

Management

United States Army Accessions Command Studies Program

For the Commander:

BERNARDO C. NEGRETE
Brigadier General, US Army
Deputy Commanding General/Chief of Staff

Official:

ROGER H. BALABAN
Chief Information Officer

History. This update publishes a new USAAC Reg 5-1, which is effective 1 November 2003. This regulation establishes procedures governing the conduct of studies within the United States Army Accessions Command and explains the relationship between research, studies, and analysis.

Summary. This regulation prescribes policies and guidance and assigns responsibilities for managing the command's Studies and Analyses

Program. It incorporates the definition of studies, analyses, and evaluations included in DODD 4205.2. This regulation also clarifies guidance on the performance and evaluation of studies.

Applicability. This regulation applies to all subordinate commands and directorates of the United States Army Accessions Command to include the United States Army Recruiting Command, United States Army Cadet Command, and the United States Army Training Center - Fort Jackson.

Proponent and exception authority. The proponent of this regulation is the Director of Center for Accessions Research. The proponent has the authority to approve exceptions to this regulation that are consistent with controlling law and regulation. Proponent may delegate the approval authority, in writing, to the deputy director or a division chief within proponent agency in the grade

of lieutenant colonel or civilian equivalent.

Army management control process. This regulation contains management control provisions in accordance with AR 11-2 but does not identify key management controls that must be evaluated.

Supplementation. Supplementation of this regulation is prohibited.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQ USAAC (ATAL-AR), 1307 3rd Avenue, Fort Knox, KY 40121-2726.

Distribution. This regulation is available in electronic media only and is available at <http://www.usaac.army.mil/publications.html>.

Contents (Listed by paragraph number)

Chapter 1

Introduction

- Purpose ● 1-1
- References ● 1-2
- Explanation of abbreviations and terms ● 1-3
- Responsibilities ● 1-4
- Overview ● 1-5

Chapter 2

Concept of Studies Program Management

- General ● 2-1
- Study objectives ● 2-2
- Program objectives ● 2-3
- Policies ● 2-4
- Resources ● 2-5
- Performing organizations ● 2-6

Chapter 3

Studies Program Planning, Programming, and Budgeting

- Study processes ● 3-1
- Planning ● 3-2
- Programming ● 3-3
- Budgeting ● 3-4
- Success factors ● 3-5

Chapter 4

Studies Program Evaluation

- Requirements and procedures ● 4-1
- Evaluation process ● 4-2
- Study program evaluation ● 4-3
- Additional forms of evaluation ● 4-4

Chapter 5

Life Cycle Management of Individual Studies

- Individual efforts ● 5-1
- Initiation ● 5-2
- Validation ● 5-3
- Development and conduct ● 5-4
- Documenting and reporting ● 5-5

Chapter 6

Contracting

- Study contracts ● 6-1
- Contract funding for studies ● 6-2
- Contract offloading ● 6-3

Appendixes

- A. References
- B. Examples of Study and Nonstudy Efforts

Glossary

Chapter 1

Introduction

1-1. Purpose

This regulation prescribes policies and guidance and assigns responsibilities for the establishment and maintenance of the United States Army Accessions Command's (USAAC's) Studies Program as well as provides guidance that will ensure the resources for these efforts are used efficiently.

1-2. References

Required and related publications and referenced forms are listed in appendix A.

1-3. Explanation of abbreviations and terms
Abbreviations and special terms used in this regulation are explained in the glossary.

1-4. Responsibilities

Figure 1-1 shows the relationship of key duty positions referred to throughout this regulation. It also depicts the relationship of USAAC's subordinate commands and directorates and Department of Defense (DOD) agencies involved in USAAC's Studies Program.

a. The USAAC Commander is the study sponsor for all work conducted under the auspices of USAAC's Studies Program. AR 5-5 and DA Pam 5-5 detail the duties and responsibilities of the study sponsor who oversees studies and subsequently is responsible for implementing the results of a study. The study sponsor will:

(1) Ensure that the formulating of study policies and study program priorities support current Army and USAAC initiatives.

(2) Establish policy to guide the conduct and use of USAAC studies to support the strategic vision, goals, and objectives of USAAC.

(3) Provide necessary guidance to the Study Program Coordination Committee (SPCC), a committee consisting of USAAC subordinate commanders chaired by the USAAC Commander, responsible for prioritizing the Master Studies List and approving the Master Studies Plan in the area of study and analyses.

(4) Provide program direction for operations

research and systems analysis activities of USAAC.

(5) Establish the Research and Studies (R&S) Subcommittee (refer to fig 1-1 for speculative representation). The subcommittee has the responsibility to review operational issues semiannually to determine what research, study, and analysis efforts are needed to meet the USAAC Commander's strategic vision, near-term objectives, and short-term goals.

(6) Establish a semiannual research consortium consisting of R&S Subcommittee members and advisory panel from DOD research institutions, academia, military schools, as well as relevant private agencies. The purpose of the consortium is to share current and past research and advise the SPCC of necessary future research required to mitigate the lack of knowledge on issues pertinent to USAAC.

(7) Provide USAAC manpower and funds for the performance of the studies program.

b. Accessions General Officer Steering Committee (GOSC). Meets semiannually or more frequently as needed to address relevant operational issues. The Accessions GOSC identifies issues needing further investigation or knowledge to make informed decisions. The Accessions GOSC directs the R&S Subcommittee to decide an appropriate course of research, analysis, or study to investigate an operational issue.

c. Council of Colonels. Resembles the GOSC in participation from subordinate commands and advisory agencies. Meets semiannually to identify operational issues within USAAC and then determines course of action to solve problems within their purview. Those operational issues that cannot be adequately addressed by the Council of Colonels are elevated to the Accessions GOSC.

d. R&S Subcommittee. Chaired by the Director of the Center for Accessions Research (CAR) whose executive agent is the Chief of Research Integration and Support Division. The R&S Subcommittee consists of representation from each of USAAC's subordinate commands and pertinent directorates, the Army, and DOD operational manpower agencies, along with an advisory panel made up of DOD and civilian agencies charged with conducting manpower and/or personnel research (see fig 1-1 for representation). The primary purpose of the R&S Subcommittee is to recommend courses of actions to address operational issues within its domain of responsibility requiring further investigation.

e. Accessions Research Consortium (ARC). The ARC consists of members from the R&S Subcommittee along with other relevant Government and private research agencies. The ARC meets semiannually following the call for papers from the Study Program Coordination Office (SPCO). The purpose of the consortium is to present results from studies completed and emerging results from ongoing studies. The consortium will serve as a venue to address issues elevated by the Council of Colonels and recommend future studies to address those shortcomings. These issues will be presented to the USAAC SPCC for consideration and

prioritization into the Master Studies List. The consortium will select studies to be presented to general officer decision makers as part of the General Officer Review Panel.

f. General Officer Review Panel. Provides oversight to the USAAC Studies Program at the top level pursuant to the signing of USAAC's Studies Program Consortium Charter. It meets at least semiannually following the ARC to be briefed on completed studies and to synthesize results across the Accessions spectrum. It shall:

(1) Be cochaired by the Commanding General (CG) USAAC, Deputy Assistant Secretary of the Army (Manpower & Reserve Affairs), and the Army G-1.

(2) Consist of general officers or senior executive service level representatives from the office of the:

(a) CG, United States Army Cadet Command (USACC).

(b) CG, United States Army Recruiting Command (USAREC).

(c) CG, United States Army Training Center -Fort Jackson (USATC-FJ).

(d) Director, CAR.

1. When appropriate, extend invitations to equivalent representatives from other major Army commands (MACOMs) and subordinate commands.

2. Invited members of the R&S Advisory Panel along with directors responsible for planning and analysis in the Office of the Chief of Chaplains, the Office of The Surgeon General, and the Office of The Judge Advocate General to serve as members, when the committee addresses matters in their respective areas of interest or responsibility.

(3) Obtain, through the USAAC SPCC, study and resource information required for the panel's review and subsequent action.

(4) Review, coordinate, and assess the objectives, priorities, focus, balance, and resources for organizations and activities within the USAAC Studies Program.

(5) Review and coordinate requests to fund high priority and unprogrammed studies. Recommend adjustments in the USAAC Studies Program.

g. USAAC major subordinate commanders, along with principal directorate chiefs, will serve on the SPCC for the purpose of prioritizing proposals for consideration on the Master Studies List. SPCC members will:

(1) Meet with other SPCC members to prioritize the Master Studies List.

(2) Serve as proponents for all matters pertaining to the USAAC Studies Program within their areas of responsibility.

(3) Implement and monitor study activities for field operating agencies, staff-support agencies, and any other activities under their purview.

(4) Appoint a study manager for each study approved by the SPCC within their domain of responsibilities.

(5) Establish an organizational environment that promotes high quality and professional performance of studies.

h. The Director, CAR, will serve as the study program coordinator. The study program coordinator will:

(1) Establish the SPCC as described in AR 5-5.

(2) Provide advice to USAAC Commander on all matters related to the USAAC Studies Program and USAAC input to outside DOD agencies research and development (R&D) and study programs.

(3) Supervise and provide direction to the study program director.

(4) Promote liaison with the Office of the Secretary of Defense (OSD); Army G-1; Deputy Under Secretary of the Army-Operations Research; Office of the Chief of Staff, Army; Deputy Assistant Secretary of the Army (Manpower and Reserve Affairs); other military departments; and civilian study organizations for matters involving Army study programs, activities, and federally-funded research and development centers (FFRDCs).

(5) Provide oversight for each inprogress review (IPR) convened on studies and analyses efforts sponsored by USAAC.

(6) Ensure integration of the USAAC Studies Program and provide a focus for plans, evaluations, and reports (past, present, and future).

(7) Foster close coordination between the Army G-1 staff, United States Army Training and Doctrine Command (TRADOC) and staff, the Arroyo Center program, and the Army Research Institute (ARI) Science and Technology Objectives Programs in the future operating capability areas of training and leader development along with human engineering (manpower and personnel studies). Maintain awareness of planned Army Study Program topics for the upcoming fiscal year (FY) to avoid duplication and to ensure Army priority problems are appropriately addressed.

(8) In conjunction with the USAAC staff, provide guidance and direction for conducting senior level conferences focusing on current or special interest topics to the USAAC analytical community.

i. The Chief of Research Integration and Support Division, CAR, will serve as the study program director. The study program director will:

(1) Execute the Command Studies Program.

(2) Ensure all study objectives are met.

