DEFENSE WORKFORCE

Steps Needed to Identify Acquisition Training Needs for Non-Acquisition Personnel

Accessible Version

This report was revised on October 2, 2019 to correct two numbers that had been transposed in the Highlights page figure.
DEFENSE WORKFORCE

Steps Needed to Identify Acquisition Training Needs for Non-Acquisition Personnel

What GAO Did This Study

DOD spends hundreds of billions of dollars annually acquiring products and services. Since 1990, Congress and DOD have taken numerous steps to address issues related to the quality of DOD’s acquisition workforce, which consists of contracting officers, cost estimators, and personnel in several other career fields. But tens of thousands of others, referred to as non-acquisition personnel, also affect how DOD acquires products and services such as major weapon systems and logistics support. These personnel have a wide range of primary responsibilities, such as piloting aircraft and managing facilities, and they are sometimes directed to perform acquisition-related functions, such as overseeing contracts.

The National Defense Authorization Act for Fiscal Year 2018 included a provision for GAO to review steps DOD has taken to ensure non-acquisition personnel receive appropriate acquisition-related training. This report addresses the extent to which DOD can identify (1) non-acquisition personnel supporting acquisitions, and (2) their need for acquisition training. GAO analyzed training data; reviewed policies, guidance, and memorandums; and interviewed personnel from the Office of the Secretary of Defense and the military departments.

What GAO Found

The Department of Defense (DOD) has implemented two of three key initiatives to identify non-acquisition personnel supporting acquisitions. DOD has implemented initiatives to identify non-acquisition personnel who (1) develop requirements, and (2) oversee contracts. However, DOD has not implemented a third initiative to identify non-acquisition personnel contributing to services acquisitions more generally. In fiscal year 2018, DOD obligated $175 billion for contracts for services such as management support and information technology. In April 2016, the DOD Acquisition Executive (DAE) directed a team comprised of representatives from the Office of the Secretary of Defense, the Air Force, and the Defense Acquisition University (DAU) to develop a schedule for identifying these personnel by October 2016. However, the team did not complete this task by March 2019, when the current DAE directed the team to focus on other issues, and the DAE has not yet determined who will be responsible for completing this task. As a result, DOD has not established how and when it will identify non-acquisition personnel contributing to services acquisitions, or what policy updates and resources may be necessary to identify them.

DOD does not comprehensively identify non-acquisition personnel’s need for acquisition-related training. As a result, the department cannot determine the extent to which it is meeting their needs. All non-acquisition personnel have access to DAU’s online training, but many of DAU’s more advanced courses are only provided in a classroom setting. DAU prioritizes training acquisition personnel—its primary mission—when delivering the resource-constrained classroom training (see figure).

Average Annual Enrollment in Defense Acquisition University Courses, Fiscal Years 2016 through 2018

<table>
<thead>
<tr>
<th>Online average enrollment</th>
<th>Classroom average enrollment</th>
</tr>
</thead>
<tbody>
<tr>
<td>453,868 Non-acquisition personnel</td>
<td>39,452 Acquisition personnel</td>
</tr>
<tr>
<td>408,038 Acquisition personnel</td>
<td>43,888 Non-acquisition personnel</td>
</tr>
<tr>
<td>861,906 personnel</td>
<td>43,888 personnel</td>
</tr>
</tbody>
</table>

What GAO Recommends

GAO recommends that DOD: (1) designate an official responsible for identifying non-acquisition personnel contributing to services acquisitions, and (2) ensure components provide DAU comprehensive information about non-acquisition personnel training needs. DOD concurred with the recommendations.

View GAO-19-556. For more information, contact Timothy J. DiNapoli at (202) 512-4841 or DiNapoliT@gao.gov.
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Abbreviations

CAE  Component Acquisition Executive
CAR  Component Appointed Representative
COR  Contracting Officer’s Representative
CORT Tool  Contracting Officer Representative Tracking Tool
DACM  Director, Acquisition Career Management
DAU  Defense Acquisition University  
DAWDF  Defense Acquisition Workforce Development Fund  
DAWIA  Defense Acquisition Workforce Improvement Act  
DOD  Department of Defense  
DPAP  Defense Procurement and Acquisition Policy  
DPC  Defense Pricing and Contracting  
FAR  Federal Acquisition Regulation  
FIPT  Functional Integrated Product Team  
HCI  Human Capital Initiatives  
JROC  Joint Requirements Oversight Council  
OSD  Office of the Secretary of Defense  
USD (A&S)  Under Secretary of Defense for Acquisition and Sustainment  
USD (AT&L)  Under Secretary of Defense for Acquisition, Technology and Logistics  

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September 5, 2019

Congressional Committees

The Department of Defense (DOD) spends hundreds of billions of dollars annually acquiring products and services. DOD’s acquisition workforce enables the department to buy major weapon systems like the Joint Strike Fighter, commercially available items including laptop and desktop computers, and support for military bases in the form of maintenance and food services, among other things. In 1990, Congress enacted the Defense Acquisition Workforce Improvement Act (DAWIA) to formally define DOD’s acquisition workforce and standardize education, experience, and training requirements. Since that time, Congress and DOD have taken numerous steps to address issues related to acquisition workforce quality at DOD. However, tens of thousands of DOD personnel who are not designated as members of DOD’s acquisition workforce also affect how well DOD acquires products and services. These non-acquisition personnel have a wide range of primary responsibilities that are not considered acquisition functions, such as piloting aircraft or managing facilities. Under certain circumstances, these personnel may perform acquisition-related functions, such as developing requirements, performing market research, or providing contractor oversight.

Section 843(d) of the National Defense Authorization Act for Fiscal Year 2018 included a provision for us to, among other things, review steps DOD has taken to ensure non-acquisition personnel receive appropriate acquisition-related training. This report examines the extent to which DOD has identified: (1) non-acquisition personnel supporting acquisitions; and (2) non-acquisition personnel’s acquisition training needs.

To assess the extent to which DOD has identified non-acquisition personnel supporting acquisitions, we reviewed three key DOD initiatives intended to identify non-acquisition personnel: (1) developing requirements for defense acquisition programs; (2) overseeing contracts for products and services; and (3) contributing to services acquisitions more generally. We also reviewed DOD efforts to identify non-acquisition personnel supporting acquisitions.

personnel performing market research and supporting source selections, two important acquisition-related functions. To understand requirements for DOD to identify such personnel, we reviewed relevant statutes, federal and defense acquisition regulations, and DOD instructions and policies.

To understand DOD’s processes for identifying these personnel, we reviewed memorandums from acquisition leaders, charters from teams responsible for identifying requirements developers and non-acquisition personnel contributing to services acquisitions, the user guide for a system that tracks non-acquisition personnel overseeing contracts—DOD’s Contracting Officer’s Representative Tracking (CORT) tool—and other key documents. We also reviewed personnel documentation identifying non-acquisition personnel with requirements development or contract oversight responsibilities. To supplement this documentation, we interviewed officials responsible for identifying requirements developers at the military departments and the Defense Acquisition University (DAU), representatives from the Office of Defense Pricing and Contracting (DPC) responsible for implementing the CORT tool, and DPC and Air Force officials responsible for identifying non-acquisition personnel contributing to services acquisitions. Additionally, we interviewed DOD acquisition personnel and DAU officials to understand how DOD approaches non-acquisition personnel conducting market research and supporting source selections.

