

Guidelines for Acquiring Ship Services

Procedure Number: SOP # 3.2.3.6 (F7)

Created: June 15, 2011

Created By: Chris Paternostro

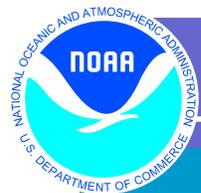
Approved By: Mike O'Hargan and Jason Shadid

Approved On: September 27, 2011

1. **Title** SOP #3.2.3.6 (F7) Guidelines for Acquiring Ship Services
2. **Purpose** To guide the project lead through the process of acquiring a ship for use in an estuary of interest. This process defines the method to write a statement of work and the supporting documents, the time line, and explain the process for submission to Acquisitions through the CRequest system. By successfully following this process will grant use of an ocean going vessel for use in observing oceanographic phenomenon. Funding, ship safety and competitive bidding for the vessel will be addressed.
3. **Background/History** CO-OPS uses ocean going vessel support to deploy or recover equipment and instrumentation to observe the ocean. Presently, vessels are being used for reconnaissance before an oceanographic study and during the actual study itself. The vessel is usually equipped to hold cargo and personnel. Extra specifications of the vessel that are often required in the Statement of Work (SOW) are for berthing, meals, awench and an A-frame. Use of the vessel ranges from short day trips to multi-week missions for the successful deployment and recovery of scientific instrumentation and successful collection of ocean observations.
4. **Scope/Applicability** This SOP applies to obtaining a contract vessel with the proper captain, crew and capabilities for the work. The procurement of the contract vessel is to support work conducted by CO-OPS on the ocean, bays, rivers or lakes within the territories of the USA. All procurements shall conform to the applicable requirements of NAO 217-103
5. **Main Processes**
 - 1) Write a statement of work (SOW)
 - 2) Perform market research to obtain vendor contact information and develop an independent government cost estimate (IGCE) for the work
 - 3) Create a CRequest (REQUISITION FOR SUPPLIES/SERVICE)
 - 4) Fill out "NOAA Section 508 Standards Checklist and Assessment Certification Form"
 - 5) Fill out "Information Security in Acquisition Checklist"
 - 6) Submit the CRequest
 - 7) Procurement timeline and interaction
 - 8) Vendor Evaluation
 - 9) Paying the Invoice

Examples for each step above are given in the Appendix at the end of this SOP.

6. **Detailed Sub-Processes:**



1) Write the Statement of Work (SOW): The SOW has the following required paragraphs:

BACKGROUND – This is one paragraph containing a short history of NOAA, CO-OPS, the reasoning for the project, the future of the project, reason for the SOW. The next paragraph is a sentence of stating the actual request of the work desired, e.g., “To conduct these operations, NOAA seeks the services of a vessel, captain and crew to be available to deploy the scientific instruments in Mid-May, 2010 and recover them in Mid-August, 2010.”

REQUIREMENTS – This section lists the requirements that are specifically needed for a vessel and vessel support crew. Be specific as to what is needed. Specificity in this section will determine the types of bids you get. Categorize the requirements into the following:

Vessel

- provide the required minimal dimensions and if there is a maximum dimension
- Equipment necessary on board the vessel, e.g., lifting capacity and method (2,000 lbs. with a winch, A-frame), GPS, VHF Radio, Depth sounder, electrical outlets.
- Equipment storage requirements (e.g., dry, secure, area)
- Identify the number of NOAA personnel and what their needs are
- End this section with “Vessel must possess current US Coast Guard Safety Inspection/Certificate”

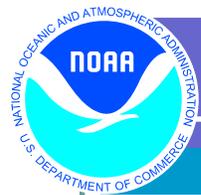
Captain

- Required experience from the Captain.
- End this section with “Must be U.S. Coast Guard Certified”

Locations

- Quantify the number of stations and lay out the bounding box for the study area proposed, mention some of the common names of the areas it contains.
- Add caveats to allow for the addition, movement or removal of stations. Price quotes for the vessel should be largely based on the area under study and the amount of time it would take to observe and perform work at the stations. The addition of a few stations should not change the costs of a recon and is to be expected as requirements are gathered between the time the SOW is advertised and the execution of the contract.
- Contracts to deploy and recover large oceanographic instruments tend to be priced based on the number of stations. Thus the number of stations and the size and amount of equipment used require most of the ship time and duties. These contracts to do allow for an increase in the number of stations without an increase in cost.
- Allow leniency for weather days.
- Add the line at the end, “The final planned route is up to the discretion of the vessel captain (pending CO-OPS approval), and CO-OPS is aware that weather and other events can change the course.”