(3) Represent the USAAC Commander in establishing study requirements, providing technical direction to the organizations and agencies performing the study, and providing guidance to study managers, the Study Advisory Group (SAG), and study agencies.

j. Study managers will manage the study effort for USAAC and will serve as the contracting officer's technical representative (COTR) in most circumstances. See duties and descriptions of study managers with COTR responsibilities in figure 6-1.

k. The SAG will advise and assist the USAAC Commander on the conduct of studies. The SAG will primarily consist of the study manager and subject matter experts from USAAC's subordinate commands, the Army, and other DOD agencies. Additionally, required subject matter experts from the USAREC Contracting Support Office; USAREC Resource Management and Logistics Directorate; TRADOC Surgeon; and Research Integration and Support

Division, CAR; will be assembled as required to aid in the administration and surveillance of a study. The SAG's primary responsibility is to serve as the USAAC support team, organized to provide guidance and assistance to the study manager and the organization performing studies for USAAC. An SAG may not be required depending on the scope and technical requirements of a study.

l. Study agencies are organizations conducting studies in support of USAAC's Strategic Plan. They can be a USAAC directorate or subordinate command, a contractor or consultant, a university, an ad hoc group, or a DOD affiliated research organization (i.e., FFRDC such as Rand Corporation, Pacific Northwest National Research Lab, and the Institute of Defense Analysis, along with ARI and the Naval Postgraduate (NPG) School.

m. The CAR librarians will serve as USAAC research librarians. The USAAC research librarians will:

- (1) Establish and maintain a repository of all

relevant research, studies, and analyses efforts conducted within USAAC, the Army, DOD, and outside agencies.

(2) Assist all researchers in their literature reviews.

(3) Document and track all research, studies, and analyses sponsored or directed by the USAAC Commander.

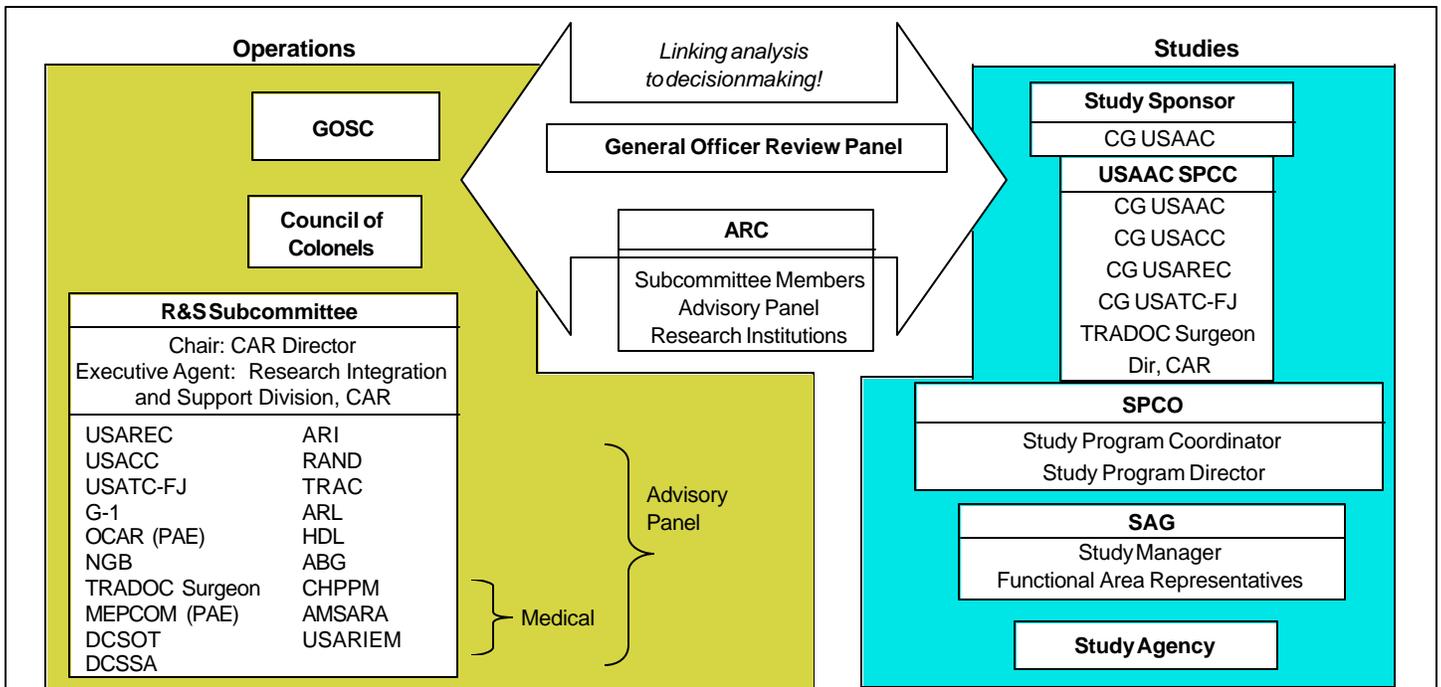
(4) Document all lessons learned as well as a final study evaluation by the study manager for each study conducted under the authority of USAAC.

1-5. Overview

a. The purpose of the USAAC Studies Program is to provide decision makers with relevant, credible, and timely information as input to a decision. The USAAC Studies Program provides an important mechanism through which problems pertaining to critical issues and other important matters are identified and explored to meet USAAC's and the Army's needs. This regulation encompasses program management of stud-

ies that provide organized analytic assessments and evaluations in support of policy development, decisionmaking, management, and administration. This regulation supports the application of the tools of operations research, systems analysis, or other scientifically acceptable fact-finding tools to solve USAAC's problems and the Army's problems. Hereafter in this regulation "studies, analyses, and evaluations" will be referred to as "studies." Studies produce formal structured documents containing or leading to conclusions, findings, or recommendations. Studies within the scope of this regulation should include, but not be limited by the examples that are listed in appendix B. Also, studies may include statistical analyses of existing data, models, exploration into methodologies, and development of software supporting analyses, training, or evaluations.

b. The relationship between research, studies, and analysis is described in figure 1-2.



1. Figure 1-1 describes the relationship between the USAAC operational organization and the USAAC Studies Program. When the Council of Colonels cannot resolve an operational issue, it is elevated to the GOSC. If the GOSC or Council of Colonels deems a future study is required to make a decision, they will direct the R&S Subcommittee to address the operational issue(s). The R&S Subcommittee directs a study proposal to be drawn up for consideration with proposals that originate at the subordinate commands as a result of the semiannual call for proposals. The USAAC SPCC considers all proposals that meet screening criteria and then derives the prioritized Master Studies List to be executed during the upcoming FY under the provisions of the Master Studies Plan.

2. The SPCO is responsible for the administrative and technical operation of the Studies Program. The CAR manages the SPCO. The Master Studies Plan includes the SPCC approved prioritized listing of studies that meet the strategic plan determined to be designated for consideration as part of another study program (Army Science Board, ARI, Rand, TRADOC) or as part of the USAAC Studies Program. Studies executed as part of the USAAC Studies Program are assigned a study manager from a USAAC subordinate command or a USAAC staff directorate who has a vested interest in the findings of the study. The study manager works with the designated SAG and the USAAC staff to find appropriate USAAC or TRADOC analysts-scientists to conduct the study, Military Interdepartmental Purchase Request funds to a DOD research agency to conduct the study, or write the statement of work (SOW) for a civilian agency to conduct the study. Once the study is concluded it is reported to the decision maker from the principal subordinate organization requiring the study, the General Officer Review Panel, to the subordinate commands and research community through the ARC. For a study to have enduring value to the command, it is paramount that the results of the study be briefed to decision makers in a timely fashion.

Figure 1-1. USAAC Studies Program architecture

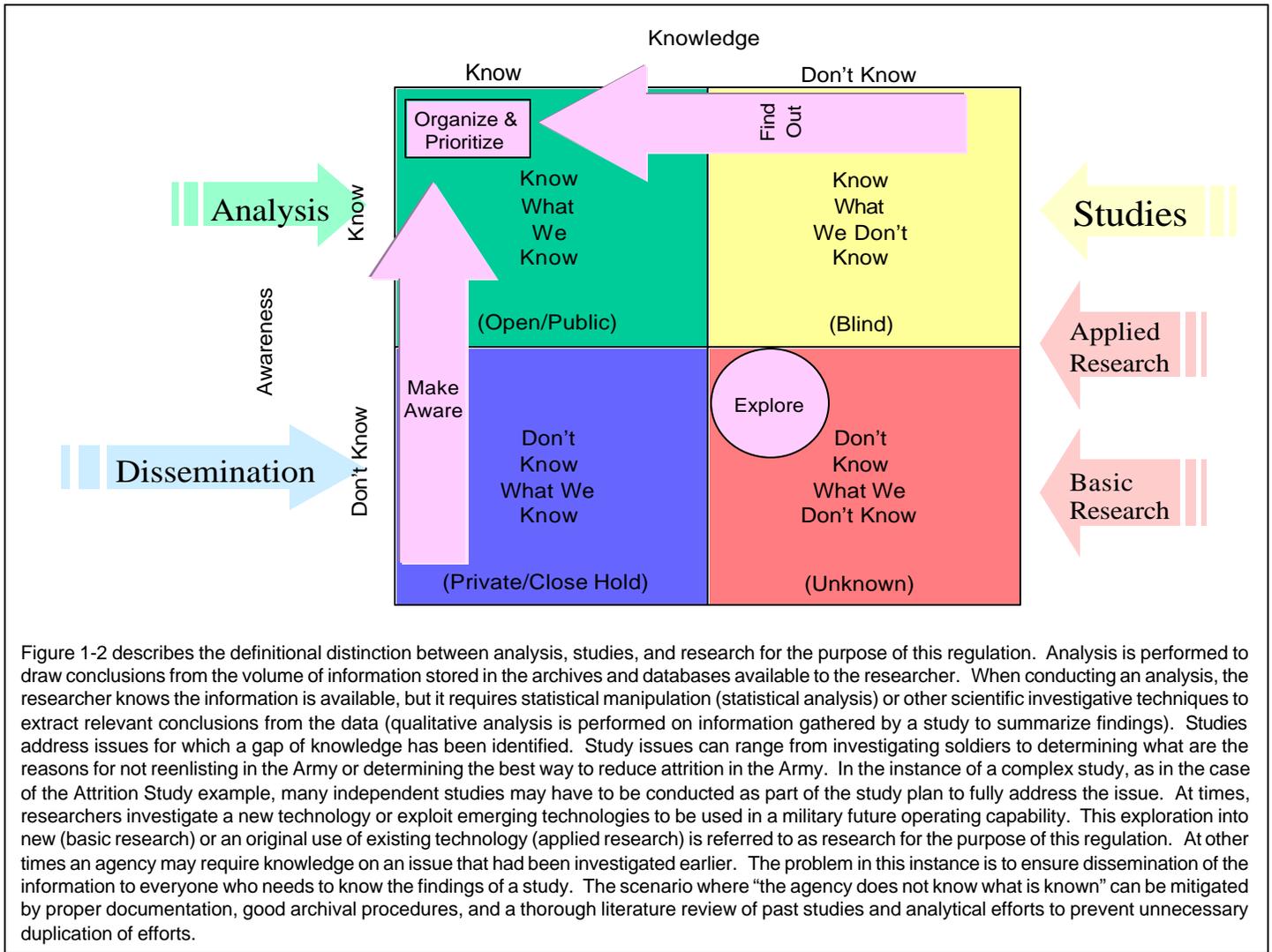


Figure 1-2 describes the definitional distinction between analysis, studies, and research for the purpose of this regulation. Analysis is performed to draw conclusions from the volume of information stored in the archives and databases available to the researcher. When conducting an analysis, the researcher knows the information is available, but it requires statistical manipulation (statistical analysis) or other scientific investigative techniques to extract relevant conclusions from the data (qualitative analysis is performed on information gathered by a study to summarize findings). Studies address issues for which a gap of knowledge has been identified. Study issues can range from investigating soldiers to determining what are the reasons for not reenlisting in the Army or determining the best way to reduce attrition in the Army. In the instance of a complex study, as in the case of the Attrition Study example, many independent studies may have to be conducted as part of the study plan to fully address the issue. At times, researchers investigate a new technology or exploit emerging technologies to be used in a military future operating capability. This exploration into new (basic research) or an original use of existing technology (applied research) is referred to as research for the purpose of this regulation. At other times an agency may require knowledge on an issue that had been investigated earlier. The problem in this instance is to ensure dissemination of the information to everyone who needs to know the findings of a study. The scenario where “the agency does not know what is known” can be mitigated by proper documentation, good archival procedures, and a thorough literature review of past studies and analytical efforts to prevent unnecessary duplication of efforts.