To assess the extent to which DOD has identified non-acquisition personnel’s acquisition-related training needs, we interviewed OSD and military department officials responsible for acquisition training. These individuals included DAU’s Director for Performance and Resource Management and its learning directors for services acquisitions and contracting, and each of the military department’s Directors for Acquisition Career Management or their representatives. Through our discussions with military department officials, we determined that the military departments do not centrally manage the acquisition-related training for non-acquisition personnel. As a result, we focused on the training provided by DAU based on its established role in DOD policy.² To understand DAU’s responsibilities for training non-acquisition personnel, we interviewed DAU officials responsible for developing DAU’s curriculum and training schedule, and reviewed DOD Instructions and DAU’s operating policies, including its policy for enrolling students. To

²See DOD Instruction (DODI) 5000.57, Defense Acquisition University (DAU) (Incorporating Change 2, Aug. 31, 2018).
supplement this documentation, at each military department, we interviewed senior acquisition officials responsible for enrolling their respective personnel in DAU courses to understand how they coordinate with DAU. We also reviewed DAU training data from fiscal years 2016 through 2018 to determine the amount of training DAU provided, how DAU delivered that training—online versus classroom courses—and the number of non-acquisition personnel who received training. To determine whether the data were reliable for reporting the number of non-acquisition personnel enrolled in DAU training, we interviewed the DAU official responsible for maintaining DAU’s enrollment data, and reviewed pertinent documents such as DAU’s guidance for building the academic schedule to understand the processes and procedures for student enrollment. We found these data to be reliable for reporting the number of non-acquisition personnel enrolled in DAU training. Additionally, we reviewed DAU’s curriculum and identified courses related to requirements development, market research, source selection, and contract oversight.\textsuperscript{3} See appendix I for more information about our scope and methodology.

We conducted this performance audit from July 2018 to September 2019 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Background

In 1990, Congress passed DAWIA, which, among other things, directed DOD to establish education, training, and experience requirements for the acquisition workforce.\textsuperscript{4} In response to this direction, DOD established various acquisition career fields, such as cost estimating and contracting with associated minimum requirement standards. As of March 2019, DOD reported that approximately 175,000 of its roughly 3 million personnel were formally designated members of the acquisition workforce. DOD considers the remaining 2.8 million personnel—which consist of

\textsuperscript{3} Appendix II provides a list of DAU courses that address the functions that we reviewed in this report.

approximately 2.1 million military personnel and 700,000 civilian personnel—non-acquisition personnel. Under certain circumstances, these personnel can perform acquisition-related functions.

DOD acquisition personnel often work closely with non-acquisition personnel when acquiring products and services, and these non-acquisition personnel can have a significant impact on the outcome of these acquisitions. In general, non-acquisition personnel are at least partly responsible for the following functions:

- **Defining requirements**: Identifying what end users need to conduct their missions, and communicating these needs in a manner that allows the government to solicit proposals from prospective contractors.
- **Conducting market research**: Collecting and analyzing data about capabilities in the market that could meet acquisition requirements.
- **Participating in source selection**: Helping acquisition personnel evaluate prospective contractors’ proposals when DOD plans to competitively award a contract.
- **Overseeing contract performance**: Verifying that the contractor is fulfilling delivery and quality parameters in accordance with the contract, and documenting accordingly. Acquisition regulations establish that the cognizant contracting officers—members of the acquisition workforce—are generally responsible for overseeing contract execution unless they formally designate in writing individuals to serve as their Contracting Officers’ Representatives (COR), who can be non-acquisition personnel.\(^5\)

The Federal Acquisition Regulation, however, specifies that certain functions can only be performed by acquisition personnel, specifically a warranted contracting officer. For example, only contracting officers can conduct negotiations.\(^6\) Non-acquisition personnel cannot assume responsibility for this function.

In addition to specific functions, we have previously found that non-acquisition personnel play a particularly large role in services acquisitions more generally, constituting more than half of the individuals who

\(^5\)See FAR § 1.602-2(d).

\(^6\)See FAR § 15.306(d).
contributed to contracts we reviewed in 2011. The significance of services acquisitions for DOD is underscored by the fact that DOD is the federal government’s largest purchaser of contractor-provided services, obligating $175 billion for services contracts in fiscal year 2018. Further, from fiscal years 2014 through 2018, about half of DOD’s contract obligations were for services. Moreover, we have identified DOD services acquisitions as an element underlying our designation of DOD contract management as a high-risk area.

### DOD Acquisition Leaders’ Training Responsibilities

DOD’s acquisition leaders generally manage the acquisition-related training resources that may be accessed by non-acquisition personnel. For example, in 1990, DAWIA assigned the Under Secretary of Defense for Acquisition responsibility for recommending funding levels needed to implement acquisition training programs. This responsibility was transferred to the DOD Acquisition Executive positions that succeeded the Under Secretary of Defense for Acquisition, including the Under Secretary of the Defense for Acquisition, Technology and Logistics (USD (AT&L)). As of June 2019, the responsibility resides with the Under Secretary of Defense for Acquisition and Sustainment (USD (A&S)). USD (A&S) is also responsible for designating functional leaders to oversee different aspects of DOD acquisitions, such as requirements development. DOD policy also identified certain officials to help meet the acquisition-training responsibilities of USD (A&S) (see table 1).

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11See DODI 5000.57; DODI 5000.66.
### Defense Acquisition University

DAWIA also directed the Secretary of Defense to establish a DAU to provide for (1) the professional educational development and training of the acquisition workforce; and (2) research and analysis of defense acquisition policy issues from an academic perspective. In implementing this aspect of DAWIA, DOD established that DAU is responsible for providing the training necessary to develop qualified DOD acquisition personnel. DAU delivers this training through traditional classroom-based courses, online training modules, and acquisition workshops where instructors develop and deliver customized training to support a particular...
acquisition. Additionally, DAU provides a variety of tools and resources to assist personnel performing acquisition-related functions, including the Acquisition Requirements Roadmap Tool, the Defense Acquisition Guidebook, and the Service Acquisition Mall.

For fiscal year 2018, DAU reported it employed approximately 600 faculty and staff to execute its mission. According to the DAU Director for Performance and Resource Management, these personnel positions are exclusively funded with DAU’s Operations and Maintenance funds. DAU also receives funding from the Defense Acquisition Workforce Development Fund (DAWDF) to develop course materials and facilitate faculty travel. However, DAU officials stated that they do not apportion those funds to specific courses. Table 2 presents DAU’s funding from fiscal years 2016 through 2018.

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Operations and Maintenance funds</th>
<th>Defense Acquisition Workforce Development Fund</th>
<th>Total funding by year</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>$137 million</td>
<td>$79 million</td>
<td>$216 million</td>
</tr>
<tr>
<td>2017</td>
<td>$138 million</td>
<td>$63 million</td>
<td>$201 million</td>
</tr>
<tr>
<td>2018</td>
<td>$140 million</td>
<td>$80 million</td>
<td>$220 million</td>
</tr>
</tbody>
</table>

Source: GAO analysis of DOD information. | GAO-19-556

Note: All figures are rounded to the nearest million.