Berthing



- Determine if berthing on board the vessel will be necessary. This determination should be based on the proximity of the study area to possible lodging. If the transit time is too long then berthing aboard the vessel will be necessary. In this case, state the requirements for the number of berths required by CO-OPS, if separate rooms are needed, a working head, reasonable privacy, a locked room for changing, a galley with food provided and a locked bathroom and showering facility.
- If the vessel is to take short day trips to get to sites, there must be lodging available where the vessel moors.

Period of Performance

- State the time frame the vessel is needed. Specify the exact dates if required. Allowing flexibility with start and end dates may provide more quotes.
- State the expected duration of the vessel use with the flexibility to add or subtract days of work due to inclement weather or rough seas
- Consider if you want to add, “CO-OPS remains flexible on the dates and will work with the vessel captain to determine the best possible dates. Dates do not have to be consecutive, although that is preferable.”

PROPOSAL

- This states what is exactly needed in the proposal they will submit.
- Example: “Potential Vendors shall include a cost proposal for this fixed-price contract that includes information about their vessel and its capabilities and on-board facilities. The contract should be for three days with an option for a fourth day. The Vendor shall also include information on past performance. The Vendor shall also include the best strategy for visiting as many locations as possible in the time allotted.”

IT SECURITY

- Add the following statement after the proposal:
The Contractor will not connect to or access any DOC systems. The contractor will not handle privileged or sensitive DOC data. The C&A requirements of clause 73 do not apply, and a Security Accreditation Package is not required.

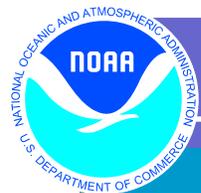
STATION LIST

- Add a list; with the name, latitude and longitude, of the stations; so the captains know the area that needs to be covered and can propose a route that will cover all the stations.
- Example:

Station Name	Latitude	Longitude
Skiff Point, 0.4 mile east of, Puget Sound, Washington	47.66521	-122.420434
Port Orchard, Puget Sound, Washington	47.61412	-122.542005

AREA MAP

- Provide a chart or map of the region that needs to be covered. If possible, provide the bounding box and a dot for each station with the station id that matches the station list.



2) Preform market research to obtain vendor contact information and develop an independent government cost estimate (IGCE) for the work

- Market research is an informal process of obtaining information about the costs and the possible vendors in the area of interest. The market research can be provided to procurement for reference. Two documents that must be generated from the market research are the IGCE and a list of potential vendors with contact information.
- Contact potential vessels in the area and obtain their contact information (Name, E-mail address, phone number), three vendors are required, more is better
- Obtain a verbal estimate of the daily costs of the vessel, this is an informal conversation. No commitment is made to the vendor and no bid is requested. The request for a bid will be requested from the procurement official within acquisitions.
- This information can be used to provide market research about the costs of such a service in the area. The most likely daily rate for the vessel should be multiplied by the number of days needed by the vessel to obtain the Independent Government Cost Estimate (IGCE). It is wise to be a little higher than expected in determining the IGCE. Bids over the IGCE will not be accepted without additional work to add more money into the CRequest.
- Add any extra charges the proposal may incur (personnel, fuel, food, boarding, equipment)

3) Create a CRequest (REQUISITION FOR SUPPLIES/SERVICE)

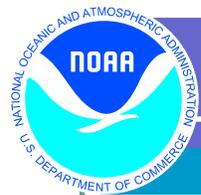
- Start a CRequest to obtain the procurement number. This number will be used on the following documents
- The CRequest can be submitted to the procurement office once all these documents identified in this SOP have been created.

4) Fill out “NOAA Section 508 Standards Checklist and Assessment Certification Form”

Get the form at:

http://www.ago.noaa.gov/ago/acquisition/docs/noaa_form_47_44_section_508_standards_checklist_and_assessment_certification_form.pdf

- Fill in:
 - o **System/Product Name:** (Provide a simple name, e.g., Puget Sound Vessel Charter)
 - o **Office: NOAA/NOS/CO-OPS**
 - o **Contact Person:** (You) **Telephone:**
 - o **Requisition No.** (number from the CRequest)
- Check mark:
 - o Section 508 is **Not Applicable.**
 - o 2) does not have any controls that fall under the Section 508 technical standard
- Route to Head of ISD for a signature
- Attach this form to the CRequest