Figure 1-2. Relationship between research, studies, and analysis

**Chapter 2
Concept of Studies Program Management**

2-1. General

a. The day-to-day management of a study effort is the responsibility of the study manager along with the SAG formed for the study. The success and utility of studies depends on how well persons responsible for the studies perform their management, surveillance, and administrative tasks. The more management attention given during all phases of a study effort, the higher the probability of success for a study. On the other hand, those studies that receive minimal management attention are often those that provide unsatisfactory results.

b. This chapter provides factors and practices that influence the success of USAAC studies. These lessons have been derived from principles of good management practices in the conduct of studies. Management personnel should consider these factors, together with others, which might influence the quality and success of studies they are planning and managing.

2-2. Study objectives

Studies are organized analytic assessments used to understand or evaluate complex issues. They are also used to improve policy development, decisionmaking, management, and administration. Efforts may involve the study of policy, strategy, tactics, concepts, operations, organizations, resource allocation, training forces, support of recruiters, initial entry training cadre, USAAC schools, USACC personnel, and USAAC programs. Figure 2-1 depicts the program system structure. The acquisition, test, and evaluation of processes used within the command may additionally be study topics.

2-3. Program objectives

The objectives of the USAAC Studies Program are to provide:

- a. A mechanism to identify long- and short-term studies requirements for senior management and to develop plans for addressing those issues.
- b. Proper allocation of resources among study requirements competing for those resources in accordance with the USAAC Master Studies Plan that ensures:

- (1) A balance among resources, people, and

systems in accordance with the vision, objectives, and goals of USAAC.

- (2) Attention to critical USAAC issues.

(3) Appropriate and equitable sharing of resources between near-term and mid-term study issues.

c. A review and analysis of the performance of the USAAC Studies Program considering balance, impact, and quality.

d. Sufficient program documentation and supporting budget data to meet information requirements of USAAC decision makers, TRADOC headquarters, Department of the Army (DA) staff, OSD, Office of Management and Budget, and Congress.

e. Minimum administrative procedures and controls for good business practices consistent with the above objectives and Army regulations.

2-4. Policies

The USAAC Studies Program policies are as follows:

a. Studies will be managed under a system of integrated control characterized by centralized guidance, review, monitoring, and reporting. The USAAC Studies Program de-

velopment is centralized.

b. Individual study efforts will be managed to ensure efficient and effective results or outcomes, cost control, implementation of results, and reporting in USAAC, Army, and DOD study information systems.

c. Studies will be conducted to provide useful and important input in the development of plans, programs, and budgets. Studies will be conducted only when there is a reasonable expectation of a significant contribution to decisionmaking policy, development, or cost savings.

d. The total dollar requirement for studies to be performed by contract will be reflected in the proposal and subsequent contract or Military Interdepartmental Purchase Request for the project.

e. Contract studies will be conducted according to the provisions of the FAR, DFARS, AFARS, and AR 5-14.

f. Studies should not unnecessarily duplicate other analytical work but may, in some cases, build on other work done in the same subject area. A literature search before beginning a study is required to provide assurance that the study will not be a duplication of a previous effort as well as providing the researcher with valuable background information. See table 2-1 for literature search sources.

g. Studies should be performed with state-of-the-art technologies. Analysts should remain current in training. Modern analytical tools and methodologies should be available for their use.

h. Study information and data will be collected, evaluated, and provided to Government agencies and to the public, when appropriate.

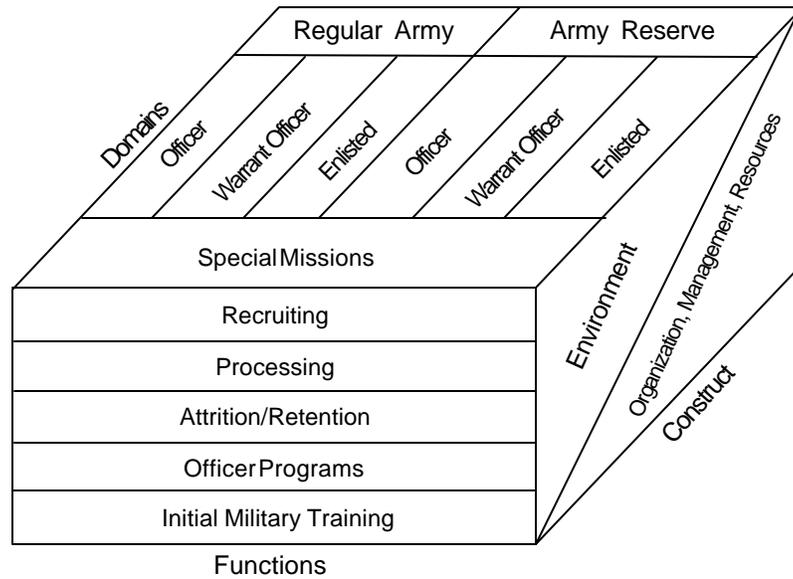
2-5. Resources

Studies performed under this regulation may use resources budgeted from Army and DOD appropriation sources as explained in chapter 3.

2-6. Performing organizations

Studies are performed by, or with assistance from:

- a. Specially formed ad hoc task forces.
- b. Organizational staff personnel.
- c. In-house Army R&D or study and analysis organizations. For example ARI is primarily an R&D agency that happens to also do studies.
- d. Appointed or contracted consultants or experts.
- e. Commercial research organizations.
- f. Nonprofit organizations.
- g. FFRDCs.



All studies have three dimensions:

Who is being studied? The domain dimension describes the segment of Army personnel under investigation. Behavioral scientists and medical researchers most often study this dimension.

What institutional or societal behavioral factors affect the segment or process under investigation? Those factors usually consist of either environmental (external to the Army) or organization, management, and resources (internal to Army span of influence). In some cases, it could be from both areas.

- Environmental factors may be social, economic, educational, or political. There may also be legal, regulatory, or policy restrictions imposed by our society.
- Organization, management, and resource constraints include such areas as structure, organization, infrastructure, budget, personnel, training, information technology, and equipment.
- Economists and business administration researchers, as well as marketing and management researchers and behavioral and social scientists most often study this dimension.

What function or process is under investigation? Understanding what process is under investigation and recognizing the relationships to the external and/or internal factors, along with the segment of Army personnel being studied is critical to framing a study. Additionally, processes or functions may influence each other:

- If it is a recruiting process under study, does the solution affect the Military Entrance Processing Station process?
- Processing recruits spans a variety of topics (i.e., selection, classification, contracting, first unit assignment, etc.).
- Attrition and retention issues, such as Delayed Entry Program, Reserve Officers' Training Corps, and training are affected by the recruiting process, the initial military training received, as well as other factors.
- Warrant and commissioning involves sources, programs of instruction, branch requirements, etc.
- Industrial engineers, organizational scientists, and psychologists most often study this domain.

Figure 2-1. Studies program system and structure

Table 2-1
Literature search sources

Section I. Principal literature sources	Section II. Additional sources
<p>HQ USAAC CAR Library ATTN: ATAL-AR 1307 3rd Avenue, Room 2041 Fort Knox, KY 40121-2726 Commercial (502) 626-0354 DSN 536-0354</p> <p>DTIC 8725 John J. Kingman Road, Suite 0944 Fort Belvoir, VA 22060-6218 Commercial (703) 767-8274 DSN 761-8274</p> <p>Defense Logistics Studies Information Exchange Fort Lee, VA 23801-6043 Commercial (804) 765-4007 DSN 539-4007</p> <p>Army Information on Models, Simulations, and Studies System ATTN: SFUS-MIS Crystal Square 2, Suite 808 1725 Jefferson Davis Highway Arlington, VA 22202 Commercial (703) 607-3383 DSN 327-3383</p>	<p>The Pentagon Library Room 1A518, Pentagon Washington, DC 20310 Commercial (703) 697-4301 DSN 227-4301</p> <p>Independent Research and Development Library Redstone Arsenal, AL 35809 Commercial (205) 876-4684 DSN 746-4684</p> <p>US Army Audit Agency 3101 Park Center Drive Alexandria, VA 22302-1596 Commercial (703) 681-9812 DSN 761-9812</p> <p>General Accounting Office ATTN: Reports and Publications 441 G Street NW, Room 4522 Washington, DC 20548 Commercial (202) 512-6000</p> <p>National Technical Information Service 5285 Port Royal Road Springfield, VA 22161 Commercial (703) 487-4780</p> <p>Combined Arms Research Library 250 Gibbons Avenue, Eisenhower Hall Fort Leavenworth, KS 66027-2314 Commercial (913) 758-3033 DSN 720-3033</p> <p>Libraries of DOD and joint staff service schools.</p>

Chapter 3
Studies Program Planning, Programming, and Budgeting

3-1. Study processes

This chapter prescribes planning, programming, and budgeting guidance for the USAAC Studies Program. The USAAC Studies Program is developed and executed in a series of processes designed to ensure that USAAC's and the Army's needs are met and resources are used effectively. The time line for these activities is depicted at figure 3-1.

