

Chg#	Approver	Date Approved	Description/Comments
1	Senior Advisor	11/6/2020	<ul style="list-style-type: none"> <li>Updated to: (1) reconcile Pre-ASM and ASM procedures with these meetings now being conducted within the Acquisition Strategy Council. (2) include alignment to Center Roles as part of supporting justification, (3) provide additional guidance on supporting justification for partnerships and supplier capability to perform work.</li> </ul>

## NASA Advisory Implementing Instructions: Pre-Acquisition Strategy Meeting (Pre-ASM) Guide

### 1.0 Introduction

- 1.1. The Pre-ASM is a forum to provide the convening authority insight into the acquisition considerations for a program or project prior to conducting the Acquisition Strategy Meeting (ASM). This allows the convening authority an opportunity to provide guidance and direction while the acquisition strategies are in formulation rather than waiting for an ASM, where the acquisition strategy is ready for approval. Key decisions such as competed or directed missions may be determined in the Pre-ASM, which helps focus the mission strategy as the project progresses. Above all, the Pre-ASM allows for a small leadership discussion on the trade space of options with the intent of vetting and narrowing those options prior to the ASM.
- 1.2. The Associate Administrator is the convening authority for Pre-ASMs and ASMs for acquisitions > \$1B (including multi-part acquisition strategies whose first phase may be <\$1B but whose final cost will exceed \$1B); Category 1 projects; projects requiring a coordinated acquisition strategy across multiple Centers; and funded Space Act Agreements; and for pre-ASMs convened at the discretion of the Associate Administrator. These Pre-ASMs and ASMs are held in the Acquisition Strategy Council (NPD 1000.3, Chapter 3). Mission Directorate Associate Administrators, or appropriate functional sponsor, are the convening authority for all other projects.
- 1.3. Pre-ASMs and ASMs are conducted at the discretion of the convening authority and are not always required.

### 2.0 Pre-Acquisition Strategy Meeting Guidance

- 2.1 The Pre-ASM is part of the Acquisition Strategy, as described in NPD 1000.5. For flight projects, the Pre-ASM is held in the Pre-Phase A timeframe, typically between Formulation Authorization Document (FAD) approval and Mission Concept Review (MCR), although the Pre-ASM could be held prior to FAD approval or after MCR, depending on the project concept. Projects and acquisitions that do not require major acquisition strategic decisions may not be required to have a Pre-ASM, as determined by the convening authority.

- The presenting organization is responsible for coordinating the recommended approach with affected Centers, Mission Directorates, and NASA Offices, such as the Office of the Chief Information Officer (OCIO). It is imperative that prior to the pre-ASM, the prospective Centers involved in the acquisition strategy have been briefed on the strategy, concur with the content (acquisition trade space, roles and responsibilities, etc), and areas of disagreement are clearly identified for discussion at the Pre-ASM.

2.2 Pre-ASM attendance should be limited to direct stakeholders (e.g. Mission Directorates).

- For Pre-ASMs conducted in the ASC (Associate Administrator as convening authority), the core ASC membership (ASC Charter, NPD 1000.3) is invited. The responsible MDAA or functional sponsor, rather than a delegate, is expected to attend. Other senior officials may be invited at the Chair's discretion. Centers are typically not invited to Pre-ASM meetings, though affected Centers are invited to ASM meetings. Supporting staff should be limited; no more than 3 people for the sponsoring organization and 2 for other organizations. Attendance approval is coordinated with the Chair through the Office of Agency Council Staff (OACS).
- For Pre-ASMs not conducted in the ASC, attendance should be similarly limited. The following officials are required, in addition to the convening authority:
  - a. Chief Financial Officer, in both roles as the CFO and as the Agency's Chief Acquisition Officer
  - b. NASA Assistant Administrator for Procurement, in his/her role as Deputy Chief Acquisition Officer and Agency Senior Procurement Executive; and
  - c. NASA Chief Information Officer

Other core ASC members (e.g. Chief Engineer, General Counsel) may be invited at the convening authority's discretion. For these Pre-ASMs, the sponsoring organization is responsible for ensuring the relevant stakeholders are invited.