DOD Has Identified Many Non-Acquisition Personnel Performing Acquisition-Related Functions, but Progress Lags in Services Acquisitions

DOD has implemented two of three key initiatives to identify non-acquisition personnel supporting acquisitions, but has not yet completed steps needed to implement the third, which is focused on identifying non-acquisition personnel contributing to services acquisitions. Over the past several years, DOD has established processes and systems to identify non-acquisition personnel who perform two important acquisition-related

14DAWDF funds may also be used to pay for students to travel to DAU for classroom instruction.
functions—requirements development and contract oversight. As of October 2018, DOD had identified approximately 4,000 requirements development positions for defense acquisition programs, and approximately 90,000 individuals serving as CORs for various types of product and service acquisitions. DOD’s efforts to identify non-acquisition personnel supporting services acquisitions have been unsuccessful. In April 2016, the USD (AT&L) directed a team comprised of representatives from OSD, the Air Force, and DAU to develop a schedule for identifying these personnel by October 2016. However, the team did not complete this task by March 2019 when the USD (A&S) directed the team to focus on other issues. The USD (A&S) has not yet reassigned responsibility for these tasks, but the need remains, as DOD still has not established how and when it will identify non-acquisition personnel contributing to services acquisitions. DOD does not have efforts underway to identify non-acquisition personnel who help perform important market research and source selection functions. OSD officials stated that the administrative costs necessary to identify them would exceed the associated benefits.

DOD Has Made Significant Progress Identifying Non-Acquisition Personnel Who Develop Requirements for Major Acquisition Programs

Each military department has identified the non-acquisition civilian and military positions within their respective organizations that are responsible for developing requirements for their defense acquisition programs. The Joint Requirements Oversight Council (JROC) is generally responsible for reviewing DOD’s joint requirements development process, and JROC leadership has worked with DAU leadership and USD (A&S)—and prior to that USD (AT&L)—to identify requirements development positions across DOD. The JROC’s efforts were largely in response to the National Defense Authorization Act for Fiscal Year 2007, which directed USD (AT&L), in consultation with DAU, to establish a training program to certify civilian and military personnel who develop requirements for major defense acquisition programs.

\[15\] See Joint Staff CJCSI 5123.01H, Charter of the Joint Requirements Oversight Council (JROC) and Implementation of the Joint Capabilities Integration and Development System (JCIDS) (Aug. 31, 2018); 10 U.S.C. § 181.

DOD established five DAU requirements development courses. Non-acquisition personnel are required to complete some or all of the courses, depending on their level of responsibility in the requirements development process. Our review of DAU’s training curriculum found that the courses address topics such as analyzing users’ needs, coordinating across organizations, and creating and validating requirements documents.

To identify personnel who should be enrolled in the training program, in 2012, the JROC directed each of the services, combatant commands, and other DOD components to establish a Component Appointed Representative (CAR) for the requirements development positions. These CARs are responsible for identifying all of the civilian and military positions in their respective departments that would need certification to develop requirements for defense acquisition programs. The CARs are also responsible for providing the Joint Staff periodic updates on these positions. As of October 2018, the CARs had identified approximately 4,000 civilian and military requirements development positions across DOD (see figure 1).

17See DOD, Manual for the Operation of the Joint Capabilities Integration and Development System (Jan. 19, 2012). DOD’s combatant commands provide command and control of military forces with specific geographic or functional missions, for example the Africa Command and the Transportation Command.
Each of the military departments has also established personnel codes to identify and track military non-acquisition personnel supporting requirements development by name once they have completed the required training. To do so, the military departments apply specific codes to individuals’ electronic personnel files that identify the individual’s past training and experience, including whether they have previously served in a requirements development position. Military department officials told us it is particularly important to identify military personnel in this manner because these personnel come from and regularly return to their primary military occupations, whereas civilian non-acquisition personnel often remain in their requirements development positions for longer periods of time. For example, Navy requirements personnel told us that members of their community often serve as naval aviators or surface warfare officers before becoming requirements developers, and that many of these individuals return to those positions after a 2-year period.
DOD Has Made Significant Progress Identifying Non-Acquisition Personnel Overseeing Contract Execution

DOD has also made progress in identifying non-acquisition personnel who perform contract oversight responsibilities. We found that Defense Pricing and Contracting (DPC)—the office responsible for this effort—identified approximately 90,000 individuals as CORs from fiscal years 2016 through 2018, and approximately 70 percent of these CORs were non-acquisition personnel.

DOD’s efforts to identify civilian and military personnel responsible for overseeing contracts trace back to the National Defense Authorization Act for Fiscal Year 2007, which directed DOD to establish a panel to review areas vulnerable to fraud, waste, and abuse in the defense contracting system, and to make recommendations to eliminate those vulnerabilities. In 2008, this panel recommended that DOD develop a standard for COR certification, with minimums for competencies, experience, and training. Following this recommendation, in 2011, DOD implemented the web-based Contracting Officer Representative Tracking (CORT) tool as a management application to identify personnel serving as CORs, including both acquisition and non-acquisition personnel, and document the standards those personnel have achieved. In February 2014, the USD (AT&L) issued a memorandum to generally require that all military departments and defense agencies use the CORT tool for all contracts where a COR has been designated.

When DOD’s contracting officers delegate responsibility for contract monitoring to a COR, they use the CORT tool to record the decision and to verify the CORs have taken the appropriate training. DOD has established three levels of competency, training, and experience standards for CORs depending on their contracts’ dollar values, complexity, and risk. DOD policy also establishes minimum training

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19See USD (AT&L), “Update to the Department of Defense Contracting Officer Representative Tracking Tool” (Feb. 10, 2014).
20See DODI 5000.72, DOD Standard for Contracting Officer’s Representative (COR) Certification (Mar. 26, 2015). The Office of Federal Procurement Policy (OFPP) issued guidance in 2011 for the certification of Contracting Officer’s Representatives. That guidance stated that it did not apply to DOD, which would continue to follow its own policy. See OFPP, Revisions to the Federal Acquisition Certification for Contracting Officer’s Representatives (FAC-COR) (Sept. 6, 2011).
requirements for CORs based on their specific individual responsibilities. For example, certain CORs would be required to take some or all of the following courses through DAU: Contracting Officer’s Representative Course, Contracting Officer’s Representative with a Mission Focus, and Contracting Officer’s Representatives in a Contingency Environment. DOD policy also allows components to set additional training requirements for their respective organizations. See figure 2 for screenshots of the CORT tool.
Figure 2: Screenshots of the Contracting Officer Representative Tracking Tool

DPC officials stated they use the CORT tool to verify contracting officers are designating CORs appropriately and ensuring the CORs receive the appropriate training. DPC officials plan to expand the tool to include all DOD contracts, regardless of whether the contracting officer has designated a COR to serve on the contract. DPC officials told us identifying all DOD contracts will decrease the likelihood that they may
not be aware of a contract where the contracting officer has delegated responsibilities to a COR.

DOD Has Made Limited Progress Identifying Non-Acquisition Personnel Supporting Services Acquisitions

In contrast to DOD’s efforts to identify non-acquisition workforce personnel developing requirements for defense acquisition programs and performing contract oversight, DOD has made limited progress in identifying non-acquisition personnel supporting services acquisitions. Non-acquisition personnel can contribute to various aspects of services acquisitions, such as helping acquisition personnel plan for acquisitions, assess offers submitted by contractors, and subsequently ensure contractors adhere to contract terms. In September 2011, we reviewed 29 services acquisition contracts and found that non-acquisition personnel with acquisition-related responsibilities represented more than half of the 430 individuals who contributed to the contracts in our review.\textsuperscript{21} We also found that no DOD organization was responsible for overseeing non-acquisition personnel with acquisition-related responsibilities for services. Further, no DOD organization had systematically identified this population or the competencies the personnel needed to successfully perform their acquisition duties. At the time, DOD officials told us it was challenging to identify the population, in part, because it was transient and dispersed across many DOD organizations. We concluded that DOD did not have sufficient oversight or assurance that the right people with the right skills were involved in the critical phases of services acquisition to ensure successful outcomes.