3-2. Planning

a. Planning for the program begins when the SPCO publishes USAAC's Studies Program guidance. This guidance establishes a base for commanders, directorates, agency heads, and study sponsors to allocate analysis resources and prepare a coordinated, responsive, and executable program. USAAC's studies program guidance is based on OSD, Army, TRADOC, and solicited researchers recommendations or specified guidance, goals, and objectives of the command. Additionally, problems identified in commanders' conferences and mission area analyses, along with results of previous studies

are included. It describes in detail USAAC's Studies Program critical study issues for the upcoming FY.

b. As a starting point, the SPCO provides an electronic list of completed and ongoing projects from previous years with an assessment of the status of the study.

c. USAAC SPCC members use USAAC's studies program guidance together with specific guidance detailed in the commander's vision statement, objectives, and goals to begin planning their portion of the upcoming USAAC Studies Program. These are also used to establish selection criteria to prioritize individual study proposals.

d. Each subordinate command and directorate requiring studies to be conducted annually will appoint a study program manager to oversee all studies conducted for their command or directorate.

e. Study managers from subordinate commands and USAAC directorates that require a study will conduct a literature review of other DOD agencies' efforts to determine the extent the proposed study issue has already been investigated, underway, or planned and what substantive gaps remain to be addressed by the study.

3-3. Programming

a. Each SPCC member from subordinate commands and directorates will develop his or her organization's prioritized portion of the draft USAAC Studies Program. This information will be forwarded electronically to the SPCO in the format detailed in figure 5-1 in accordance with the time line outlined in figure 3-1.

b. Personnel in the SPCO will review all study submissions to DOD study programs as well as USAAC's Studies Program to:

- (1) Verify proper integration of the program.
- (2) Confirm responsiveness to program guidance.
- (3) Ensure the validity of proposed studies.
- (4) Prevent unnecessary duplication.
- (5) Evaluate the planned performance methods.
- (6) Establish a coordinated and executable program.
- (7) Ensure the right analytic agency conducts the study.

c. Where appropriate, the SPCO will forward proposals to DOD and Army analysis R&D agencies to determine whether in-house capabilities exists to perform the proposed studies. These agencies may include, but are not limited to Rand, TRADOC Analysis Center, ARI for the Behav-

ioral and Social Sciences, Institute of Defense Analysis, Pacific Northwest Research Lab, NPG School, Air Force Institute of Technology, and the United States Military Academy.

d. Study managers from subordinate commands and directorates may be required to modify their portion of the draft USAAC Studies Program Master List based on guidance from the SPCO prior to the semiannual SPCC meeting.

e. After review and approval by the SPCC, studies will be resourced as funds and personnel become available. The SPCO will coordinate a quarterly review of the current year Master Studies Plan. If necessary, the study program coordinator will recommend to the study sponsor adjustments to accommodate changes in funding levels or initiation of out-of-cycle requests. The program will be executed according to the revised plan until the financial closeout in September.

f. USAAC's Studies Program Master Plan is published by the SPCO and is distributed USAAC-wide. The plan lists all programmed studies covered in this regulation which are to be conducted under the control of USAAC for the ensuing year as well as those studies approved by the SPCC to be forwarded to other outside research agencies' study programs. Studies contained in USAAC's Studies Master Plan must have the approval of the study sponsor.

g. For studies initiated after approval of USAAC's Studies Master Plan, subordinate commands and directorates wishing to initiate an out-of-cycle funding request will submit their request through their study program manager to the SPCO for coordination and review. Each request will be reviewed on a case-by-case basis. When appropriate, the Director of the SPCO will forward the request for a change to the approved USAAC Studies Program to the study sponsor.

3-4. Budgeting

a. Headquarters, Department of the Army (HQDA) and MACOMs develop budgets for study activities and report them as part of their Program Objective Memorandum (POM) and budget estimate submission (BES). Instructions are provided through regular budget channels.

b. The budget requests for contract studies funds are reviewed by the SPCO for conformity with budget guidance.

c. Those contract studies that support R&D activities (such as research, technology exploration, and development efforts) should be budgeted with research, development, test, and evaluation (RDT&E) funds through the science and technology (S&T) community. It is critical that the S&T community has visibility of USAAC's S&T requirements in order to facilitate funding. As the USAAC proponent for Force Operating Capability (FOC) Domain 13, Human Engineering, the Research Integration and Support Division of CAR will take the lead to organize and prioritize all S&T requirements for USAAC. By participating in the FOC laydown and subsequent science and technology objectives development, the Research Integration and Support Division will provide the TRADOC Deputy Chief of Staff for Development a concise prioritized list of all human engineering research requirements for the Army. In those cases where a clear determination based on the above is not possible, then the guideline will

be to attempt to fund such studies and analyses with RDT&E funds if the organization conducting the research is a part of the R&D community. The study must directly relate to a specific issue for which procurement funds use is designated. All other contract studies will be budgeted in the Operation and Maintenance, Army appropriations.

d. USAAC will work to secure appropriated internal and external funds to meet the anticipated study needs of the command. USAAC's policy is to compete for existing TRADOC, ARI, Army Science Program (ASP), Rand, Air Force Institute of Technology, NPG School, United States Military Academy, or Army Brand Group appropriated funds and analytic assets to meet the study requirements of the command when applicable. The use of USAAC analysts will be a consideration for those analytic projects with a short suspense that will preclude the use of outside analytic agencies or when funds are not available to conduct a required study. Subordinate commands and directorates are discouraged from conducting "in-house" studies, outside the scope of USAAC's Studies Program as this practice may result in redundant or unnecessary use of resources.

e. Fund requirements for automatic data processing (ADP) services, except those that directly support and are a minor component of studies, are included in the subordinate command's or directorate's ADP budget submissions and are not included in USAAC's Studies Program.

f. Fund requirements for temporary duty in support of studies should be included in the proposal by the research organization and the subsequent SOW prepared by the study manager and/or COTR. Travel budget submissions are not to be processed through USAAC's Studies Program.

3-5. Success factors

This section describes some important factors and practices that influence the success of USAAC studies. The following is not an exhaustive list but provides valuable guidance in planning and managing Army study efforts.

a. Problem definition. Clear definition of the problem is the very foundation of a successful study. Although in rare cases, the problem may need to be defined during the study itself, waiting to define the problem during the performance of the study may result in defining a problem that the designated study group can readily solve, rather than the problem the decision maker needs

help with. In some cases, a short ad hoc staff study may be necessary to define the problem adequately for formal study. The study problem should be clearly defined in the study initiation directive for in-house studies or the SOW for contract studies.

b. Measures of effectiveness (MOEs). MOEs should directly relate to essential elements of analysis. An MOE is described as a quantitative description of the level of success achieved. Selection of the MOE is perhaps the most crucial part of any analysis. Poor problem definition will almost certainly lead to inadequate MOEs. This will result in misleading or incorrect conclusions. Even good problem definition does not guarantee good MOEs. Too often the measures used are those most easily gener-

ated by a model but not necessarily those most directly related to the real world variables being assessed.

c. Study management.

(1) The study manager, along with the SAG, should be formally designated in study initiation documents. The study manager should be at least at the officer O-3 or civilian General Schedule 11 level. The study manager, the key management individual, should be prepared to expend considerable time in providing overall guidance to the study.

(2) The SAG should have active, knowledgeable, and responsible representatives who can speak with authority for the office that they represent and assist in review of the study initiation document. The SAG ensures the project remains focused on the study objectives, scope, expected results, and the projected plan for implementation.

(3) There is no substitute for experienced, knowledgeable study team leaders and study analysts and scientists. A multidisciplinary team should be selected to meet the skill and experience requirements of the study.

(4) Because problem solving is a learning process and one that frequently extends over a period of years, continuity of study personnel is essential.

d. Timeliness. The time provided to conduct a study should match the problem being addressed. In some urgent cases, incomplete results received on time are better than complete results received a week late. However, solid quality is usually more important than an exact schedule. Given the uncertainties of problem solving, planning should allow for schedule flexibility, rather than prescribing the time and accepting whatever results are available at that time. An exception is a level of effort or "term" study contract where the contractor agrees to dedicate specific personnel resources to study a problem for a set period of time.

e. Objectivity. Even the appearance of advocacy is to be avoided. Lack of objectivity tends to lower the credibility of all studies and deprives USAAC of useful information that an objective study might produce. Decision makers may use other bases than a study to arrive at a decision or a recommendation to higher authority, but they should be supported by unbiased studies.

f. Uncertainty analyses. A study can easily produce erroneous results through failure to consider the uncertainty of inputs. A study should define the range of conditions within which results remain valid. This is determined through systematic variation of inputs and assumptions.

g. Long-range planning. Many USAAC problems are of such complexity or novelty that successful resolution requires a series of studies over several years. These may start with data collection and model developments as major efforts in their own right and continue with separate but related studies about different parts of the overall problem. To be avoided is a process of random, inadequately prepared attempts with no plan to get to an eventual resolution. The result is the need to start over again the next year. The essential difference between a successful and an unsuccessful long-range plan is determination to reach a resolution of the problem rather than a determination just to study the problem. When an individual contract study ef-

fort is defined, historical and ongoing contract or in-house efforts related to the problem should be identified and analyzed to avoid duplication. This data should be synopsised in the background narrative of the SOW.

h. Interaction with decision makers. If the problem is significant enough to be addressed by a formal USAAC study, it is significant enough to command the attention of the responsible decision maker. This is important for a full understanding of the problem and for credibility and acceptance of results by the person or persons who will use them. In general, study results cannot be reduced to a few numbers or to a "yes" or "no." Rather, the results form a better understanding of complex operations or relations, and these are best communicated through progressive direct interactions with the decision maker.

i. The whole context. Defines how the study is related to other problems and situations. Re-

sults of a study frequently affect more than the immediate problem being addressed. Audiences other than the study sponsor may have vital interests in the outcome of the study.

j. IPRs. The frequent use of IPRs may result in a common complaint that too much time is required to prepare and present formal IPRs and interim study reports, detracting from the forward momentum of the study effort. All IPRs should be planned at appropriate phase points when it is necessary to report on progress or obtain management guidance. The IPRs should be scheduled at the beginning of the study effort to permit coordinated advanced planning for each IPR.

k. Presentation of results. Study reports are often too lengthy. Clear, concise presentation of results should be the pride of every analyst. If the study report is too long, it may not be read. Too often, report writing is considered a

bureaucratic task that is done after the real study is over. Writing the report is an integral part of the study and is a real test of the study team's understanding of what has been learned. The report serves as permanent physical evidence of what the study achieved and must be documented in the Defense Technical Information Center (DTIC).

l. Liaison and exchange of information. A continuing exchange of information is required between the study-performing team and the directorates and subordinate commands, as well as other MACOMs affected by the study. This will ensure that up-to-date information is used. It will ensure that the study will be relevant to interests of the agencies and MACOMs and will help facilitate adoption of final study recommendations.

m. Analysis of alternatives. Alternatives are frequently identified and analyzed. It is tempt-