2,3 Participants should present a *trade space of acquisition options*, for discussion in the Pre-ASM with the intent of narrowing the options to a couple for further consideration in the ASM. For the Pre-ASM, participants should consider all perspectives and issues, including:

- a. Have external stakeholder concerns (e.g., decadal surveys, Congressional language), Agency and Administration initiatives and strategic goals been considered?
- b. Have both short-term and long-term perspectives been considered?
- c. What are the make, buy or partner options being considered?
- d. For each option considered:
  - What is the rationale and strategy?
  - How does the high-level make, buy or partner strategy optimize the proposed team's expertise?
  - How does it provide best value while maintaining Agency competencies, relationships between NASA and suppliers and partners?
  - How are the NASA Center's capabilities affected (e.g., civil servants, contractors, infrastructure, etc)?
  - What are the political implications?
  - How is the option aligned with the budget availability?

- Are there technology tall poles that may affect the acquisition? When will technologies be available in relation to ASM and Key Decision Points (KDPs)?

#### 2.4 Pre-ASM Potential Outcomes:

- Recommendations on make versus buy versus partner options
- Establish any additional sponsoring or organization trades needed to be performed prior to the ASM
- Establish any independent analysis of alternatives needed to be performed prior to ASM
- Establish Mission Directorate and top-level Center assignments
- Determination of acquisition decisions required at ASM
- Provision of additional guidance by the Decision Authority before acquisitions are finalized

### 3.0 Pre-Acquisition Strategy Meeting Guidance

3.1 For Pre-ASMs held in the ASC, planning and coordination for the meeting are through the OACS ASC Executive and staff to the ASC Chair. The Mission Directorate Associate Administrator or senior representative should contact the ASC Executive at least six weeks prior to the meeting date. Recommending officials are responsible for:

- Providing a brief synopsis of anticipated specific decisions or guidance requested (in order to identify appropriate stakeholders for inclusion in the meeting)
- Negotiating a firm deadline for draft charts and final readahead charts. Draft charts are typically due the Friday before an ASC; final charts should allow for 1-2 days read-ahead time by ASC members.
- Ensuring pre-meeting coordination with affected stakeholders has occurred (2.0a, above)
- Ensuring presentation materials are direct, succinct, and address all required content below. Chart count limits will be provided by OACS based on the allocated ASC agenda time.
- Integrating additional attendee requests from their organization and providing to the ASC Executive, with a short rationale, for approval by the Chair.

3.2 Pre-ASMs led by the Mission Directorate Associate Administrator, or appropriate functional sponsor, are the responsibility of their organization. As in the ASC, presentations should be direct and succinct. A limit of no more than 30 charts is recommended.

3.3 Presentation materials and the meeting agenda are considered NASA pre-decisional. Given that pre-ASM materials involve competition-sensitive information, all transmission of data files and email discussion should follow encryption standards and involve only those cleared to support the meeting. Meetings should be limited to NASA civil servants. Participants should be reminded to be aware of potential conflicts of interest, and to recuse themselves if needed.

3.4 Presentation materials should focus on the acquisition complexity, acquisition trade space, make/buy or competition/directed options, management responsibilities, unique use of authorities, etc. Presentation materials should include:

- Mission concepts (preliminary)
- Schedule (preliminary)
- Rough order of magnitude (ROM) costs,
- Partnership strategy including potential partner contributions, their viability, relation to budget availability, and criticality to mission success. (This applies to commercial, international and/or interagency partnerships).
- Options for Center assignments based on Center Roles (NPD 1000.3) and other factors.
- Preliminary assessment of candidate partners'/suppliers'/Centers' capability to deliver.
- Proposed acquisition options (Based on trades, Figures of Merit and analyses)
- Pros/Cons for each option, and any pertinent considerations listed in section 2.3 above

- i. How options were coordinated with affected Centers, Partners, Stakeholders, others
- j. Center concurrences and feedback
- k. Recommendations
- l. Next steps

#### **4.0 Meeting Summaries and Final Document Disposition**

4.1 For Pre-ASMs conducted in the ASC; OACS archives the Pre-ASM presentation; prepares and archives minutes (marked SBU) including any guidance, decisions or action resulting from the meeting; and archives the agenda and attendance list. The Chair signs meeting minutes. The Chair determines distribution restrictions on meeting minutes; typically they are limited to meeting participants only.

4.2 For acquisitions < \$1B and for Category II and Category III projects, the sponsoring organization will prepare a succinct meeting summary signed by the organization's leadership (e.g., MDAA) or designee. A copy of the signed summary memo is emailed to the NASA Associate Administrator for awareness. The sponsoring organization is responsible for archiving the meeting summary and presentation material for future reference.

4.3 As part of the Pre-ASM process, the Mission Directorate Associate Administrator, or appropriate functional sponsor, should communicate preliminary acquisition decisions and resulting work assignments to the Centers involved in considered options.