We recommended that the Secretary of Defense take three actions to help improve services acquisitions:

- Designate an organization that has the responsibility for tracking DOD’s progress in identifying, developing, and overseeing non-acquisition personnel with acquisition-related responsibilities;
- Assess what critical skills non-acquisition personnel with acquisition-related responsibilities might require to perform their acquisition duties; and

\textsuperscript{21}GAO-11-892.
• Establish criteria and a time frame for identifying non-acquisition personnel with acquisition-related responsibilities.

DOD concurred with these three recommendations. In 2013, the Director of Defense Procurement and Acquisition Policy (DPAP)—then DOD’s functional leader for services acquisitions—designated a newly formed team as the organization responsible for overseeing non-acquisition personnel who contribute to services acquisitions.22 The charter for this body, which is called the Services Acquisition Functional Integrated Product Team (FIPT), stated that the team would address our recommendations. As outlined in the team’s charter, the Services Acquisition FIPT was to help identify and train acquisition and non-acquisition personnel executing all aspects of services acquisitions.23 The DPAP Director would lead the FIPT, while the military departments, defense agencies, and DAU would provide additional support (see figure 3).


In an April 2016 memorandum, the USD (AT&L) identified a need to address issues that related to our two remaining recommendations: DOD should (1) assess the critical skills non-acquisition personnel might require to support acquisition duties, and (2) establish criteria and a
The USD (AT&L) delegated the Director of DPAP (now called DPC), DAU, and the Air Force responsibility for the efforts because they had taken a lead in DOD’s efforts to identify non-acquisition personnel contributing to services acquisitions. USD (AT&L) specifically directed them to identify appropriate training for personnel supporting services acquisitions, and to take steps to identify acquisition and non-acquisition personnel contributing to services acquisitions. The USD (AT&L) explicitly required the Director of DPAP, DAU, and the Air Force to develop an integrated master schedule for identifying these personnel by October 2016, and stated that the efforts should involve policy updates, the development of competency-based training, and resource proposals. DOD subsequently addressed our recommendation to assess critical skills when it identified appropriate training, but not our recommendation involving the identification of personnel (see table 3).

\(^{24}\)USD (AT&L), “Establishment of the Services Acquisition Manager Functional Area” (Apr. 15, 2016).
### Table 3: DOD Actions Following GAO Recommendations and Under Secretary of Defense (Acquisition, Technology and Logistics) (USD (AT&L)) Memorandum Addressing Services Acquisitions

<table>
<thead>
<tr>
<th>GAO recommendations (September 2011)</th>
<th>USD (AT&amp;L) memorandum (April 2016)</th>
<th>Department of Defense (DOD) actions (through May 2019)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Designate an organization with responsibility for tracking DOD’s progress in overseeing non-acquisition personnel with acquisition-related responsibilities</td>
<td>N/A</td>
<td>In 2013, the Director of Defense Procurement and Acquisition Policy approved the charter of the Services Acquisition Functional Integrated Product Team (FIPT) that specifically stated it would address GAO’s recommendations.</td>
</tr>
<tr>
<td>Assess the critical skills non-acquisition personnel might require to support acquisitions and improve acquisition outcomes</td>
<td>Identify appropriate training for personnel supporting services acquisitions</td>
<td>In 2017, DOD issued <em>The DOD Handbook for the Training and Development of the Services Acquisition Workforce</em>, which identifies the competencies that personnel—including non-acquisition personnel—need to successfully contribute to services acquisitions, and includes recommended training courses based on an individual’s particular responsibilities. The Services Acquisition FIPT also helped create a core curriculum for services acquisitions at the Defense Acquisition University (DAU).</td>
</tr>
<tr>
<td>Establish criteria and a timeframe for identifying non-acquisition personnel supporting acquisitions</td>
<td>Develop position category descriptions for personnel contributing to services acquisitions a</td>
<td>As of May 2019, Defense Pricing and Contracting (DPC), DAU, and the Air Force had not established identification criteria or developed job specialty descriptions. a</td>
</tr>
</tbody>
</table>

 aDOD officials subsequently recognized after the issuance of the USD (AT&L) memorandum that developing job specialty descriptions more directly applied to services acquisitions rather than position category descriptions, which are for acquisition career fields. Job specialty descriptions articulate the specific duties and functions for specialized areas of acquisition—in this case, services acquisitions—managed by Functional Leaders.

As of May 2019, DPC—DPAP’s successor organization—DAU, and the Air Force had not yet developed job specialty descriptions for non-acquisition personnel supporting services acquisitions, or an integrated master schedule for identifying these individuals. 

Officials from DPC, DAU, the Air Force, the Human Capital Initiatives (HCI) office under USD (A&S), and the 4th Estate Director for Acquisition Career Management (DACM) described to us a series of events that hindered DOD’s progress in identifying non-acquisition personnel contributing to services acquisitions (see figure 4).

25 Job specialty descriptions articulate the specific duties and functions for specialized areas of acquisition—in this case, services acquisitions—managed by Functional Leaders.

26 HCI is the office under USD (A&S) responsible for DOD-wide acquisition workforce strategic planning. The 4th Estate Director for Acquisition Career Management is responsible for the 32 defense agencies and DOD field activities outside the military departments.
In January 2019, the USD (A&S) suspended the activities of all DOD FIPTs, including the Services Acquisition FIPT, while the Director of HCI assessed DOD’s overarching approach to acquisition workforce management. Subsequently, in March 2019, the Director of HCI informed Functional Leaders that the FIPTs could resume their activities, limited to...
completing their annual update documentation to DAU for the training needed for their respective acquisition career fields. However, no decision has been reached as to whether the Services Acquisition FIPT would maintain responsibility for identifying personnel—including non-acquisition personnel—contributing to services acquisitions. The Director of HCI acknowledged the need remains, but the USD (A&S) has not yet determined which office will be assigned this responsibility. Consequently, DOD still has not established how and when it will identify non-acquisition personnel contributing to services acquisitions, or what policy updates and resources may be necessary to identify them.

DOD Does Not Have Efforts Underway to Systematically Identify Non-Acquisition Personnel Performing Market Research or Supporting Source Selections

OSD officials told us that the department does not have efforts in place to systematically identify non-acquisition personnel performing market research or supporting source selections because they do not believe such efforts would provide a good return on investment. OSD officials stated they believe the administrative costs necessary to identify these individuals would exceed the benefits of identifying them, and that there is adequate guidance and training available to these individuals.

OSD officials told us that non-acquisition personnel often perform market research for a relatively short amount of time—sometimes just a few hours—before returning to their primary non-acquisition functions. As such, these officials stated they do not believe it is cost effective to attempt to identify and track non-acquisition workforce personnel who perform market research functions at this time. Nonetheless, OSD officials recognize that non-acquisition personnel often perform this function, and DOD has acknowledged the importance of and need to improve its capabilities to perform market research. DOD has taken steps to improve market research, including:
• In March 2017, DOD issued an updated guide intended to help improve market research efforts when acquiring services. According to DOD, the guide reflected the efforts of a joint working group comprised of members from each of the military departments, the Office of the Secretary of Defense, and DAU. The working group identified best practices for conducting and documenting market research, and established standard processes and reports, with the intent of sharing of market research practices across the department. Further, DPC also established links to various resources and training opportunities for market research on its website.

• DOD’s January 2018 commercial item guidebook includes sections on using market research to help understand what capabilities exist in the commercial market place that might meet DOD’s needs. As noted in the guidebook, the ability to acquire affordable products and services significantly improves when there is an in-depth knowledge of the market and market trends. The handbook further notes that market research should occur multiple times during an acquisition and should not be confined either to initial market research or to market research to determine price reasonableness. Lastly, the handbook notes that the quality of the market research affects the quality of competition, and a DOD component should ensure sufficient resources are available to conduct market research.