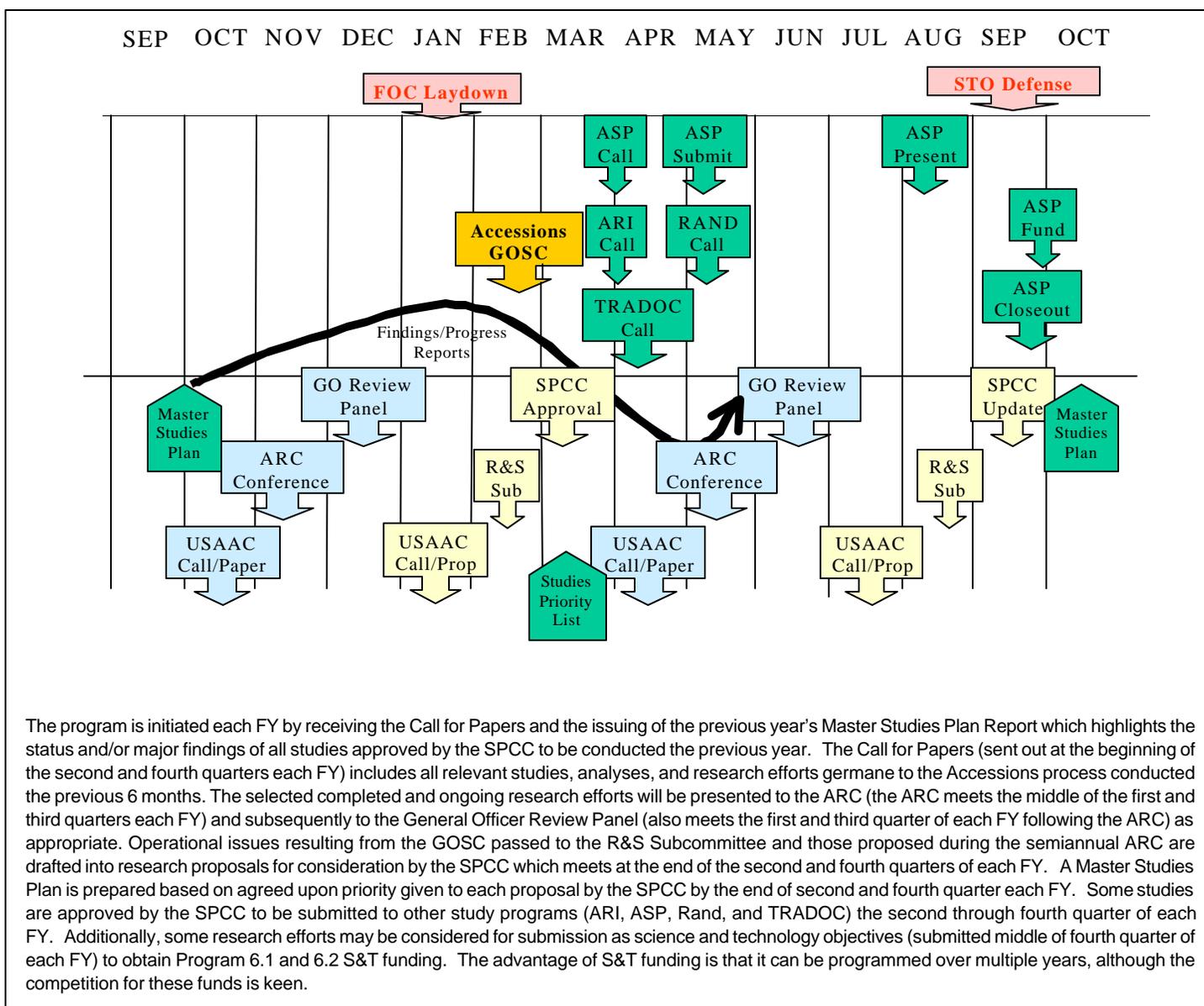


Figure 3-1. FY time line for USAAC's Studies Program events

ing to select a favorite alternative, present a comprehensive analysis of it, and provide less than a complete analysis of the other alternatives. Analysis of alternatives is meaningful only when each is given balanced treatment. It is also beneficial to develop criteria for the judgment of the alternatives, thereby permitting managers or other analysts to apply the same criteria to the various alternatives.

n. The final study report. Preparation and coordination of final study reports require more time and effort than usually envisioned. This frequently results in a heavy workload near the end of the study. Care should be taken in developing the study calendar to allow sufficient time for careful deliberate preparation and coordination of copies of a final report. The required number of copies of the final report is often underestimated. Once the report is printed, individuals and organizations not previously identified will need copies. Therefore, it is essential that a copy be provided to DTIC to satisfy continuing requests.

o. External reviews. The best test of study quality, short of implementing the study recommendations and observing effects, is a review by qualified analysts and scientists outside the study agency and outside the proponent community. Study agencies should obtain external reviews of random samples of their studies.

p. Publication reviews and sponsor feedback. Thorough and objective internal republication reviews of draft study products should be conducted by study agency peer analysts as well as by management personnel. Also, study sponsor feedback of information on strengths, weaknesses, and uses of the study results should be obtained.

q. Identification of completed studies. The integrity and identity of completed reports of studies should be preserved. The organizational label should be printed clearly as part of the report cover; the principal authors and significant contributors should also be displayed conspicuously on the cover of the report.

r. Implementation planning. Implementation planning should proceed concurrently with conduct of the study. Emerging study results approved by the sponsor may be implemented while the study is in progress. A final product of the study team, in addition to the usual study documents, should be an implementation plan with defined time-phased actions and assigned responsibilities. Responsibility for overseeing the implementation actions should be assigned to an official at a level of the organization that can effectively coordinate the implementation ac-

tions.

s. Evaluation. Sometimes it is only after a study has been completed that the problem is understood well enough to design a good study to solve it. This "Monday morning quarterbacking" is valuable for deciding whether or how, to implement study results and for initiation of a follow-on study in the same area. Evaluation of a completed study should review the basic ingredients as follows:

(1) Was the problem clearly defined?

(2) Was it too narrow in scope to cover the important determinants or was it so broad that little depth of analysis was possible?

(3) Were the objectives and essential elements of analysis appropriate to the problem? Were all of them completed? If not, why not?

(4) Were the models or methods used adequate for the purpose? What else would have helped?

(5) Was the available data adequate to get good results? Would it have been better to spend more time collecting data before doing the analysis? Exactly what better data should have been collected?

(6) Within what range of variation of major inputs and assumptions are the results valid?

(7) Are the results good enough to take action on? If not, why not?

(8) Was the study group adequate for the job? What other skills would have been helpful?

(9) If the study could be redone with unlimited resources, how should it be done?

t. Cost savings. One purpose of studies is to find ways of accomplishing Army missions more efficiently. For example, improved organizations may require fewer people or improved equipment may reduce the number of items needed initially or as replacements. In some cases, cost saving is in the form of future costs avoided rather than actual costs reduced. In such cases, estimate the consequences if a study were not done. For example, a study may cost \$45,000 with configuration options that depend on study findings varying by \$1,000,000. Therefore, the potential savings are on the order of \$1,000,000. Sometimes cost savings can be described only qualitatively. This is particularly true of policy and strategy studies and methodology or data studies in which particular applications or consequences are not yet defined.

Chapter 4 Studies Program Evaluation

4-1. Requirements and procedures

To ensure the objectives of USAAC's Studies Program as stated in paragraph 2-2 are met, this chapter prescribes evaluation requirements and procedures for Headquarters, United States Army Accessions Command (HQ USAAC) and subordinate commands.

4-2. Evaluation process

a. The appointed study manager from each directorate and subordinate command that requires studies to be conducted must prepare and forward to the SPCO an annual evaluation (see fig 4-1) of their studies during the FY. At a minimum, this evaluation will describe the results and impact of the previous FY's studies and include, where possible, a quantification of benefits to the Army from implementing the study recommendations. This information will be used as the basis for the annual evaluation of USAAC's Studies Program.

b. The SPCO will request the evaluations from each directorate and subordinate command. This request will provide a detailed format for submission and identify any specific information required beyond that stated above.

4-3. Study program evaluation

An annual evaluation of the results and uses of the studies is prepared at USAAC's SPCO and reported for all projects completed during the FY. This evaluation uses directorates' and subordinate commands' evaluations to develop a descriptive evaluation of the impact of the preceding FY's Army Studies Program. This is conducted to provide guidance, identify areas for improvement, maintain continuity, and provide senior Army leaders with an assessment of the return on investment in study resources.

4-4. Additional forms of evaluation

In addition to the written evaluation prepared annually, the SPCO sponsors the following initiatives:

a. Independent evaluations of research or study through a process commonly known as a peer review, are conducted to examine the credibility, quality, and timeliness of the work performed. Information of a general nature from several peer reviews is consolidated and distributed to provide lessons learned in conducting USAAC studies.

b. The USAAC Study Highlights is prepared annually and is designed to give recognition to well-performed studies, acknowledge outstanding efforts of individual analysts, and encourage excellence in USAAC.

1. Purpose. State the purpose of the effort.
2. Chronology. Provide the milestone dates and summary of actions accomplished.
3. Basic information. Provide the following information:
 - a. Requiring activity.
 - b. Sponsor's study director and/or COTR name and organization.

Figure 4-1. Study evaluation format

- c. In-house or contract performer organization name and address, point of contract name, and telephone number.
 - d. Contracting officer name and organization (if necessary).
 - e. In-house or contract:
 - (1) Start date.
 - (2) Date completed or terminated.
 - (3) Final total professional staff year (PSY) and cost.
 - 4. Major problems encountered. List problems encountered.
 - 5. Major achievements. List major achievements.
 - 6. Results. List the results. Describe the benefits to the Army from having conducted the effort. In general, the value received from the expenditure of resources may be judged by the benefits derived from the effort. Therefore, special care must be taken to describe the present and anticipated benefits. When possible, cost savings or cost avoidance accruing to the Army should be addressed. If definitive cost data cannot be used, well thought out quantitative or qualitative measures should be used to describe the benefits. Such benefits should be expressed in simple language easily understood by nontechnical personnel.
 - 7. Evaluation.
 - a. In-house or contract performer:
 - (1) Performance.
 - (2) Product.
 - b. Overall management of effort by Army.
 - 8. Lessons learned. List lessons learned.
 - 9. Implementation of results. Provide the names of the agencies or commands implementing the results, the implementation dates, principal milestones, and the action accomplished or products to be provided or published.
 - 10. Information reports. Date final work unit information system worksheet for studies, analyses, and evaluations was submitted to the Defense Technical Information Center (DTIC).
 - 11. Final report. Date copy of final report with SF 298 (Report Documentation Page) for studies, analyses, and evaluations was submitted to DTIC, and DTIC accession number of the report.
- NOTE: This format may be used for the evaluation the sponsor's study director writes after study implementation. See chapter 5.

