteria include:

- What is required:
 - performance such as accuracy, speed, volume, power/output, size, weight,
 - performance relative to future concerns such as ability to increase capacity, extent to which capacity may be increased, redesign/modification required for increased capacity, growth potential and its projected costs,
 - performance over time to include quality issues and reliability over time, maintenance/repairs, maintainability relative to down time and project's operational requirements, and
 - performance attributes of individuals to include capabilities of those persons proposed for the work statement, their technical skills, academic qualifications, or direct work experience for same or similar projects.
- Contractor's capabilities:
 - manner of performance such as technical merit, facilities, schedule/work plan, project management/contract administration, ability to respond to technical changes and mobilize to solve problems, lines of communication, ability to identify performance problems early, and
 - characteristics of the Contractor such as key personnel to be assigned to the project, experience and qualifications and amount of their time to be dedicated to the project; availability of resources to perform the work and the tasks to be subcontracted to others; past experience in performing similar work; quality of past performance including timeliness, cost control, and technical success.

Send feedback on ideas and information on this page to the Process Expert, Adolph Bachicha.

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