Similarly, OSD officials told us non-acquisition personnel supporting source selections often provide this support for a limited amount of time, on a part-time basis. When personnel support source selections over a longer period of time (e.g., for a major defense acquisition program), OSD officials told us that DAU and the military departments generally provide workshops to train these personnel, including non-acquisition personnel. Additionally, DPC’s website has links to resources and training.

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opportunities, including DAU’s Source Selection course, for individuals who will participate in source selections. As with market research, OSD officials stated they did not believe it would be cost effective to attempt to identify and track non-acquisition personnel who perform source selection activities at this time.

DOD Does Not Comprehensively Identify Non-Acquisition Personnel’s Need for Acquisition Training, but Does Provide Them Access to Online Courses

DOD does not comprehensively identify non-acquisition personnel’s need for acquisition-related training, as required. DOD policy requires DOD components (e.g., the military departments and defense agencies) to provide DAU their training requirements for non-acquisition personnel with acquisition-related duties as part of their annual budgeting process. However, we found the components only provided DAU this information for requirements development personnel. As a result, the department cannot determine the extent to which it is meeting all non-acquisition personnel’s acquisition-training needs.

Our work found that, on average, from fiscal years 2016 through 2018, non-acquisition personnel constituted over half of DAU’s online course enrollments and about 10 percent of DAU’s classroom enrollments (see figure 5).

29See DODI 5000.57.
DAU also offers acquisition training through workshops focused on topics such as services acquisitions and source selection. For example, DAU offered 58 different types of workshops in 2018, but it does not currently maintain data on the number of times it delivered the different types of workshops or the number of participants in each of them. DAU officials told us that non-acquisition personnel have often participated in the workshops, and that DAU is working to better track their participation and the number of workshops it has delivered. DAU personnel also told us they would like to provide more workshops going forward, but they are relatively resource intensive, which restricts their offerings.

Conversely, DAU officials said their online courses are not resource intensive, and that they started taking steps to address capacity limits for online training course enrollment during fiscal year 2011. In fiscal year 2018, DAU transitioned its online courses to a new learning management
system that removed all enrollment capacity limitations. DAU now provides all DOD personnel—as well as personnel from other government agencies and industry—to access its online training courses. Through these online training courses, DOD’s non-acquisition personnel can access introductory-level training focused on topics such as requirements development, conducting market research, and serving as a contracting officer’s representative.

DAU also offers more advanced courses—not available online—that provide training on how acquisition and non-acquisition personnel contribute to services acquisitions and support source selections, among other things. To manage the inherent capacity constraints of these classroom-based courses, DAU has used a classroom enrollment policy since 2001 that provides DOD’s acquisition personnel higher priority access to these courses than DOD’s non-acquisition personnel (see figure 6).30

30DAU officials told us their classroom enrollment policy does not apply to DAU’s requirements development courses, explaining non-acquisition personnel responsible for requirements development are consistently provided access to these courses.
Figure 6: Defense Acquisition University’s (DAU) Priority Level Criteria for Access to Its Classroom Courses for Acquisition-Related Training

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Acquisition personnel - DOD training required to achieve certification requirements for position</td>
</tr>
<tr>
<td>2</td>
<td>Acquisition personnel - DOD training requested for certification at higher level than required for current position</td>
</tr>
<tr>
<td>3</td>
<td>Acquisition personnel - DOD cross-certification in another career field, other than primary position</td>
</tr>
<tr>
<td>4</td>
<td>Non-acquisition personnel - DOD training requested to perform acquisition-related functions</td>
</tr>
<tr>
<td>5</td>
<td>Other personnel - federal civilian agencies, industry, or walk-ins</td>
</tr>
</tbody>
</table>

Source: GAO analysis of DAU policy. | GAO-19-556

Note: DAU also applies these criteria to courses led virtually by an instructor, but not to classroom courses for the requirements development curriculum.

DAU officials believe this prioritization system is appropriate given that DAWIA established that a primary mission of DAU is to train DOD acquisition personnel. However, DAU lacks a complete understanding of non-acquisition personnel’s need for acquisition training. As noted above, DOD policy requires DOD components to provide DAU annual training requirements for non-acquisition personnel. Specifically, DOD Instruction 5000.57 states that DOD Component Heads, acting through their Component Acquisition Executives (CAE), will “provide to DAU their annual student training requirements, and associated budgetary requirements for travel and per diem for Defense Acquisition Workforce personnel […] and non-acquisition personnel with acquisition related

The instruction also states that the President of DAU should use this information to help develop DAU’s resourcing requirements, and that the DAU President should submit these requirements through DOD’s planning, programming, budgeting, and execution process—the process DOD uses each year to identify and prioritize resource requirements, and allocate funding to the military departments and defense agencies, including DAU.\textsuperscript{32}

We found, however, that this is not happening in practice. The CAEs have instead assigned responsibility to their respective DACMs to provide DAU their organizations’ annual training needs. According to DOD policy, however, the DACMs are not responsible for non-acquisition personnel, and instead are responsible for ensuring acquisition personnel receive appropriate training.\textsuperscript{33} Further, the DACMs we interviewed told us they do not provide DAU information about non-acquisition personnel training needs for this reason. Instead, they focus on providing DAU information about acquisition personnel training needs. The CARs, which are responsible for identifying non-acquisition personnel who are requirements developers, provide information about requirements development training needs, but that is the only area in which components communicate training needs for non-acquisition personnel to DAU (see figure 7).


\textsuperscript{33}See DODI 5000.66.
DAU leadership—particularly the DAU Director for Performance and Resource Management—has some insight into non-acquisition personnel’s unmet need for classroom training through its course waitlists, but officials we spoke with said non-acquisition personnel often do not attempt to enroll in classroom training courses because they know they are a low priority. As a result, DAU’s waitlists do not reflect non-acquisition personnel’s actual need for classroom training.

The CAEs have not accounted for many non-acquisition personnel, as required by DOD policy, because the CAEs have relied on their respective DACMs—who are primarily responsible for acquisition personnel—to provide DAU their organizations’ annual training needs. As a result, DAU leadership lacks complete data to help determine the extent to which DAU is meeting non-acquisition personnel’s need for acquisition-related training, increasing the risk that DAU is not providing non-acquisition personnel the knowledge and skills needed to contribute effectively to the department’s acquisitions.
Conclusions

DOD has taken several positive steps to better identify and train non-acquisition personnel supporting acquisitions, particularly in the areas of requirements development and contract oversight. However, from 2013 to 2019, DOD made limited progress in identifying non-acquisition personnel contributing to services acquisitions. To date, the department has not yet developed job specialty descriptions for these personnel, or established a schedule for identifying them as USD (AT&L) directed. Further, there currently is no office or official designated to do so, hindering efforts to complete these tasks. Given that half of DOD’s contract dollars are spent on services acquisitions, ensuring that non-acquisition personnel who perform acquisition-related functions on these acquisitions are identified and appropriately trained may help DOD improve how it acquires contract services.

With regard to training of non-acquisition personnel, DAU is not being provided information on the training needs of non-acquisition personnel. Under DOD policy, the CAEs are responsible for doing so. The CAEs rely upon their DACMs to provide DAU with their training needs, but the DACMs are typically not responsible for non-acquisition personnel and have not provided DAU the required information. Ensuring that designated officials carry out their responsibilities to provide DAU data on the training needs of non-acquisition personnel can help inform decisions on resource requirements and the most appropriate ways to meet these needs. Until DOD takes these actions, there is greater likelihood that non-acquisition personnel may not be positioned to help DOD successfully obtain the goods and services it needs.