Figure 4-1. Study evaluation format (Continued)

**Chapter 5
Life Cycle Management of Individual Studies**

5-1. Individual efforts

- a. This chapter prescribes the requirements for managing the life cycle of individual efforts included in USAAC's Studies Program.
- b. Steps to conduct a study include the following:
 - (1) Initiation.
 - (2) Validation (gap analysis).
 - (3) Development and conduct.
 - (4) Evaluation and implementation.
 - (5) Documentation and reporting.

5-2. Initiation

The primary objective of the initiation phase is to decide if the study is needed. This must be

accomplished during the development process to avoid including studies that are not required and uses valuable resources unnecessarily. See figure 5-1 for format for USAAC's Studies Program proposal submission. During this phase the following must be accomplished:

- a. Establish a need for the study, relating planned results to solutions of USAAC's problems.
- b. Appoint a study manager for the study or COTR.
- c. Organize an SAG, if required, and convene the SAG early enough to assist in review of the study concept paper and other study documentation.
- d. Identify the objective of the study.
- e. Verify the requirement for the effort. This may involve coordination with other agencies or commands, and should involve conducting a pre-

liminary literature search.

- f. Define the problem and scope in clear, unambiguous terms.
- g. Determine a manageable number of valid objectives.
- h. Identify the use and users of the anticipated results.
- i. Determine when the study results are needed, end product desired, and potential uses of the product.
- j. Determine if the study should be accomplished in-house or by contract.
- k. Arrange an appropriate schedule of meetings with the sponsor to provide information on the study progress as required.
- l. Create a file of pertinent study reference papers and documentation as described in DA Pam 5-5, chapter 3.

5-3. Validation

a. This phase corroborates the need for a study before actual work begins. Validation will consist of a gap analysis (an assessment of the strategic vision and objectives of the command to determine the requirement for the study) and a thorough literature review. All known work related to the topic must be reviewed to eliminate any unnecessary duplication of work. The command's research librarian must be consulted during this phase to ensure all known source documents are reviewed before conducting the study. Studies may be conducted either under contract or as an in-house effort.

b. The following must be accomplished during this phase:

(1) For studies to be conducted by or for USAAC, the study sponsor must sign a management decision document (MDD).

(2) For contract studies:

(a) Approve the MDD and SOW (see AR 5-14 for examples of both documents).

(b) Forward MDD for studies over \$250,000 through the Study Program Management Office for approval by the Deputy Under Secretary of the Army (Operations Research). For those studies less than \$250,000, the MDD should be forwarded to the SPCO.

(c) Nominate a study manager and/or COTR.

5-4. Development and conduct

a. This phase begins when the study organization actually initiates the work and ends when the sponsor approves the final study report or terminates the study effort.

b. The following must be accomplished during this phase:

(1) Monitor study progress through formal progress reviews and informal discussions with the SPCO.

(2) Review and approve all SAG meeting minutes.

(3) Request termination of the study contract before the scheduled completion date when appropriate.

(4) Ensure procedures in AR 5-14, paragraph 4-4, are followed if the study is performed using a contract.

(5) Develop a viable study plan and monitor the study progress through frequent contact with the performing organization. Any modifications to the study plan must be necessary, related to the study effort, and should be developed jointly by the sponsor and study organization. Only the contracting officer may approve substantial changes to a contract. Sub-

stantial changes are those which would change the focus of the effort. A copy of the approved changes will be submitted to the SPCO to ensure that the program accurately reflects work being performed by, or for, USAAC.

(6) If necessary, convene an SAG to provide advice, assistance, and direction to the organization performing the study.

(7) Present a study plan to the SPCO for review and approval to ensure that the objectives of the study sponsor are addressed.

5-5. Documenting and reporting

The following activities are conducted before, during, and after completion of an individual study under the direct supervision of the SPCO.

a. Information reports. The study manager through the SPCO will ensure the final report and any presentation materials are archived in the CAR's Technical Library, as well as prepare the Scientific and Technical Information Network Research Summary Worksheet and provide it to DTIC when appropriate. The documentation is submitted under the following guidelines:

(1) Initiation. Submit an initiation report consisting of the signed MDD and a statement verifying the completion of the gap analysis and the literature review within 15 days following initiation of the study, and update annually until the study is completed or terminated.

(2) Interim. Submit an interim report after any major changes, such as, funding, principal personnel changes, or any substantial changes in text.

(3) Termination. Submit a termination report within 15 days following cancellation or suspension of a study, which continued more than 3 months.

(4) Completion. Submit a completion report within 30 days following completion of a study. The completion report will list the major findings and any actionable conclusions resulting from the study. Recommendations for future studies must also be detailed in the completion report.

(5) Evaluation. Submit within 30 days after implementation of study results or within 6 months after completion date, whichever occurs first. The Scientific and Technical Information Network Research Summary Worksheet may be submitted to DTIC.

b. Preparation and management of study documents. The SPCO prepares and manages study documents for both contract and in-house studies. For a contract study, the study manager should follow the guidance of AR 5-14,

paragraph 4-6b. For studies performed in-house, the SPCO ensures that the following requirements are addressed:

(1) The agency performing the study oversees the preparation, review, publication, and distribution of documents in accordance with AR 70-31. This function also involves maintaining proper security measures as found in AR 380-5.

(2) Personal data collected or assessed during the effort must be managed according to the Privacy Act of 1974 (5 USC 552a) as implemented in AR 340-21.

(3) Freedom of Information Act (FOIA) requests must be responded to according to the FOIA (5 USC 522). Only the initial denial authority (as prescribed by the FOIA) may deny information requested under the FOIA.

(4) The controlling authority (usually the SPCO) approves release of documents produced by an in-house study.

(5) Disseminating information and materials produced by studies to all interested parties is consistent with security classification and proprietary information under the FOIA and with the Privacy Act. However, if an FOIA request is made for release of emerging results, but release would significantly impair Army performance of missions or cause confusion or misunderstanding about Army goals or policies, the information should be withheld under the FOIA and AR 25-55 by the appropriate initial denial authority, until the effort has been completed and release has been allowed by the controlling authority.

(6) A cover page is prepared for each document, identifying as a minimum, the sponsoring organization (including office identification and location), the responsible person within the organization, and a disclaimer statement, such as, "The views, opinions, and findings in this document are those of the author(s) and should not be construed as official Department of the Army position, policy, or decision, unless so designated by other official documentation."

c. Final reports.

(1) The study manager will submit two copies of each final report (one copy electrons and one hard copy), together with completed SF 298 (Report Documentation Page), to the SPCO, ATTN: CAR Technical Library, 1307 3rd Avenue, Fort Knox KY 40121-2726.

(2) One copy of each final report will also be sent to the Pentagon Library, ATTN: JDHQ-L (Army Studies), Room 1A518, Washington, DC 20310.

PROPOSAL FOR FYXX RESEARCH PROJECT USAAC Study and Analysis Program

1. Title: (Title should be short but descriptive. Spell out acronyms.)
2. Sponsor: (Subordinate command or staff element submitting proposal.)

Figure 5-1. Study program proposal format

3. Action Officer: Name and Title
Directorate
Office Symbol
Telephone (Commercial and DSN)
Fax (Commercial and DSN)
E-mail
4. Problem Statement: (Give a brief description of the proposed study. Single paragraph of three to five lines.)
5. Methodology and Scope: (Provide general methodology options for conducting the research with parameters and/or limits describing the extent of research that must be accomplished. Two to three paragraphs of three to five lines each.)
6. Research Review: (A literature review to see if the issue had been studied in the past by the Army or other DOD agencies. If research had not been done in this area state so, if similar research had been done, how will this proposal build on past research efforts? List of completed studies, author, year, and applicability to this effort.)
7. Purpose and Expected Results: (Indicate how the results will benefit the Army and how the results will be implemented, specifically, what decision will this affect. One to three bullet comments.)
8. Expected Milestones and Time Line: (Provide an estimate of time lines and interim products to be provided such as IPRs or interim reports or emerging results of survey information. List of proposed dates starting with "N" as approval date.)
9. Estimated Cost and Alternatives: (Costs associated with the research options aligned with methodology options and a discussion of alternative means to gather the required information.)
10. Suggested Researcher(s): (If you have a suggested researcher or believe sole-source justification is necessary, please include name of organization or individual and contact information. List one to three researchers.)

Figure 5-1. Study program proposal format (Continued)

Chapter 6 Contracting

6-1. Study contracts

a. AR 5-14 provides guidance for conducting studies using contractor support. AR 5-14, chapter 4, covers the details in managing contracted advisory and assistance services efforts over the life of a contracted study. Figure 6-1 details the duties of the COTR for a contract.

b. A study contract may be used when the following conditions are met:

(1) Study by an independent group is in the Government's best interest.

(2) Suitable in-house capability is unavailable or cannot be readily obtained in time to meet the needs of the Army organization, or it is not cost-effective to establish an in-house capability.

(3) The function being contracted for is not an inherently governmental function that must be performed in-house. See Office of Federal Procurement Policy Letter 92-1, dated 23 September 1992.

c. Contract studies should not be conducted as isolated activities. There must be command commitment to support the effort and ensure overall benefit from the study to the organization.

6-2. Contract funding for studies

a. Requirements for study activities are developed by HQ USAAC and major subordinate commands and are reported as part of their

combined POM and BES input.

b. Those contract studies that support R&D activities (such as research, technology exploration, and development) and systems analyses, including development and test of initial programs and field proof of concept test, should be budgeted with RDT&E funds. In those cases where a clear determination is not possible based on the above, the guideline will be to attempt to fund such studies in RDT&E if clear association between FOC in training and leader development and human engineering can be demonstrated. All other contract studies should be budgeted in the operation and maintenance appropriations.

c. Funds for in-house studies are budgeted in the appropriation that finances the organization conducting the study.

d. Fund requirements for ADP services and equipment in support of studies are included in the organization's ADP budget submission.

e. Fund requirements for studies to be performed by FFRDCs are identified by HQ USAAC as part of the combined POM and BES submissions. The amount of funding that may be provided to the FFRDCs each year is constrained by Congress and allocated by OSD. The Arroyo Center is DA's FFRDC (see AR 5-21). The Arroyo Center Policy Committee controls support for the Arroyo Center at HQDA. The Arroyo Center Policy Committee executive agent, the Director of the Program Analysis and Evaluation Directorate, provides instructions

during the planning, programming, budgeting, and execution system cycle for programming and budgeting for FFRDC support.

6-3. Contract offloading

According to Army offloading policy, Army "requiring" activities shall obtain their acquisition support, including contracting support, from the Army or other DOD organization that is best equipped to satisfy that requirement in terms of technical capability, quality, cost (including administrative support costs), and timeliness. Heads of contract activities should have offloading procedures that promote advance planning and effective communication between customers and their supporting contracting office(s). Heads of contract activities are charged with tracking all transactions under the contract; offloading procedures should integrate product and process management teams working on acquisition excellence solutions. Users and/or requiring activities should give their assigned supporting contracting office the opportunity to execute and manage significant procurement actions before they are offloaded to other Army activities.