5) Fill out “Information Security in Acquisition Checklist”

- Obtain an **Information Security in Acquisition Checklist** (http://www.ago.noaa.gov/ago/acquisition/docs/it_security_checklist.pdf)
- Fill in the Requisition # at the top.
- Check the NO box for all the 5 questions, since there will be no data requirements for acquiring a ship
- Fill in a **Procurement COR/COTR:** (COTR information, name and phone number)
- Fill in **OU approved Program/Requesting Office IT Security Officer:** John D. Parker 301-713-1156 x174 (as of July 2011)
- Route this form, the SOW, and a PDF of the with the CRequest to John.D.Parker@noaa.gov for his signature.
- Route this form with John Parker’s signature to the COR/COTR above for a signature.
- Attach the signed checklist to the CRequest

6) Attach to the existing CRequest: the SOW, IGCE, 508 Standards Checklist, Information Security in Acquisition Checklist, and a list of potential vendors. Submit the CRequest.

7) Procurement timeline and interaction:

- Once the CRequest has been submitted, NOAA Acquisitions department will work on the announcement to the potential vendors.
- If the IGCE is under \$10,000, then the list of vendors provided will be contacted and asked to submit a bid. It is necessary that three or more vendors are asked to make the bid. This process can take two weeks.
- If the IGCE is \$10,000 or more, then the bid must be announced on FedBizOpps (www.fbo.gov) for a minimum of 15 days. This process can take a full month to complete with the preprocessing and post processing of the announcement.
- If the dollar amount of the order will be over \$150,000.00, provide the SOP to the Contracting Branch (Anthony Kram).
- The procurement officer needs a point of contact to answer any questions that may arise by the procurement officer or any of the vendors.

8) Vendor Evaluation:

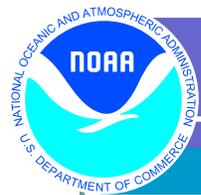
- After the bids are in, the procurement officer will put together a package to be evaluated by a source evaluation board composed of subject matter experts. The package will have the vendors’ bids and an evaluation form.
- Depending of the size of the bid the justification for selection of the vendor can vary. If the lowest cost vessel is chosen and the bid is under \$10,000, a simple form is filled out by the point of contact mentioned above. If the bids are greater than \$10,000 or the selection is based on many variables of merit, not necessarily just price, a selection board of 3 experts needs to independently evaluate and provide comments as to their vendor selection. Then the chair of the selection board will gather all evaluations and meet with everyone to decide upon the vendor that provides the best value. The chair of the board submits a written justification of the selection to procurement.



9) **Paying the Invoice:**

- Once the work has been complete successfully, the vendor should send you an invoice to be paid.
- Fill out a “Supplemental Invoicing Information” form (OPTIONAL FORM 347 (REV. 4/2006)) the last page of the signed contract or at [http://contacts.gsa.gov/webforms.nsf/0/F6390F172C0A4CC485256A730013554D/\\$file/OF%20347.pdf](http://contacts.gsa.gov/webforms.nsf/0/F6390F172C0A4CC485256A730013554D/$file/OF%20347.pdf)
 - o Write the amount of the payment
 - o Check accepted
 - o Write the letter “C” in the box next to Final
 - o Write the date Received
 - o Sign and date it
 - o Give a Title of the contract
- Print out the invoice
- Print out a copy of the contract
- Mail Invoice, Contract and Supplemental Invoicing Information to:
Finance
20020 Century Blvd.
Stop Code OFA 2312
Germantown, MD 20874

7. **Quality Assurance/Control:** Project team and CECAT review of the SOW is necessary. The field lead should review the SOW with a high level of detail to ensure the vessel specifications are what are necessary for successful execution of the field work. The PMAB Branch Chief and CECAT team lead should review the SOW to assure the station selection and scope of the study proposed are aligned with the mission CO-OPS. The PMAB Branch Chief, CECAT team lead and the CO-OPS Financial Project Analyst should review the IGCE to determine if funding is available to support the project.
8. **Management/Responsibility:** The project lead and field lead are responsible for developing the SOW. The project lead should write the SOW and obtain all the supporting documentation. The field lead may be well suited to conduct the market research. CECAT is responsible for maintaining this document.
9. **References:** A very detailed understanding of the process can be gained by reading the “Acquisition Process Guide” at <http://www.easc.noaa.gov/APG/>