Recommendations for Executive Action

We are making the following two recommendations to the Secretary of Defense:

The Secretary of Defense should ensure that the Under Secretary of Defense for Acquisition and Sustainment designates an accountable official responsible for (a) developing job specialty descriptions to help identify non-acquisition personnel supporting services acquisitions; and (b) establishing a schedule to identify these personnel. (Recommendation 1)
The Secretary of Defense should ensure that the Component Acquisition Executives provide non-acquisition personnel training needs to the Defense Acquisition University as part of the annual planning, programming, budgeting, and execution process. (Recommendation 2)

Agency Comments and Our Evaluation

We provided a draft of this report to DOD for review and comment. DOD provided written comments, which are reprinted in appendix III, and concurred with our two recommendations. In concurring with our recommendation to designate an accountable official responsible for (a) developing job specialty descriptions to help identify non-acquisition personnel supporting services acquisitions, and (b) establishing a schedule to identify these personnel, DOD described the role of OSD and the DOD components. DOD noted that OSD would develop and provide the guidance and job specialty descriptions for components to use for identifying acquisition and non-acquisition personnel supporting services acquisitions. DOD also noted that the Director of HCl has deployed an enterprise-wide coding capability for components to use in identifying acquisition and non-acquisition civilians across DOD. Both of these actions are positive steps, and the multiple organizations involved in the actions further illustrate the need to designate an accountable official responsible for efforts to help identify non-acquisition personnel supporting services acquisitions. DOD also provided technical comments, which we incorporated as appropriate.

We are sending copies of this report to the appropriate congressional committees; the Secretary of Defense; the Secretaries of the Army, the Air Force, and the Navy; the Under Secretary of Defense for Acquisition and Sustainment; and the President, Defense Acquisition University. In addition, the report is also available at no charge on the GAO website at http://www.gao.gov.

If you or your staff have any questions about this report, please contact me at (202) 512-4841 or dinapolit@gao.gov. Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. GAO staff who made key contributions to this report are listed in appendix IV.
Timothy J. DiNapoli
Director, Contracting and National Security Acquisitions
List of Committees

The Honorable James M. Inhofe
Chairman
The Honorable Jack Reed
Ranking Member
Committee on Armed Services
United States Senate

The Honorable Richard Shelby
Chairman
The Honorable Dick Durbin
Ranking Member
Subcommittee on Defense
Committee on Appropriations
United States Senate

The Honorable Adam Smith
Chairman
The Honorable Mac Thornberry
Ranking Member
Committee on Armed Services
House of Representatives

The Honorable Pete Visclosky
Chairman
The Honorable Ken Calvert
Ranking Member
Subcommittee on Defense
Committee on Appropriations
House of Representatives
Section 843(d) of the National Defense Authorization Act for Fiscal Year 2018 included a provision for us to review steps the Department of Defense (DOD) has taken to ensure non-acquisition personnel receive appropriate acquisition-related training, including:

(a) the extent to which non-acquisition workforce personnel play a significant role in defining requirements, conducting market research, participating in source selection and contract negotiation efforts, and overseeing contract performance;

(b) the extent to which DOD is able to identify and track non-acquisition workforce personnel performing the roles identified in (a);

(c) the extent to which non-acquisition workforce personnel are taking acquisition training;

(d) the extent to which Defense Acquisition Workforce Development Funds (DAWDF) have been used to provide acquisition training to non-acquisition workforce personnel;

(e) the sources of funding other than DAWDF that are available to and used by DOD to provide non-acquisition workforce personnel with acquisition training; and

(f) the extent to which additional acquisition training is needed for non-acquisition workforce personnel, including the types of training needed, the positions that need training, and any challenges to delivering necessary training.\(^1\)

This report examines the extent to which DOD can identify: (1) non-acquisition personnel supporting acquisitions; and (2) non-acquisition personnel supporting acquisitions.

personnel’s acquisition training needs. We did not examine the extent to which DOD has identified non-acquisition personnel negotiating contracts because we determined non-acquisition personnel are not authorized to negotiate contracts. We made this determination based on our review of the Federal Acquisition Regulation, which states that negotiations are exchanges that allow offerors to revise their proposals, and that the discussions regarding these proposals must be conducted by contracting officers, who are members of the acquisition workforce.  

To assess the extent to which DOD has identified non-acquisition personnel supporting acquisitions, we reviewed three key DOD initiatives intended to identify non-acquisition personnel: (1) developing requirements for defense acquisition programs; (2) overseeing contracts for products and services; and (3) contributing to services acquisitions more generally. We also reviewed DOD efforts to identify non-acquisition personnel performing market research and supporting source selections, two important aspects of all acquisitions. To understand requirements for DOD to identify such personnel, we reviewed relevant statutes, federal and defense acquisition regulations, and DOD instructions and policies. To understand DOD’s processes for identifying these personnel, we reviewed memorandums from acquisition leaders, charters from teams responsible for identifying requirements developers and non-acquisition personnel who contribute to services acquisitions, the user guide for a system that tracks non-acquisition personnel overseeing contracts—DOD’s Contracting Officer Representative Tracking (CORT) tool—and other key documents. We also reviewed personnel documentation identifying non-acquisition personnel with requirements development or contract oversight responsibilities. To supplement this documentation, we interviewed officials from the military departments and the Defense Acquisition University (DAU) that are responsible for identifying requirements developers, representatives from the Office of Defense Pricing and Contracting (DPC) responsible for implementing the CORT tool, and DPC and Air Force officials responsible for identifying non-acquisition personnel contributing to services acquisitions. Additionally, we interviewed DOD acquisition personnel and DAU officials to understand how DOD approaches non-acquisition personnel conducting market research and supporting source selections.

2See Federal Acquisition Regulation § 15.306(d)(1) and (3).
To assess the extent to which DOD has identified non-acquisition personnel’s acquisition-related training needs, we interviewed OSD and military department officials responsible for acquisition training. These individuals included DAU’s Director for Performance and Resource Management and its learning directors for services acquisitions and contracting, and each of DOD’s Directors for Acquisition Career Management or their representatives. Through our discussions, we determined that the military departments do not centrally manage the acquisition-related training for non-acquisition personnel. As a result, we focused on the training provided by DAU based on its established role in DOD policy. To understand DAU’s responsibilities for training non-acquisition personnel, we interviewed DAU officials responsible for developing its curriculum and training schedule, and reviewed DOD Instructions and DAU’s operating policies, including its policy for enrolling students. To supplement this documentation, at each military department, we interviewed senior acquisition officials responsible for enrolling their personnel in DAU courses to understand how they coordinate with DAU. We also reviewed DAU training data from fiscal years 2016 through 2018 to determine the amount of training DAU provided, how DAU delivered that training—online versus classroom courses—and the number of non-acquisition personnel who received the training. To determine the data were reliable for reporting the number of non-acquisition personnel enrolled in DAU training, we interviewed the DAU official responsible for maintaining DAU’s enrollment data, and reviewed pertinent documents such as DAU’s guidance for building the academic schedule to understand the processes and procedures for student enrollment. We found these data to be reliable for reporting the number of non-acquisition personnel enrolled in DAU training. Additionally, we reviewed DAU’s curriculum and identified courses related to requirements development, market research, source selection, contract negotiation, and contract oversight. To determine the extent of the use of DAWDF, we reviewed the Office of Human Capital Initiatives’ annual DAWDF reports for the amounts of these funds provided to DAU. We also reviewed the Operations and Maintenance funds documents provided by the Office of the Under Secretary of Defense (Comptroller) to determine the amount of these funds budgeted for DAU for fiscal years 2016 to 2018.