1. Purpose. Document standardized procedures for study managers to follow when assigned responsibilities for a contracted research study.
2. Responsibilities.
 - a. Study manager, sometimes referred to as contracting officer's technical representative, manages the performance of the contractor from a technical perspective. Typical duties include:
 - (1) Identifying and understanding study proposals, concepts, and objectives. Determining execution methodology and deliverables.
 - (2) Writing detailed statements of work (SOWs) and developing cost estimates.
 - (3) Monitoring technical performance of contracted research efforts, providing review of work in progress, observing focus groups in progress, etc.
 - (4) Inspecting deliverables (reports, models, databases, etc.) and preparing receiving reports (e-mail verification that deliverables were received and acceptable).
 - (5) Comparing progress with delivery schedules and cost objectives.
 - (6) Advising the contract administrator of suspected problems with contract performance.
 - (7) Providing technical assistance to the contract administrators and contracting officers regarding changes and modifications.
 - b. Study managers will follow the contract management checklist provided at the initiation of a study.
 - (1) Proposal and concept. Study managers will understand and identify the study proposal and concept. While some proposals are submitted in full detail, many are received as a concept only without the actual execution or feasibility determined. Study managers should evaluate the proposal and determine the best methodology for execution to meet the determined objectives.
 - (2) Identify objectives. Study objectives and deliverables should be identified to the maximum amount possible. Objectives may be somewhat broad, but the deliverables should be very detailed. Determine what will be measurable and/or what will be the return on investment. Identify criteria for acceptable finished product from contractor or Department of Defense agency.
 - (3) Determine execution. Determine execution methodology, ensuring that the logistics of the project have been identified.
 - (4) Determine funding source. Identify where funds have been obtained and ensure approvals have been obtained. The majority of studies executed by the United States Army Accessions Command (USAAC) are funded from the USAAC Studies Program. There are some studies, however, that are funded from external sources, such as United States Army Reserve research from funds provided by the Office of the Chief, Army Reserve. The Army Brand Group funds some advertising-related research and other advertising research may be funded from the advertising contract with the contract advertisement agency.
 - (5) SOW. The study manager has the responsibility for preparing a complete, detailed SOW.
 - (a) The SOW must address the study objectives, who has responsibilities to include specific tasks, realistic time lines for accomplishing tasks, clearly defined deliverables, travel requirements, reporting requirements, any Government-furnished support or equipment, and any restrictions. Security clearance requirements should also be clearly reflected.
 - (b) The designated study manager, both primary and alternate, should be listed with all relevant contact information. If a recommended source of supply is known, that contact information should also be provided.
 - (c) A cost estimate should be included with submission of the SOW. The cost estimate should be based upon research conducted with various similar vendors and/or sources, adding realistic cost factors that would reasonably be encountered in the execution of the project. If no suppliers or vendors are known to contact for a cost estimate, the estimated costs of the most recently completed project of a similar nature may be used adding cost inflation factor if applicable. (NOTE: Study managers have the authority to call potential vendors to ask specific questions in developing the SOW. Methodologies, deliverables, and esti-

Figure 6-1. COTR's standing operating procedures

mated costs may be discussed. Study managers must be very careful not to imply or obligate the Government in any fashion during these inquiries.)

(6) Staffing for coordination. SOWs will be coordinated with a minimum of legal review, budget review, and USAAC contract administrators. Review by specific directorates within USAAC's subordinate commands should be accomplished if the study effort crosses multiple areas. Additional coordination may be appropriate with other USAAC offices or selected external agencies depending upon the topic and route of submission.

(a) Informal staffing. Study managers may obtain input and/or solicit feedback on a draft version of the SOW. This informal staffing may be accomplished by:

1. An e-mail notification with the electronic version of the SOW attached; or

2. An OF 41 (Routing and Transmittal Slip) on a paper version of the SOW; or

3. The actual staff action (USAAC Form 11-R-E (USAAC Routing and Transmittal Sheet)) with the SOW attached to all staff members simultaneously.

NOTE: Comments may be collected from any of these methods and included in the final version of the SOW.

(b) Formal staffing. USAAC Form 11-R-E will be prepared for the finalized SOW, with coordination required for the United States Army Recruiting Command (USAREC) Staff Judge Advocate, USAREC G-4/8 (which includes USAREC's contract administrators), and the USAAC Center for Accessions Research (CAR). The SOW, cost estimate, and a management decision document will be included with the USAAC Form 11-R-E. The study sponsor or his or her designated representative may sign the management decision document.

(c) USAAC Study Program Coordination Office (SPCO) coordination. The study program coordinator should be kept informed and copies provided for appropriate recordkeeping. The study program coordinator must be provided with copies of the SOW, the actual contract, the deliverable, and any relevant documentation during the process of the project execution.

(7) Contract management. The study manager will maintain liaison with the contractor during the extent of the contract execution. The primary purpose of assigned study managers is to provide technical review of the contractor's performance, ensuring the final deliverable meets the needs of the Government and is of value for the expenditure.

(a) Inprogress reviews (IPRs). A minimum of one IPR monthly with the contractor will be outlined in the SOW. IPRs must be scheduled and held to ensure progress is made, time lines are met, and that the contractor stays on track to accomplish the stated objectives.

(b) Communication with USAAC contract administrators. Maintaining communication with the USAAC contract staff during the contract execution is important to ensure all contractual requirements are met. Proper procedures must be followed when changes are necessary, such as changes in scope of the work, cost revisions, extension of time lines, etc. The contract administrators serve as the USAAC experts for those types of procurement actions, and must be included in the process. The study manager does not have the legal authority to modify the terms and conditions of the contract.

(c) Acceptance of deliverables. The study manager will accept the deliverable(s) from the contractor. After technical review, the study manager may approve the deliverable as is or return to the contractor for modifications. Once the study manager is satisfied with the deliverable, a final presentation should be scheduled. All deliverables must be consistent with guidelines in the SOW or approved modifications.

(d) Final presentation. The presentation should be scheduled in the USAREC Command Conference Room, unless otherwise specified in the SOW. (NOTE: Alternate locations may be appropriate depending upon the study topic and location of the study manager.) The study manager should coordinate the date and time with the appropriate staff members in USAAC and subordinate commands. In addition, attendance invitations should go to the SPCO and USAAC CAR staff members, as well as other key staff members as related to the topic of the research study. In some cases, final presentations will be given at the Accessions Research Consortium in addition to the scheduled closeout presentation.

Figure 6-1. COTR's standing operating procedures (Continued)

(e) Contract closeout. The USAAC contract administrators should be notified that the contract objectives have been met and all contractual obligations have been fulfilled.

3. File management. The study manager must ensure that the official records for the USAAC Studies Program projects have correct documentation.

a. The SPCO maintains the official records and should receive the following as a minimum:

(1) Original study proposal.

(2) SOW.

(3) Contract (includes the signed SF 1449 (Solicitation/Contract/Order for Commercial Items)).

(4) Final product delivery (such as slide presentation, report, or documentation of a model or software delivery).

b. Final disposition must include submitting a final report to the USAAC Center for Accessions Research Lessons Learned and the USAAC CAR Library in accordance with specifications for each (paper, digital, etc.).

Figure 6-1. COTR's standing operating procedures (Continued)

Appendix A References

Section I Required Publications

AFARS

Army Federal Acquisition Regulation Supplement. (Cited in para 2-4e.)

AR 5-5

Army Studies and Analyses. (Cited in paras 1-4a, 1-4h(1), and B-3a.)

AR 5-14

Management of Contracted Advisory and Assistance Services. (Cited in paras 2-4e, 5-3b(2)(a), 5-4b(4), 5-5b, and 6-1a.)

AR 5-21

Army Policies and Responsibilities for the Arroyo Center. (Cited in para 6-2e.)

AR 25-55

The Department of the Army Freedom of Information Act Program. (Cited in para 5-5b(5).)

AR 70-31

Standards for Technical Reporting. (Cited in para 5-5b(1).)

AR 71-9

Material Requirements. (Cited in para B-1b.)

AR 340-21

The Army Privacy Program. (Cited in para 5-5b(2).)

AR 380-5

Department of the Army Information Security Program. (Cited in para 5-5b(1).)

DA Pam 5-5

Guidance for Army Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Representatives. (Cited in paras 1-4a, 5-2l, and the glossary.)

DFARS

Defense Acquisition Regulation Supplement. (Cited in para 2-4e.)

DODD 4205.2

Acquiring and Managing Contracted Advisory and Assistance Services (CAAS). (Cited in Summary paragraph.)

FAR

Federal Acquisition Regulation. (Cited in para 2-4e.)

TRADOC Pam 525-66

Force Operating Capabilities. (Cited in the glossary.)

Section II

Related Publications

A related publication is merely a source of addi-

tional information. The user does not have to read it to understand this publication.

AR 5-4

Department of the Army Productivity Improvement Program (DAMRIP).

AR 5-11

Management of Army Models and Simulations.

AR 10-5

Organization and Functions, Headquarters, Department of the Army.

AR 11-2

Management Control.

AR 11-18

The Cost and Economic Analysis Program.

AR 11-37

Army Finance and Accounting Quality Assurance Program.

AR 20-1

Inspector General Activities and Procedures.

AR 25-1

Army Information Management.

AR 36-5

Auditing Service in the Department of the Army.

AR 50-6

Chemical Surety.

AR 55-80

Highways for National Defense.

AR 70-1

Army Acquisition Policy.

AR 70-8

Soldier-Oriented Research and Development in Personnel and Training.

AR 70-44

DOD Engineering for Transportability.

AR 73-1

Test and Evaluation Policy.

AR 380-10

Foreign Disclosure, Technology Transfer, and Contacts With Foreign Representatives.

AR 380-19

Information Systems Security.

AR 385-10

The Army Safety Program.

AR 570-5

Manpower Staffing Standards System.

AR 600-46

Attitude and Opinion Survey Program.

AR 602-1

Human Factors Engineering Program.

AR 611-3

Army Occupational Survey Program (AOSP).

DOD 3200.12-M-1

Research and Technology Work Unit Information System Manual.

Section III

Prescribed Forms

This section contains no entries.

Section IV

Referenced Forms

DD Form 350

Individual Contracting Action Report.

OF 41

Routing and Transmittal Slip.

SF 298

Report Documentation Page.

SF 1449

Solicitation/Contract/Order for Commercial Items.

USAAC Form 11-R-E

USAAC Routing and Transmittal Sheet.