10. Appendix of example documents:
1) Write the statement of work (SOW)

**STATEMENT OF WORK
Vessel for Reconnaissance in
Seattle, WA
2011
NCNT0000-11-03131**

BACKGROUND

The National Oceanic and Atmospheric Administration (NOAA) is one of several bureaus of the U.S. Department of Commerce, a cabinet level agency of the executive branch of the United States of America. Since the mid-1800's NOAA's National Ocean Service (NOS) Center for Operational Oceanographic Products and Services (CO-OPS) and its predecessors have been collecting tidal current information to maintain and update the predictions in U.S. Tidal Current Tables. Mariners rely on this information to plan for safe and efficient maritime transportation. Every year CO-OPS deploys around 70 current meters in several locations around the country. In 2013, CO-OPS will be measuring tidal currents in the Puget Sound including Tacoma Narrows and Olympia. In August 2011, CO-OPS plans to do a reconnaissance of station locations in the central Sound around Seattle. Reconnaissance includes determining the latitude, longitude and depth of the proposed locations; taking a bottom grab sample to identify bottom type; measuring salinity and temperature; and determining obstructions/hazards to deploying current meters in these locations.

To conduct this reconnaissance work, NOAA seeks the services of a vessel, captain and crew to be available the week of August 9-11, 2011.

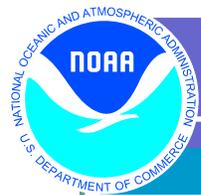
REQUIREMENTS

Vessel

- Should be 40-60 ft in length with the capability to carry at least 3 scientists and should have access to a small winch or other device that can handle 5/16" line to lower a bottom grab and CTD instrument to the seafloor bottom. Larger vessels are acceptable but not necessary. CO-OPS will provide all oceanographic sampling equipment
- Should be equipped with navigational (functional GPS and VHF radio), depth sounding, and medical safety equipment, as prescribed by the U.S. Coast Guard. Vessel should also have an available electrical outlet for charging a laptop.
- CO-OPS expects to send 2-3 personnel on the trip. The Vendor must make reasonable accommodations for NOAA personnel on board the vessel (including but not limited to: a working head, reasonable privacy, a locked room for changing, and a locked bathroom). If vessel is to take short day trips to get to sites, there must be lodging available where the vessel moors.
- Vessel must possess current US Coast Guard Safety Inspection/Certificate

Captain

- Must possess and demonstrate knowledge of the study areas



- Must be U.S. Coast Guard Certified

Locations

There are 36 proposed sites in the Seattle region including Bremerton, Port Orchard Bay, Elliott Bay, Port Madison, Edmonds and up into Possession Sound including areas around Everett and Camano Island. A map for these locations and a table of locations are attached. . However, as requirements will be gathered from partners, up to the time of reconnaissance, CO-OPS retains the right to add a few more stations along the proposed route if deemed necessary based on user input and outreach efforts but all work will be confined to the shown bounding box. The final planned route is up to the discretion of the vessel captain (pending CO-OPS approval), and CO-OPS is aware that weather and other events can change the course.

Berthing

CO-OPS would rather not berth on board the vessel so several day trips with lodging in towns along the way, or returning to Seattle daily, is acceptable.

Period of Performance

Potential dates are in August 2011

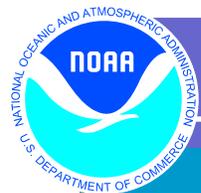
The captain, crew and vessel will need to be available around August 9, 2011 for 3 days with the flexibility to add or subtract days of work due to inclement weather or rough seas. CO-OPS personnel can meet the vessel in Seattle to commence operations. CO-OPS remains flexible on the dates and will work with the vessel captain to determine the best possible dates. Dates do not have to be consecutive, although that is preferable.

PROPOSAL

Potential Vendors shall include a cost proposal for this fixed-price contract that includes information about their vessel and its capabilities and on-board facilities. The contract should be for three days with an option for a fourth day. The Vendor shall also include information on past performance. The Vendor shall also include the best strategy for visiting as many locations as possible in the time allotted.