3See DOD Instruction 5000.57, Defense Acquisition University (DAU) (Aug. 31, 2018).

4Appendix II provides a list of DAU courses that address the functions that we reviewed in this report.
We conducted this performance audit from July 2018 to September 2019 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.
Appendix II: Defense Acquisition University Courses That Provide Training Relevant to Selected Acquisition-Related Functions

In fiscal year 2018, the Defense Acquisition University (DAU) offered 57 courses associated with the performance of each, or a multiple, of the following acquisition-related functions: requirements development, market research, source selection, contract negotiation, and contract oversight. Table 4 identifies these courses and how DAU delivered them—online versus classroom.

<table>
<thead>
<tr>
<th>DAU Course Code</th>
<th>Course Title</th>
<th>Acquisition-Related Function(s)</th>
<th>Course Delivery</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACQ 165</td>
<td>Defense Acquisition of Services</td>
<td>Multiple</td>
<td>Online</td>
</tr>
<tr>
<td>ACQ 265</td>
<td>Mission-Focused Services Acquisition</td>
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<td>ACQ 340</td>
<td>Advanced International Management Workshop</td>
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<td>ACQ 380</td>
<td>International Acquisition Management</td>
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<tr>
<td>CLB 040</td>
<td>Should-Cost Management</td>
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<tr>
<td>CLC 004</td>
<td>Market Research</td>
<td>Market research</td>
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<td>CLC 006</td>
<td>Contract Terminations</td>
<td>Contract oversight</td>
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<td>CLC 007</td>
<td>Contract Source Selection</td>
<td>Source selection</td>
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<td>CLC 013</td>
<td>Services Acquisition</td>
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<td>Contract Negotiation Techniques</td>
<td>Contract negotiation</td>
<td>Online</td>
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<td>CLC 055</td>
<td>Competition Requirements</td>
<td>Multiple</td>
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<td>CLC 106</td>
<td>Contracting Officer’s Representative with a Mission Focus</td>
<td>Contract oversight</td>
<td>Online</td>
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<tr>
<td>CLC 206</td>
<td>Contracting Officer’s Representatives in a Contingency Environment</td>
<td>Contract oversight</td>
<td>Online</td>
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<tr>
<td>CLC 222</td>
<td>Contracting Officer’s Representative Online Training</td>
<td>Contract oversight</td>
<td>Online</td>
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<td>CLE 017</td>
<td>Technical Planning</td>
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<tr>
<td>CLE 028</td>
<td>Market Research for Engineering and Technical Personnel</td>
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<td>CLL 039</td>
<td>Product Support Requirements Identification</td>
<td>Requirements development</td>
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<tr>
<td>CLM 005</td>
<td>Industry Proposals and Communication</td>
<td>Source selection</td>
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<tr>
<td>CLM 059</td>
<td>Fundamentals of Small Business for the Acquisition Workforce</td>
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<td>CLR 030</td>
<td>Environment, Safety, and Occupational Health of JCIDS</td>
<td>Requirements development</td>
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<tr>
<td>CLR 101</td>
<td>Introduction to Joint Capabilities Integration and Development System</td>
<td>Requirements development</td>
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<tr>
<td>CLR 151</td>
<td>Analysis of Alternatives</td>
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<td>CLR 250</td>
<td>Capabilities-Based Assessment</td>
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<td>Developing Performance Attributes</td>
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<td>CLV 020</td>
<td>Baseline Maintenance</td>
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<td>CMA 100</td>
<td>Fundamentals of Government Flight Representative and Ground Government Flight Representative</td>
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<td>Online</td>
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<td>CMA 241</td>
<td>Government Flight and Ground Representative</td>
<td>Contract oversight</td>
<td>Classroom</td>
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<tr>
<td>CMC 100</td>
<td>Contract Administration Fundamentals</td>
<td>Contract oversight</td>
<td>Online</td>
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<tr>
<td>CMC 130</td>
<td>Introduction to Indirect Cost Rates</td>
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<tr>
<td>CMC 150</td>
<td>Introduction to Terminations</td>
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<td>Online</td>
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<tr>
<td>CME 201</td>
<td>Engineering Surveillance</td>
<td>Contract oversight</td>
<td>Online</td>
</tr>
<tr>
<td>CMI 100</td>
<td>Integrated Program Reporting Basics</td>
<td>Contract oversight</td>
<td>Online</td>
</tr>
<tr>
<td>CMI 103</td>
<td>DCMA First-Level Supervisor Support to NASA</td>
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<td>Online</td>
</tr>
<tr>
<td>CMI 140</td>
<td>Multifunctional Surveillance of Prime Suppliers’ Control of Subcontractors</td>
<td>Contract oversight</td>
<td>Online</td>
</tr>
<tr>
<td>CMI 207</td>
<td>DCMA Multifunctional Support to NASA</td>
<td>Contract oversight</td>
<td>Online</td>
</tr>
<tr>
<td>CON 121</td>
<td>Contract Planning</td>
<td>Multiple</td>
<td>Online</td>
</tr>
<tr>
<td>CON 124</td>
<td>Contract Execution</td>
<td>Contract oversight</td>
<td>Online</td>
</tr>
<tr>
<td>CON 127</td>
<td>Contract Management</td>
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<td>Online</td>
</tr>
<tr>
<td>CON 200</td>
<td>Business Decisions for Contracting</td>
<td>Multiple</td>
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</tr>
<tr>
<td>CON 243</td>
<td>Architect-Engineer Contracting</td>
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<tr>
<td>CON 244</td>
<td>Construction Contracting</td>
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<td>CON 270</td>
<td>Intermediate Cost and Price Analysis</td>
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<td>CON 280</td>
<td>Source Selection and Administration of Services Contracts</td>
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<td>CON 290</td>
<td>Contract Administration and Negotiation Techniques in a Supply Environment</td>
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<td>COR 206</td>
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<td>COR 222</td>
<td>Contracting Officer’s Representative Course</td>
<td>Contract oversight</td>
<td>Classroom</td>
</tr>
</tbody>
</table>
### DAU Course Code | Course Title | Acquisition-Related Function(s) | Course Delivery
--- | --- | --- | ---
HBS 305 | Negotiating for Results, High Bandwidth | Contract negotiation | Online
HBS 428 | Negotiating | Contract negotiation | Online
RQM 110 | Core Concepts for Requirements Management | Requirements development | Online
RQM 310 | Advanced Concepts and Skills for Requirements Management | Requirements development | Classroom
RQM 403 | Requirements Executive Overview Workshop | Requirements development | Classroom
RQM 413 | Senior Leader Requirements Course | Requirements development | Online
SBP 101 | Introduction to Small Business Programs, Part A | Multiple | Online
SBP 102 | Introduction to Small Business Programs, Part B | Multiple | Classroom
SBP 201 | Intermediate Small Business Programs, Part A | Multiple | Online
SBP 202 | Intermediate Small Business Programs, Part B | Multiple | Classroom
SBP 210 | Subcontracting | Contract oversight | Classroom

Source: GAO analysis of DAU information. | GAO-19-556
Appendix III: Comments from the Department of Defense

[Letter from Kevin M. Fahey, Assistant Secretary of Defense for Acquisition, to Mr. Timothy J. DiNapoli, Director, Contracting and National Security Acquisitions, U.S. Government Accountability Office.]