Appendix B

Examples of Study and Nonstudy Efforts

B-1. Study efforts

- a. Cost, benefit, or effectiveness analyses of concepts, plans, training, tactics, forces, systems, policies, personnel management methods, and policies or programs.
- b. Cost and operational effectiveness analyses (AR 71-9).
- c. Technology assessments and management and operations research studies in support of RDT&E objectives.
- d. Evaluation of foreign force and equipment capabilities, foreign threats, net assessments, and geopolitical subjects.
- e. Evaluations of organizational structure, administrative policies, procedures, methods, systems, and distribution of functions.
- f. R&D of databases, models, and methodologies for accomplishing specific studies and analyses.
- g. Analyses of materiel, personnel, logistics, and management systems.
- h. Studies to establish materiel requirements.
- i. Studies in support of operational testing.
- j. Studies performed by in-house Army (military and civilian) personnel requiring less than one-half PSY that make a significant contribution to a body of knowledge, advance understanding of a phenomenon or process, serve as a building block for future efforts, or may be adapted to other functional areas, missions, or applications.

B-2. Nonstudy efforts

These efforts are generally excluded because of other policies in place which provide sufficient oversight and control to accomplish the goals of this regulation.

- a. Advanced engineering development in support of specific RDT&E programs for materiel systems acquisition policy (AR 70-1) and analytical efforts integral to these programs.
- b. Army Occupational Survey Program (AR 611-3).
- c. Audits (AR 36-5).
- d. Chemical Surety Program (AR 50-6).
- e. DA Productivity Improvement Program (AR 5-4).
- f. Development and modification of automatic data processing systems which support other than study and analysis activities in the Information Management Program (AR 25-1).
- g. Development test, operational test, and user test (AR 73-1).
- h. Human Factors Engineering Program (AR 602-1).
- i. Inspector General inspections (AR 20-1).
- j. Internal reviews (AR 11-2).
- k. Recurring Army attitudinal and opinion surveys (AR 600-46).
- l. Recurring economic and cost analyses in support of mission objectives (AR 11-18).
- m. Research and exploratory developments funded in 6.1 and 6.2 RDT&E program categories.

- n. Routine engineering analyses of manufacturing methods.
- o. Security investigations (AR 380-5).
- p. Soldier-Oriented Research Development Personnel Training Program (AR 70-8).
- q. Studies performed by in-house Army (military and civilian) personnel requiring less than one-half PSY, unless they make a significant contribution to a body of knowledge, advance understanding of a phenomenon or process, serve as a building block for future efforts, or may be adapted to other functional areas, missions, or applications.
- r. Studies performed by the Arroyo Center and approved under the auspices of AR 5-21.
- s. The Army Safety Program (AR 385 series).
- t. Transportability analyses (AR 70-44).
- u. Transportation and travel (AR 55-80).

B-3. Considerations for applicability of AR 5-5 and AR 25-1 requirements

- a. Efforts which have the primary objective of developing, improving, or modifying a computerized model or game to be used solely to support study projects are within the scope of AR 5-5. Such efforts will be managed in accordance with AR 5-5 and reported in accordance with AR 5-11. The acquisition of ADP hardware, software, and related information mission area initiatives will be according to the AR 25-series and DA Pam 25-series guidance, as appropriate.
- b. Software development and modification activities will use appropriate Army automation technical procedures in the DA Pam 25-series and the requirements in AR 380-19.

Glossary

Section I

Abbreviations

ADP

automatic data processing

ARC

Accessions Research Consortium

ARI

Army Research Institute

ASP

Army Science Program

BES

budget estimate submission

CAR

Center for Accessions Research

CG

Commanding General

COTR

contracting officer's technical representative

DA

Department of the Army

DOD

Department of Defense

DTIC

Defense Technical Information Center

FFRDC

federally-funded research and development center

FOC

force operating capability

FOIA

Freedom of Information Act

FY

fiscal year

GOSC

General Officer Steering Committee

HQDA

Headquarters, Department of the Army

HQ USAAC

Headquarters, United States Army Accessions Command

IPR

inprogress review

MACOM

major Army command

MDD

management decision document

MOE

measure of effectiveness

NPG

Naval Postgraduate

OSD

Office of the Secretary of Defense

POM

Program Objective Memorandum

PSY

professional staff year

R&D

research and development

R&S

research and studies

RDT&E

research, development, test, and evaluation

SAG

Study Advisory Group

SOW

statement of work

SPCC

Study Program Coordination Committee

SPCO

Study Program Coordination Office

S&T

science and technology

TRADOC

United States Army Training and Doctrine Command

USAAC

United States Army Accessions Command

USACC

United States Army Cadet Command

USAREC

United States Army Recruiting Command

USATC-FJ

United States Army Training Center - Fort Jackson

Section II

Terms

analysis

A broad category of study and investigation which includes support to operational, tactical, and strategic decisionmaking. Used in the context of this regulation, analysis refers to the situation when the researcher knows the information is available, but it requires statistical manipulation or other scientific investigative techniques to extract relevant conclusions from the data.

applied research

Attempts to determine and exploit the potential of scientific discoveries or improvement in technology, materials, processes, methods, devices, or techniques (Program 6.2 dollars).

Army study system

A series of interrelated events, organizations, and resources which provide study and analysis support to the Army.

basic research

Research directed toward increasing knowledge in science. Aim is a fuller knowledge or understanding of the subject, not practical application. Involves gathering of new data.

contract study

A study performed through a contract. Contract studies are not conducted as isolated activities. There must be management and command commitment to support the contract effort and to integrate the results into their problem solving requirements and into the overall study requirements of the organization.

experiment

An operation carried out under controlled conditions in order to discover an unknown effect, to test or establish a hypothesis.

force operating capabilities

Detailed in TRADOC Pam 525-66. They are: (1) Strategic Responsiveness and Deployability; (2) Battle Command Construct; (3) Sensor Fusion; (4) Mounted/Dismounted Maneuver; (5) Non-Line of Sight Lethality; (6) Line of Sight/Beyond Line of Sight Lethality for Mounted/Dismounted; (7) Air/Ground Operations; (8) Survivability; (9) Maneuver Support; (10) Maneuver Sustainment; (11) Training and Leader Development; and (12) Human Engineering.

Human Dimension Laboratory

Focal point where all studies and research for initial entry training takes place. Located at Fort Jackson under the operational control of the CG USATC-FJ.

market research

The systematic and objective identification, collection, analysis, and dissemination of information for the purpose of improving decisionmaking related to the identification and solution of problems and opportunities in marketing.

model

A representation of an object, process, or activity by symbols or procedures such that the important relations are amenable to analysis. The application of a model to a study includes preparation of input data and computer runs if necessary, technical analysis of output for system and data errors, and interpretation of output for study analysis.

NOTE: Not all study models are computerized.

operations research

The application of scientific and especially math-

ematical methods to the study and analysis of problems involving complex systems.

professional staff year

A unit of measurement used to describe the level of effort of in-house Army (military and civilian) personnel in performing, supporting, and monitoring a study. A PSY includes the normal duty hour services of one researcher or analyst, supported by a proportionate share of the management, clerical, and administrative personnel, use of ADP equipment, and appropriate overhead for 1 year.

programmed study

A study submitted and approved as part of an agency or MACOM annual study program.

proof of concept

An operation conducted in the field for the purpose of determining whether an operational, organizational, or doctrinal concept is valid and has merit for testing or experimentation. Also provides basic requirement and lessons learned for test application.

research

All effort directed toward increased knowledge of natural phenomena and environment and toward the solution of problems in all fields of science. This includes basic and applied research.

simulation

A method for implementing a model over time.

sponsoring agency

The HQDA element, agency, field operating agency, or MACOM responsible for a study effort. Oversees study agency's work on the study and generally is responsible for implementation of study results. For USAAC purposes a sponsoring agency is HQ USAAC.

sponsor's program coordinating office

The office appointed by the sponsor to ensure that the study objectives are met. The sponsor's study program coordinator represents the sponsor in establishing the requirement for the study, providing technical direction for the sponsor to the organization performing the study, and providing guidance to the SAG, COTR, or contracting officer. This person may be the chairperson of the SAG. (See DA Pam 5-5.) In USAAC the CAR will serve as the sponsor's program coordination office.

statement of work

The basic document that specifies the study work to be performed under a contract. The SOW is: (1) Prepared by the sponsor of a proposed study contract; (2) Coordinated through appropriate agency approval channels; and (3) Provided to the contracting officer representative who, in turn, forwards to the contracting officer for use in preparing the solicita-

tion and resultant study contract.

studies, analyses, and evaluations

Services that provide organized analytic assessments and evaluations in support of policy development, decisionmaking, management, or administration. Services include studies in support of R&D activities. Also includes models, methodologies, and related software supporting studies, analyses, and evaluations. Examples include, but are not limited to, cost benefit or effectiveness analyses of concepts, plans, tactics, forces, systems, policies, personnel management methods and programs; studies specifying the application of information technology and other information resources to support mission and objectives; technology assessments and management and operations research studies in support of RDT&E objectives; evaluations of foreign force and equipment capabilities, foreign threats, net assessments, and geopolitical subjects; analyses of material, personnel, logistics and management systems; and environmental impact statements.

study

An organized analytic assessment used to understand or evaluate complex issues. Also used to improve policy development, decisionmaking, management, and administration. The acquisition, test, and evaluation of systems may be a study topic.

study advisory group

An advisory group formed by a study sponsor. It consists of representatives from Army elements having a clear functional interest in the study topic or use of the study results. The SAG is to advise and assist the study sponsor on conduct of the study, and to provide assistance, coordination, and support to the study performing organization.

study agency

The organization charged with conducting a study. It may be the sponsoring agency or MACOM, a contractor or consultant, an ad hoc group, or an Army study organization.

study manager

The individual assigned to manage the study effort for the study sponsor. Normally acts as the contracting officer's representative or COTR.

Study Program Coordination Committee

Senior officer committee responsible for prioritizing the Master Studies List and approving the Master Studies Plan.

study program coordinator

An individual designated by the head of an agency or MACOM to provide advice on all matters related to Army studies. In USAAC the Director for CAR serves as the study program coordinator.

study program director

Executes the Command Studies Program. Appointed by the sponsor to ensure that study objectives are met. The sponsor's study director represents the sponsor in establishing study requirements, providing technical direction to the organization performing the study, and providing guidance to the study manager, SAG, or COTR. In USAAC, the Chief of Research Integration and Support Division will serve as the study program director.

study sponsor

The person who is responsible for a study. The study sponsor will validate the need for the study and provide management oversight of the study effort. In USAAC the study sponsor is the CG, USAAC.

systems analysis

The process of studying an activity typically by mathematical means in order to define its goals or purposes and to discover operation and procedures for accomplishing them most efficiently.

test

An operation conducted in the field for the purpose of evaluating operational or organizational concepts, doctrine, tactics, and techniques, or to gain further information on material.

unprogrammed study

A study requirement initiated subsequent to approval of the annual study program.