IT SECURITY

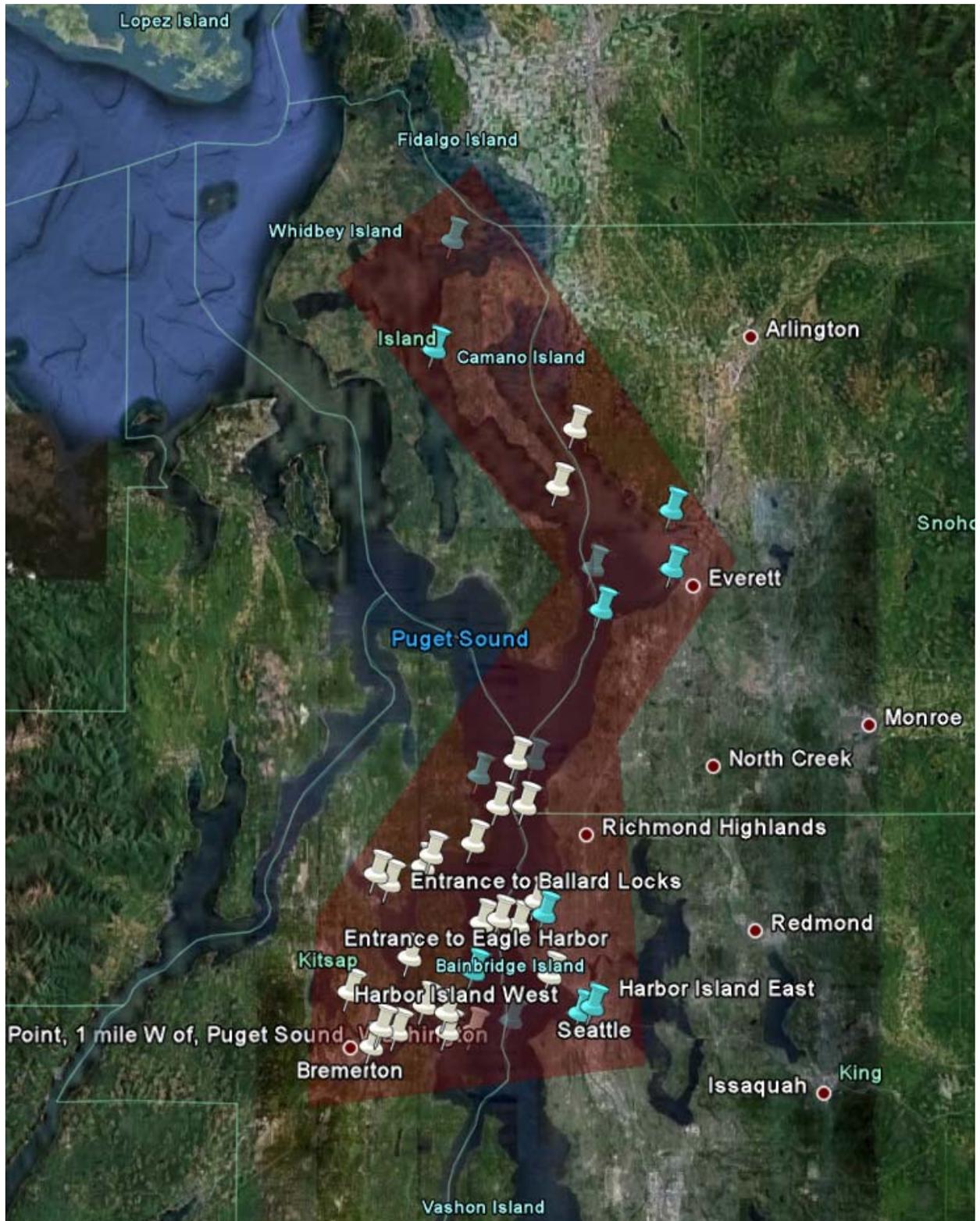
The Contractor will not connect to or access any DOC systems. The contractor will not handle privileged or sensitive DOC data. The C&A requirements of clause 73 do not apply, and a Security Accreditation Package is not required.

