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**Acquisition**

**CONTRACTED ADVISORY AND ASSISTANCE  
SERVICES**

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This instruction provides essential procedural requirements for acquiring and using Contracted Advisory and Assistance Services (CAAS). It does not apply to Air National Guard units and members. It implements AFR 63-4, *Contracted Advisory and Assistance Services*, as well as Department of Defense (DoD) Directive 4205.2, *Acquiring and Managing Contracted Advisory and Assistance Services (CAAS)*, 10 February 1992.

**SUMMARY OF REVISIONS**

This is the initial publication of AFI 63-401 revising AFR 800-44, 30 December 1986.

**Section A—Responsibilities**

**1. Office of the Secretary of the Air Force (SAF):**

1.1. SAF/AQZ is the Air Force CAAS Director and is responsible for policy, procedures, and oversight of CAAS throughout the Air Force. The director:

- Ensures policy and procedures are consistent with DoD Directive 4205.2;
- Reviews, yearly, all CAAS activities at major commands (MAJCOM), field operating agencies (FOA), and direct reporting units (DRU);
- Visits field units, as necessary, to review operating plans, monitor training, update policy, and share ideas;
- Makes sure the Air Force knows about lessons learned from CAAS inspections, audits, working groups, and so on;
- Ensures that CAAS focal points and field units promptly receive CAAS-related policy from the Office of Federal Procurement Policy (OFPP), DoD, and Air Force;

- Ensures that MAJCOMs, FOAs, and DRUs maintain a viable self-inspection program for CAAS, extending across functional areas;
- Reviews MAJCOM consolidation and analysis of inspections once a year;
- Helps MAJCOMs and field units respond to CAAS inspections and audits;
- Seeks advice from MAJCOMs and field units to continuously improve CAAS policy and oversight;
- Reviews, approves, and submits the annual budget exhibit;
- Discourages needless duplication of CAAS activities, encourages sharing of information on CAAS across the services, and coordinates with the DoD CAAS Director on all matters of joint interest;
- Advises Headquarters US Air Force functions on CAAS issues or information that affect their CAAS responsibilities.

1.1.1. The director ensures that MAJCOMs train people to identify, acquire, manage, and use CAAS, as well as that MAJCOMs comply with DoD Directive 5010.38, *Internal Management Control Program*, when determining whether CAAS is covered by units which are assessable by internal management controls. This executive also determines, in cases of unresolved dispute, whether proposed requirements are suitable CAAS.

1.1.2. The director reviews and approves CAAS contracts \$15M and over for extensions beyond 5 years. This approval is for CAAS only and does not constitute waiver of, or deviation from, *Federal Acquisition Regulation* (FAR) restrictions on length of contracts.

## **2. The Assistant Secretary of the Air Force for Financial Management & Comptroller (SAF/FM):**

- Ensures that policies, programs, and procedures for CAAS expenditures are consistent with DoD Directive 4205.2 and this instruction;
- Oversees budgeting, accounting, tracking, and recording for these expenditures;
- Produces an annual budget exhibit, ensuring it is accurate, complete, and coordinated with the Air Force CAAS Director.

## **3. Headquarters United States Air Force (HQ USAF):**

3.1. The Deputy Chief of Staff, Logistics (HQ USAF/LG) ensures that CAAS policies, programs, and procedures for contracted engineering and technical services, as well as for logistical support, are consistent with DoD Directive 4205.2 and this instruction.

3.2. The Director of Manpower and Organization (HQ USAF/MO) makes sure policies, programs, and procedures for contracted manpower and commercial activities are consistent with DoD Directive 4205.2 and this instruction.

3.3. The Director, Air Force Studies and Analyses Agency (AFSAA) ensures that policies, programs, and procedures for contracted studies, analyses, and evaluations are consistent with DoD Directive 4205.2 and this instruction.

3.4. The Assistant Chief of Staff, Systems for Command, Control, Communications, and Computers (HQ USAF/SC) ensures that policies, programs, and procedures for contracted information systems services are consistent with DoD Directive 4205.2 and this instruction.