Dear Mr. DiNapoli,

This is the Department of Defense (DoD) response to the GAO Draft Report GAO-19-556, “DEFENSE WORKFORCE: Steps Needed to Identify Acquisition Training Needs for Non-Acquisition Personnel,” dated August 2019 (GAO Code 102913). The Department appreciates the effort of the GAO and the opportunity to comment on the final report.

The Department acknowledges receipt of the draft report and notes that DoD’s official written comments will be included in the final report. The DoD concurs with both of GAO’s recommendations as described in the enclosure.

My point of contact is Adam N. Stroup, Defense Acquisition University, who can be reached at adam.stroup@dau.edu or (703) 805-3309.

Enclosure:
As stated
GAO DRAFT REPORT DATED JUNE 27, 2019
GAO-19-556 (GAO CODE 102913)

“DEFENSE WORKFORCE: STEPS NEEDED TO IDENTIFY ACQUISITION TRAINING NEEDS FOR NON-ACQUISITION PERSONNEL”

DEPARTMENT OF DEFENSE COMMENTS TO THE GAO RECOMMENDATION

RECOMMENDATION 1: The GAO recommends that the Secretary of Defense should ensure that the Under Secretary of Defense for Acquisition and Sustainment designates an accountable official responsible for (a) developing job specialty descriptions to help identify non-acquisition personnel supporting services acquisitions, and (b) establishing a schedule to identify these personnel.

DoD RESPONSE: DoD Concurs. It is important to accurately distinguish between the roles of OSD and the components. OSD would develop and provide the enterprise guidance and job specialty description for components to use for identifying acquisition and non-acquisition personnel supporting services acquisitions. The Director of Human Capital Initiatives (HCI) has deployed an enterprise-wide coding capability, based on using the Defense Civilian Personnel Data System, for components to use in identifying acquisition and non-acquisition civilians across DoD.

RECOMMENDATION 2: The GAO recommends that the Secretary of Defense should ensure that the Component Acquisition Executives provide non-acquisition personnel training needs to the Defense Acquisition University as part of the annual planning, programming, budgeting, and execution process.

DoD RESPONSE: DoD Concurs.
August 19, 2019

Mr. Timothy J. DiNapoli  
Director, Contracting and National Security Acquisitions  
U.S. Government Accountability Office  
441 G Street, N.W.  
Washington DC 20548

Dear Mr. DiNapoli,

This is the Department of Defense (DoD) response to the GAO Draft Report GAO-19-556, "DEFENSEWORKFORCE: Steps Needed to Identify Acquisition Training Needs for Non-Acquisition Personnel," dated August 2019 (GAO Code 102913). The Department appreciates the effort of the GAO and the opportunity to comment on the final report.

The Department acknowledges receipt of the draft report and notes that DoD’s official written comments will be included in the final report. The DoD concurs with both of GAO’s recommendations as described in the enclosure.

My point of contact is Adam N. Stroup, Defense Acquisition University, who can be reached at adam.stroup@dau.edu or (703) 805-3309.

Kevin M. Fahey

Enclosure:  
As stated

**Page 2**

**RECOMMENDATION 1:**

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The GAO recommends that the Secretary of Defense should ensure that the Component Acquisition Executives provide non-acquisition personnel training needs to the Defense Acquisition University as part of the annual planning, programming, budgeting, and execution process.

DoD RESPONSE:

DoD Concurs.
Appendix IV: GAO Contact and Staff Acknowledgments

GAO Contact

Timothy J. DiNapoli at (202) 512-4841 or dinapolit@gao.gov

Staff Acknowledgments

In addition to the contact named above, Nathan Tranquilli (Assistant Director), Stephen V. Marchesani (Analyst-in-Charge), Jon Muchin, and Suzanne Sterling made key contributions to this report. Peter W. Anderson, Lorraine Ettaro, Gina Hoover, Miranda Riemer, and Robin Wilson also made substantial contributions.
Appendix V: Accessible Data

Data Tables

Data Table for Figure 4: DOD Efforts to Identify Non-Acquisition Personnel Contributing to Services Acquisitions Have Not Been Successful

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>April 2016</td>
<td>USD (AT&amp;L) issues memo directing the Services Acquisition Functional Leader to collaborate with the Air Force and DAU to identify non-acquisition personnel contributing to services acquisitions.</td>
</tr>
<tr>
<td>June 2017</td>
<td>Services Acquisition FIPT and 4th Estate DACM prepare to award task order using DAWDF funds to develop capability within the 4th Estate to identify civilian and military non-acquisition personnel contributing to services acquisitions across DOD.</td>
</tr>
<tr>
<td>July 2017</td>
<td>HCI halts effort proposed by the Services Acquisition FIPT and 4th Estate DACM in favor of developing an enterprise-wide solution to identify civilian personnel contributing to services acquisitions.</td>
</tr>
<tr>
<td>December 2017</td>
<td>HCI works to develop codes to identify civilian non-acquisition personnel across DOD in five job specialty areas, including services acquisition.</td>
</tr>
<tr>
<td>May 2018</td>
<td>HCI announces that job specialty codes are available for use and requests implementation plan from Services Acquisition FIPT for services acquisition job specialty code.</td>
</tr>
<tr>
<td>Sept. 2018</td>
<td>Services Acquisition FIPT emphasizes responsibility for developing implementation plan for services acquisition job specialty code should reside with the Air Force DACM.</td>
</tr>
<tr>
<td>Jan. 2019</td>
<td>USD (A&amp;S) suspends all FIPT activity and directs HCI to review DOD’s acquisition workforce management approach.</td>
</tr>
<tr>
<td>March 2019</td>
<td>HCI Director instructs all FIPTs to focus on providing DAU their training requirements for their respective career fields; no decision made on whether Services Acquisition FIPT would maintain responsibility for identifying non-acquisition personnel contributing to services acquisitions.</td>
</tr>
</tbody>
</table>
Appendix V: Accessible Data

Data Tables for Figure 5: Average Annual Defense Acquisition University Student Enrollment by Course Delivery for Fiscal Years 2016 through 2018

Online average enrollment.

<table>
<thead>
<tr>
<th>Non-acquisition personnel</th>
<th>Acquisition personnel</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>408,038</td>
<td>453,868</td>
<td>861,906</td>
</tr>
</tbody>
</table>

Classroom average enrollment.

<table>
<thead>
<tr>
<th>Non-acquisition personnel</th>
<th>Acquisition personnel</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>4,436</td>
<td>39,452</td>
<td>43,888</td>
</tr>
</tbody>
</table>

Data Table for Figure 7: Department of Defense (DOD)'s Process for Informing the Defense Acquisition University (DAU)'s Annual Resource Request

<table>
<thead>
<tr>
<th>Component</th>
<th>Acquisition Executives</th>
<th>DOD Component Acquisition Executives should account for acquisition and non-acquisition personnel when they provide the Defense Acquisition University (DAU) their annual training needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Directors for Acquisition Career Management provide DAU the training needs for acquisition personnel from the military departments and defense agencies</td>
<td>DAU collates provided training needs for acquisition personnel and requirements developers</td>
<td>Under Secretary of Defense for Acquisition and Sustainment (USD (A&amp;S)) receives resource request for acquisition personnel and requirements developers training needs</td>
</tr>
</tbody>
</table>
Component Appointed Representatives provide DAU the training needs for non-acquisition personnel who develop requirements for defense acquisition programs.

| Non-acquisition personnel | No one provides DAU training needs for other non-acquisition personnel | DAU does not collate training needs for other non-acquisition personnel | USD(A&S) does not receive resource request for other non-acquisition personnel training needs |
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