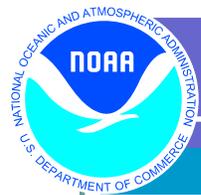


STATION LIST

Station Name	Latitude	Longitude
Skiff Point, 0.4 mile east of, Puget Sound, Washington	47.66521	-122.420434
Port Orchard, Puget Sound, Washington	47.61412	-122.542005
President Point, .5 mile east of, Puget Sound, Wa.	47.81098	-122.340085
Elliott Bay entrance, Puget Sound, Washington	47.61868	-122.362027
President Point, 1.5 miles east of, Puget Sound, Was	47.81098	-122.340085
West Point, 0.3 mile west of, Puget Sound, Wash.	47.66521	-122.420434
Port Susan, Possession Sound, etc, Washington	48.08695	-122.273650
Camano Head-Sandy Point, Passage between Washington	48.08373	-122.452965
Edmonds, 2.7 miles WSW of, Puget Sound, Washington	47.81098	-122.340085
Shilshole Bay, Washington	47.68283	-122.407556
Rich Passage approach, N. of Blake I., Puget Sd., Wa	47.58051	-122.458345
Agate Passage, north end, Puget Sound, Washington	47.72689	-122.482162
West Point, 1.2 miles west of, Puget Sound, Wash.	47.66521	-122.420434
Port Madison entrance, Puget Sound, Washington	47.72689	-122.482162
Port Washington Narrows, south entrance, Puget Sound	47.56916	-122.616719
Agate Passage, south end, Puget Sound, Washington	47.72689	-122.482162
Port Orchard, off Keyport, Washington	47.71652	-122.561176
Port Orchard, southwest of Waterman, Puget Sound, Wa	47.56814	-122.594643
Liberty Bay (entrance), Port Orchard, Washington	47.71162	-122.619409
Rich Passage, east end, Puget Sound, Washington	47.57942	-122.550563
Rich Passage, west end, Puget Sound, Washington	47.58399	-122.556049
Port Washington Narrows, north entrance, Puget Sound	47.60029	-122.622543
Sinclair Inlet, Puget Sound, Washington	47.56821	-122.615182
West of Mukiteo	48.10090	-122.476998
Skagit Bay, 1 mile north of Rocky Point, Washington	48.23360	-122.480017
Clinton Ferry Terminal	48.03123	-122.319639
Entrance to Ballard Locks	47.67300	-122.408892
Edmonds Ferry dock	47.80544	-122.421473
Alki Point, 1 mile W of, Puget Sound, Washington	47.60629	-122.493167
Harbor Island East	47.59241	-122.354902
West of Camano Island	48.17794	-122.535481
Entrance to Eagle Harbor	47.62434	-122.516434
Harbor Island West	47.59241	-122.354902
Priest Point	48.02163	-122.255873

AREA MAP





2) Perform market research to obtain vendor contact information and develop an independent government cost estimate (IGCE) for the work:

Vessel Contacts in Puget Sound, Seattle, WA

1. Survey vessel DEFENDER

Contact: Ross Hendrick (206) 816-6632

leasing@kvichak.com
Kvichak Marinef
Seattle, WA

2. Survey vessel SEALTH

Contact: Megan Gale (206) 770-7801

megan.gale@globalseas.com

Global Sea
Seattle, WA

3. R/V CENTENNIAL

Contact: Don English (206) 616-0756

Or Dr. David Duggins 360-378-2165, ext 7 / 206-616-0703

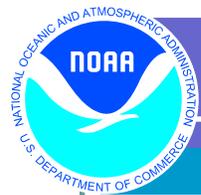
dduggins@u.washington.edu

Friday Harbor Labs
Friday Harbor, WA

4. OCEAN TRANSPORTATION, INC.

Contact: John Gannon (425) 483-4037

oceantrans@comcast.net
7050 NE 155th Place, Kenmore
WA 98028

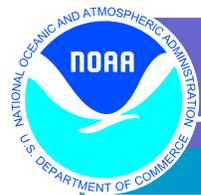


**2) IGCE:
Government Cost Estimate
Vessel for Current Meter Reconnaissance in
Puget Sound, WA**

(NCNT0000-11-?????)

NOAA's Center for Operational Oceanographic Products and Services (CO-OPS) requires the use of a marine vessel in the vicinity of Seattle, Washington in the summer of 2011. Based on previous experience with this type of service, NOAA estimates that a reasonable cost for an appropriately equipped chartered vessel in this region is approximately \$2,000 - @2,500 per day.

CO-OPS anticipates a total need of 4 days during specific time frame in August 2011 (defined in SOW), with contingencies included for inclement weather. Therefore, based on the research information provided by technical oceanographic staff, the government intends this order not to exceed \$9,000 to fulfill this requirement.



4) NOAA Section 508 Standards Checklist and Assessment Certification Form

NOAA Section 508 Standards Checklist and Assessment Certification Form

System/Product Name:
(Use one form for each System or Product)

Office:

Contact Person: Telephone:

Requisition No.

By using this checklist, you have already determined that the product or service you are purchasing falls within the definition of "Electronic Information Technology" (EIT). A [complete definition of EIT](#) is provided with the "Definitions" included with this checklist.

Section 508 Standards do not apply to components/internal replacement parts to maintain any EIT. If this procurement is for components/internal replacement parts, complete the following and sign this form on the second page:

Section 508 is **Not Applicable**. The standards do not apply because this requisition either
 1) is for a component/internal replacement part for any EIT or
 2) does not have any controls that fall under the Section 508 technical standard (e.g. USB flash drive).