## ***Section B—Field Organizations***

**4. Commanders of MAJCOMs, FOAs, and DRUs.** Commanders of MAJCOMs, FOAs, and DRUs make sure an official at a level above the requiring activity approves all purchase requests for CAAS. A special requirement exists for purchase requests initiated during the fourth quarter of the fiscal year, for award during that same fiscal year. In this case, an official at a second level or higher above the requiring activity must approve the request (DoD FAR Supplement 237.206, *Requesting Activity Responsibilities*). Commanders of MAJCOMs, FOAs, and DRUs also make sure their inputs to the annual CAAS budget are accurate and timely. Each MAJCOM, FOA, DRU, Wing, and Center establishes procedures for handling CAAS and identifies a senior person (colonel or above) as the organizational focal point. Normally, this person should be from a requirements organization. MAJCOMs will also name a functional area at headquarters and in the field as office of primary responsibility (OPR) for preparing and maintaining the CAAS operating plan required by DoD Directive 4205.2. The MAJCOMs, FOAs, and DRUs must tailor a self-inspection program, including designation of field OPR, for the CAAS supporting their unique missions. Consolidate inspection results by calendar year and have them available by 15 January each year for the Air Force CAAS director's review.

**5. Program Executive Officers (PEO).** PEOs may delegate authority to determine and approve CAAS requirements to the program directors of their programs, consistent with DoD Directive 4205.2 and this instruction. All reporting and self-inspection requirements apply to the director of a PEO program, including responsibilities normally assigned to a MAJCOM.

**6. Field Units.** Each field unit (and MAJCOMs when headquarters use CAAS) maintains a CAAS operating plan, according to DoD Directive 4205.2. Unlike the annual CAAS budget exhibit, this plan is a living document which reflects the current fiscal year requirements as they change, as well as projected requirements for the next fiscal year. For each ongoing and projected requirement, the plan must describe the requirement, justify it, show its estimated cost, and explain why contractual services are needed to satisfy the requirement. All requirements and contracts for CAAS must be properly coded and traceable within the accounting system. The plan must also address mandated dollar ceilings, if any, trade-offs made for unforeseen requirements, requirements which must be deferred, and minutes of meetings of any local boards or councils which oversee the CAAS process. The MAJCOM names an OPR for the plan. Field units maintain a self-inspection program for CAAS. Inspections shall be conducted in November and May each year. MAJCOMs, FOAs, and DRUs consolidate these inspections for the Air Force CAAS director's review.

6.1. Field requiring activities identify, justify, and report CAAS requirements.

6.1.1. Activities must decide early, during requirements definition, whether to use CAAS, and must consider the proper mix of Government and contractor personnel. To do so, they must look at the statement of work (SOW) language, place of performance, true nature of reports or other deliverables, and the incidence of Government people doing similar work. The proposed work must be specific enough so a contract can be written describing the services in clear and unambiguous terms.

6.1.2. Requiring activities must make sure that purchase requests for CAAS, including those for task orders, have:

- The type of CAAS being procured, as defined in DoD Directive 4205.2.

- An SOW describing, in clear and unambiguous terms, the work to be delivered, the deliverables, and a specified period of performance.
- Certification that such services are the most cost-effective or efficient means of accomplishment. For long-term requirements that Government personnel could do more cheaply, activities must state what they are doing to hire additional resources or explain why contracting out is necessary.
- A signed statement, if the request is for a study. The statement must show that the activity has queried the Defense Technical Information Center (DTIC) and other information sources, has evidence of those queries on file, and knows of no scientific or technical report that could fulfill the requirement. The statement is mandatory even for purchases falling under the small purchase threshold.
- Estimated cost and level of effort expressed in staff years, staff months, or staff hours.
- Proposed criteria for evaluating and selecting a contractor on competitive awards.
- Surveillance plans, specifying how the activity will evaluate contractor performance, performance standards, and deduction schedules (if applicable).

6.1.3. Requiring activities must evaluate each CAAS requirement (including separate tasks or services, etc.) completed under contract. They must also evaluate work before exercising a contract option. Activities will assess each task's utility to the organization, as well as the contractor's performance, and send a copy of the report to the contracting officer. A Government official, not a contractor, must perform the evaluation and complete the report.

**7. Contracting Officers.** Contracting officers will screen purchase requests and SOWs for proper justifications and certifications on all CAAS requirements.

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