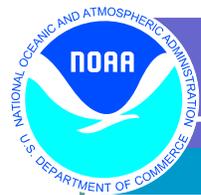
If the above is not checked, Section 508 Standards apply and the following items must be completed.

This Procurement is Covered under Item A - TECHNICAL STANDARDS	Check ALL that Apply
§ 1194.21 Software applications and operating systems. <i>Includes software "off the shelf" or developed for the government, or operating systems such as Windows XP, Linux, etc</i>	<input type="checkbox"/>
§ 1194.22 Web-based intranet and internet information and applications. <i>Includes all Internet and Intranet pages, web based applications, and web services, etc.</i>	<input type="checkbox"/>
§ 1194.23 Telecommunications products. <i>Includes telephone systems, TTY, telephone compatibility with hearing aids, etc.</i>	<input type="checkbox"/>
§ 1194.24 Video and/or multimedia products <i>Includes televisions, DVD's, Video tapes, webcasts, etc</i>	<input type="checkbox"/>
§ 1194.25 Self contained, closed products. <i>Includes copiers, calculators, fax machines, and information kiosks, etc</i>	<input type="checkbox"/>
§ 1194.26 Desktop and portable computers. <i>Includes keyboards, keypads, and other controls on desktop and laptop computers that need to be activated during the normal operation of the system. Also includes controls not located on a keyboard but are still covered such as on/off switches, reset buttons, unlocking controls for docking stations, etc</i>	<input type="checkbox"/>
Subpart C -- Functional Performance Criteria § 1194.31 Functional performance criteria <i>(If none of the technical standards of Subpart B applies, then Subpart C applies)</i>	<input type="checkbox"/>
Subpart D -- Information, Documentation, and Support § 1194.41 Information, documentation, and support	<input type="checkbox"/>



This procurement is EXEMPT from Section 508 Standards based on:	Check if applicable
36 CFR § 1194.3 General Exceptions.	
<p>§ 1194.3 (a) The electronic and information technology operated by agency, the function, operation, or use of which involves intelligence activities, cryptologic activities and is directly related to national security, command and control of military forces, equipment that is an integral part of a weapon or weapons systems, or systems which are critical to the direct fulfillment of military or intelligence missions. (excluding payroll, finance, logistics and personnel management applications) (e.g. IT equipment used only for national security)</p>	<input type="checkbox"/>
<p>§ 1194.3(b) The electronic and information technology acquired by a contractor is incidental to a contract. (e.g. is not part of the deliverables of the contract)</p>	<input type="checkbox"/>
<p>§ 1194.3(c) The installation of specific accessibility-related software or the attachment of an assistive technology device is not required at a workstation of a Federal employee who is not an individual with a disability. (e.g. not every computer will be equipped with a refreshable Braille display)</p>	<input type="checkbox"/>
<p>§ 1194.3(d) When agencies provide access to the public to information or data through electronic and information technology, agencies are not required to make products owned by the agency available for access and use by individuals with disabilities at a location other than that where the electronic and information technology is provided to the public, or to purchase products for access and use by individuals with disabilities at a location other than that where the electronic and information technology is provided to the public. (e.g. if an agency provides an information kiosk in a Post Office, a means to access the kiosk information for a person with a disability need not be provided in any location other than at the kiosk itself.)</p>	<input type="checkbox"/>
<p>§ 1194.3(e) A fundamental alteration would be required in the nature of a product or its components. (e.g. adding a large display on a pager or palm pilot would significantly change the size; thus nature of the product)</p>	<input type="checkbox"/>
<p>§ 1194.3(f) Products will be located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment. (e.g. telecommunications equipment switches, servers)</p>	<input type="checkbox"/>
Item B2. Commercial Non-Availability	
<p>36 CFR § 1194.2(b) and FAR 39.203(c) Products that meets applicable Section 508 technical standards are not available in the commercial marketplace. Market research and non-availability determinations must be documented.</p>	<input type="checkbox"/>

Approving Official's Signature: Jay Bahouse Date: 6/21/11



5) Information Security in Acquisition Checklist

Information Security in Acquisition Checklist

Page 1 of 5

Requisition #: NCNT0000-11-03131

Instructions:

This information security checklist with appropriate signatures must be completed for Information Technology (IT) acquisitions within the Department of Commerce (DOC). This represents a list of important or relevant actions (steps) that must be taken to ensure that security considerations were incorporated into IT acquisitions. You can assume that if the answer to a question does not redirect you to a new question further down the checklist, then you should proceed to the next question until you obtain the final concurrence signatures. Each checklist question should be addressed in coordination with the Acquisition team including: the Procurement Requestor from the program office, the Procurement Contracting Officer Technical Representative (COTR), OU Approved Program/ Requesting Office IT Security Officer, and Acquisition Contracting Official (CO).

Background:

Information Security is an important business process that should be considered in all phases of the acquisition process to ensure data and information technology systems are adequately protected against risk of loss, misuse, and unauthorized access. In accordance with the Federal Information Security Management Act (FISMA), contractor access to government information or government information technology (IT) systems requires compliance with the agency IT Security Policy. All information technology acquisitions must meet the requirements outlined in the Federal Acquisition Regulation (FAR) Part 39.101 (d) policy ensuring the use of common security configuration checklists in the management of risk. National Institute of Standards and Technology (NIST) defines a security configuration checklist (also called a lockdown, hardening guide, or benchmark) as a document that contains instructions for securely configuring an IT product for an operational environment or verifying that an IT product has already been securely configured. The National Checklist Program (NCP) is the U.S. government repository of publicly available security checklists that provide detailed guidance on setting the security configuration of operating systems and applications. The NCP, as defined by NIST SP 800-70 Revision 1, conforms to the Security Content Automation Protocol (SCAP) that enables numerous SCAP-validated security tools to automatically perform configuration checking using NCP checklists. Whenever feasible, organizations should apply checklists to operating systems and applications to reduce the number of vulnerabilities that attackers can attempt to exploit and to lessen the potential impact of successful attacks. *Note: The NCP checklists exclude equipment that is being acquired for specialized Research and Development (R&D) or scientific purposes.*

System(s):	Date:
1 Does this acquisition involve a hardware or software product purchase? Note: If the answer is No, then proceed to question 2. <ul style="list-style-type: none"> If the answer is Yes, then include appropriate clauses into the solicitation and contract to ensure this acquisition meets 2009 DOC ITSP media sanitization requirements and FAR 39.101(d) regulations involving NIST common security configuration checklists, including Federal Desktop Core Configuration (FDCC) or United States Government Configuration Baseline (USGCB) initiative. Proceed to question 2. 	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

Comments:



Information Security in Acquisition Checklist

Requisition #: NCNT0000-11-03131

4	<p>Will this acquisition involve a service level agreement? <i>For example, contractor maintenance on DOC system hardware or software, Software as a Service (SaaS), i.e., Cloud Computing, or External Data Storage or Contingency Emergency Back-up facility.</i></p> <p>Note: If the answer is No, then proceed to question 5.</p> <ul style="list-style-type: none"> If the answer is Yes, then initiate appropriate Security Authorization (C&A) of the contractor system(s) involved and include clauses to ensure this acquisition meets 2009 DOC ITSPP security requirements for transmitting, processing, and storing data, NIST Special Publication (SP) 800-37 Revision 1: <i>Guide for Applying the Risk Management Framework to Federal Information Systems: A Security Life Cycle Approach</i> (sp800-37-rev1-final.pdf) and SP 800-64 Revision 2, <i>Security Considerations in the Information System Development Life Cycle</i> (SP800-64-Revision2.pdf) involving nondisclosure of information. Ensure that data portability, data breach notification, and data disposal are considered in the contract. Insert clauses from Commerce Acquisition Manual (CAM) Chapter 1337.70, Personnel Security Processing Requirements for Service Contracts (Amended), into the contract. Proceed to question 5. 	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
5	<p>Do you have any supplemental information to add to this checklist?</p> <p>Note: If the answer is No, then proceed to <i>Signatures</i> section below to obtain signatures. If the answer is Yes, then please attach appropriate supplemental information to this checklist and proceed to <i>Signatures</i> section below to obtain signatures.</p>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

Signatures:

By signing this checklist, the Contracting Officer is representing that operating unit information security management oversight and appropriate due diligence were considered for this acquisition process.

Procurement COR/COTR:

Name: Pat Burke	Phone: 713-2890 x175
Signature:	
Date:	

OU approved Program/Requesting Office IT Security Officer:

Name: John D. Parker	Phone: 301-713-1156 x174
Signature:	
Date:	

Contracting Officer:

Name:	Phone:
Signature:	
Date:	

Comments: