

SPAWAR



ACQUISITION PROGRAM STRUCTURE GUIDE

VOLUME I

Version 1.0
(12 JAN 01)

A compilation of streamlined acquisition guidance to determine program category, documentation requirements and procedures to satisfy major program events.

TABLE OF CONTENTS

VOLUME I

A MESSAGE FROM COMSPAWAR

Philosophy on Acquisition Management.....	iv
Guidance...not Direction.....	iv

1.0 INTRODUCTION

<u>1.1</u> Purpose of the Acquisition Guide.....	1
<u>1.2</u> How to use this Guide.....	1
<u>1.3</u> References.....	2

2.0 ACQUISITION PROGRAM CATEGORIES

<u>2.1</u> General Discussion.....	3
<u>2.2</u> Acquisition Categories.....	4
<u>2.3</u> Guidelines for Determining Acquisition Categories.....	5
<u>2.4</u> Acquisition Category Designation Change.....	6

3.0 PROGRAM DOCUMENTATION

<u>3.1</u> General Discussion.....	8
<u>3.1.1</u> Documentation Matrix.....	9
<u>3.1.2</u> Sources of Documentation Requirements.....	9
<u>3.1.3</u> The New 5000 Series.....	10
<u>3.1.4</u> Documentation in the Acquisition Cycle.....	11
<u>3.1.5</u> Tailoring.....	11
<u>3.2</u> Documentation for ACAT I Programs.....	12
<u>3.3</u> Documentation for ACAT II Programs.....	13
<u>3.4</u> Documentation for ACAT III Programs.....	13
<u>3.5</u> Documentation for ACAT IV Programs.....	14
<u>3.6</u> Documentation for Abbreviated Acquisition Programs (AAPs).....	15
<u>3.7</u> Documentation for Non-Acquisition Programs.....	15

LIST OF ENCLOSURES

<u>Enclosure (1)</u>	Table of Acquisition Categories
<u>Enclosure (2)</u>	ACAT and Abbreviated Acquisition Program Threshold Criteria
<u>Enclosure (3)</u>	Acquisition Category Designation Template
<u>Enclosure (4)</u>	Sample Forms
	<u>NAPDD</u> Format
	Sample <u>ACAT</u> Request/Change for Weapon System
	Sample <u>ACAT</u> Request/Change for IT System

Sample [AAP](#) Designation Request Letter
Sample [OPTEVFOR OT](#) Concurrence Letter
Sample [ADM for ACAT III and IV Programs](#)

[Enclosure \(5\)](#) Acquisition Documentation Matrix
[Enclosure \(6\)](#) Documentation in the Acquisition Cycle
[Enclosure \(7\)](#) Glossary of Terms
[Enclosure \(8\)](#) List of Acronyms

TABLE OF CONTENTS

VOLUME II

4.0 PREPARATION FOR MAJOR PROGRAM EVENTS (Under Construction)

4.1 General Discussion.....	TBD
4.2 Major Program Events.....	TBD
4.3 Guidelines for Preparing for Major Events in the Acquisition Cycle.....	TBD
4.3.1 Procedural Guidance for ASN(RD&A) ACAT I/II Reviews.....	TBD
4.3.2 Procedural Guidance for Program Decision Reviews.....	TBD
4.3.2.1 Preparing for a Milestone 0 Decision.....	TBD
4.3.2.2 Preparing for a Milestone I Decision.....	TBD
4.3.2.3 Preparing for a Milestone II (LRIP) Decision.....	TBD
4.3.2.4 Preparing for a Milestone III (FRP) Decision.....	TBD
4.3.2.5 Preparing for Interim Progress Review (IPR).....	TBD
4.3.3 Procedural Guidance for Readiness Reviews.....	TBD
4.3.3.1 Preparing for OTRR (Operational Test Readiness Review)	TBD
4.3.3.2 Preparing for TRR (Test Readiness Review).....	TBD
4.3.3.3 Preparing for a PRR (Production Readiness Review).....	TBD
4.3.3.4 Preparing for Post Deployment Performance Review.....	TBD
4.3.3.5 Preparing for Integrated Baseline Review (IBR).....	TBD
4.3.4 Procedural Guidance for Technical Reviews and Audits.....	TBD
4.3.4.1 Preparing for an ASR (Alternative Systems Review).....	TBD
4.3.4.2 Preparing for an SRR (System Requirements Review).....	TBD
4.3.4.3 Preparing for a SFR (System Functional Review).....	TBD
4.3.4.4 Preparing for a SSR (Software Specification Review).....	TBD
4.3.4.5 Preparing for a PDR (Preliminary Design Review).....	TBD
4.3.4.6 Preparing for a CDR (Critical Design Review).....	TBD
4.3.4.7 Preparing for a FCA (Functional Configuration Audit).....	TBD
4.3.4.8 Preparing for a SVR (System Verification Review).....	TBD
4.3.4.9 Preparing for a PCA (Physical Configuration Audit).....	TBD

LIST OF ENCLOSURES (Under Construction)

Enclosure (1)	Timelines for Major Program Events
Enclosure (2)	Checklists for Major Program Events
Enclosure (3)	Templates for Major Program Events
Enclosure (4)	Glossary of Terms
Enclosure (5)	List of Acronyms

SPAWAR ACQUISITION PROGRAM GUIDE

A Message from COMSPAWAR

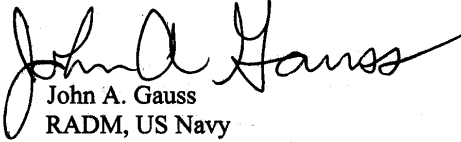
This Guide is a concerted and systematic effort to provide a top-level procedure for managing acquisition programs. Each program has special issues and anomalies, which make it unique. It is the SPAWAR Acquisition Managers, ([Milestone Decision](#) Authorities (MDAs), Program Managers (PMs), Acquisition Program Managers (APMs) and individual Project Managers), who must not only structure the Acquisition Program to conform to existing statutes, but must also tailor the programmatic to the program. The recommendations and procedures within this document are consistent with current directives, applicable to all acquisition programs, flexible enough to allow for program differences, and will add uniformity, traceability, and conformity to all program categories.

This Guide is a COMSPAWAR initiative aimed at implementing a common process for structuring acquisition programs. It is intended to provide you with a resource to execute your acquisition responsibilities in the most timely and effective manner. This Guide will reside in the SPAWAR Acquisition Reform Office (ARO) and will be updated with changes to the DOD/Navy acquisition directives, policies and procedures.

This Guide provides

- **Guidance.**
- **Procedures.**
- **A common process for structuring SPAWAR Acquisition Programs.**

The procedures in this Guide are only as good as the professionals who use them. To take full advantage of opportunities to improve this guidance, I welcome your feedback. Please share your thoughts on this document by directing your comments, in writing, to the Acquisition Reform Office ([00A-AR](#)).


John A. Gauss
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COMSPAWAR

1.0 INTRODUCTION

1.1 PURPOSE OF THE ACQUISITION GUIDE:

The purpose of this Guide is to provide a model for managing acquisition programs and a resource for SPAWAR Acquisition Managers to assist in ensuring their programs are properly structured in accordance with governing regulations and directives. This Guide specifically addresses the management of acquisition programs that reside within SPAWAR.

It is important to recognize the Department of Defense's (DoD's) excellent progress in acquisition reform, which encourages Acquisition Managers to tailor programmatic; however, Acquisition Managers must be committed to ensuring that SPAWAR programs are in compliance with the mandated requirements of [DoD Directive 5000.1](#), [DoD Instruction 5000.2](#), [DoD Regulation 5000.2-R](#) and [SECNAVINST 5000.2B](#). Acquisition Managers must also be committed to ensuring that their programs can be easily reviewed by the MDA, have continuity through archived historical data and take advantage of commonality between programs.

1.2 HOW TO USE THIS GUIDE:

This Guide is organized in a logical and chronological sequence compatible with the sequence of decisions that must be made in order to properly structure acquisition programs. The chronological sequence is prioritized as follows:

- VOLUME I
OF THIS
GUIDE** {
 - ✓ **The first priority is to determine the specific acquisition category of the program.**
 - ✓ **Once the program category has been properly identified, the next priority is to determine the documentation requirements for the program based on its acquisition category.**

- VOLUME II
OF THIS
GUIDE** {
 - ✓ **Finally, the third priority provides a detailed analysis of the preparations required to execute major program events and milestones for each acquisition category (Under Construction).**

To determine the acquisition category for your program, refer to Volume I, Section 2.0 of this Guide titled "[ACQUISITION PROGRAM CATEGORIES](#)". To determine the documentation requirements for your program, refer to Volume I, Section 3.0 of this Guide titled "[PROGRAM DOCUMENTATION](#)". For assistance in preparing for major events in your programs, refer to Volume II, Section 4.0 of this Guide titled "**PREPARATION FOR MAJOR PROGRAM EVENTS**" (Under Construction).

1.3 REFERENCES:

- a. [DoD Directive 5000.1](#) The Defense Acquisition System, **March 15, 1996 (ARCHIVED)**.
- b. [DoD Directive 5000.1](#) The Defense Acquisition System, **October 23, 2000**.
- c. [DoD Instruction 5000.2](#) Operation of the Defense Acquisition System, with Change 1, **January 4, 2001**.
- d. [DoD Regulation 5000.2-R](#) Mandatory Procedures for [Major Defense Acquisition Programs \(MDAPs\)](#) and [Major Automated Information System \(MAIS\)](#) Programs, **March 15, 1996** (changes incorporated May 11, 1999) (**ARCHIVED**).
- e. [DoD Regulation 5000.2-R](#) Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Programs, **January 4, 2001 (INTERIM GUIDANCE)**.
- f. [SECNAV INSTRUCTION 5000.2B](#) Implementation of Mandatory Procedures for Major and Non-Major Defense Acquisition Programs and Major and Non-Major Information Technology Acquisition Programs, **December 6, 1996**.

Note: Refs (a) and (d) are archived but remain valid and applicable along with ref (f) as requirements documents for those programs that fall under the "old" 1996 Acquisition Model. Refs (b), (c) and (e) are applicable requirements documents for programs that fall under the "new" 2000 Acquisition Model. Ref (e) is an interim guidance for the "new" Acquisition Model and is approved on an interim basis while awaiting final approval. Ref (f) is still the governing Navy Instruction based on the "old" Acquisition Model and has not yet been rewritten to reflect the changes in the "new" Acquisition Model. [Section 3.1.3](#) of this Guide provides additional guidance on which version of the Acquisition Regulations to use.

The references cited above and all other applicable reference material for both statutory and regulatory requirements can be found at the Defense Acquisition Deskbook (DAD) website. The Defense Acquisition Deskbook is an automated reference system consisting of an on-line bulletin board and a reference library. The reference library contains mandatory policy and procedures (FAR/DFARS, 5000 documents, extracts from public law, Service and Agency regulations, etc.), and a discretionary section with amplified guidance and lessons learned. The DAD can be accessed at the following URL:

<http://www.deskbook.osd.mil/>

In addition to this deskbook, there are available within SPAWAR a variety of Staff Codes to support the Acquisition Managers in managing their programs. One Code of particular importance to Acquisition Managers is the SPAWAR Acquisition Reform Office (ARO), **SPAWAR Code 00A-AR**. This Office is a comprehensive repository of corporate knowledge and experience in acquisition issues that is ready to be tapped into as needed by SPAWAR Acquisition Managers.

2.0 ACQUISITION PROGRAM CATEGORIES

APPLICABLE CHAPTER REFERENCES (from Section 1.3 of this Guide):

- d. [DoD Regulation 5000.2-R](#) Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Programs, **March 15, 1996** (changes incorporated May 11, 1999) (**ARCHIVED**).
- e. [DoD Regulation 5000.2-R](#) Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Programs, **January 4, 2001** (**INTERIM GUIDANCE**).
- f. [SECNAV INSTRUCTION 5000.2B](#) Implementation of Mandatory Procedures for Major and Non-Major Defense Acquisition Programs and Major and Non-Major Information Technology Acquisition Programs, **December 6, 1996**.

2.1 GENERAL DISCUSSION:

Cost, complexity and risk will generally determine the category of an acquisition program. Programs are designated as an [Acquisition Category I through IV, an Abbreviated Acquisition Program \(AAP\)](#) or a non-acquisition program as defined in DoD 5000.2-R and SECNAVINST 5000.2B (refs (d), (e) and (f)). Acquisition programs with [ACAT](#) designations have clearly defined programmatic requirements in applicable DoD and Department of the Navy (DoN) guidelines, regulations and directives. However, management of acquisition programs not assigned ACAT designations is not clearly addressed. This Guide provides Acquisition Managers guidance for managing both ACAT designated programs and programs not assigned an ACAT designation.

Over time, acquisition commands have coined descriptive terms to name programs that do not meet the requirements for an ACAT designation. Terms such as "Non-ACAT", "Legacy", "Sustainment", "Modification", "Follow on", "Stand alone" and "Migration" are routinely used by Program Managers. These terms are, in most cases, only descriptive of the program's purpose or application and have no relevance to authorized program requirements specified in DoD 5000.2-R and SECNAVINST 5000.2B (refs (d), (e) and (f)).

Without the appropriate determination of the DoN authorized program type, Acquisition Managers cannot be assured of compliance with current directives. Unstructured programs, which lack a commonality to regulatory structure, are difficult to historically trace or properly review and compare.

2.2 ACQUISITION CATEGORIES:

Acquisition Managers must first, through the information contained within this guidance, determine the acquisition category of their DoN authorized program. This first step must be completed before managers can apply the specific requirements for that program category to their program.

By evaluating the program cost, complexity and risk, Acquisition Managers should be able to determine the acquisition category for their program.

SPAWAR programs will be categorized in accordance with DoD 5000.2-R and SECNAVINST 5000.2B (refs (d), (e) and (f)), which define program cost, complexity and risk criteria. Each of these program categories will have certain mandatory program requirements and any additional requirements that may be levied by the Milestone Decision Authority (MDA).

Acquisition Managers must know what category of program they are managing and why it was placed in that category. The program information that is required to make a determination of program category includes:

- PERTINENT PROGRAM INFORMATION**
- **Total life cycle cost of the possible program/acquisition effort.**
 - **The documented requirement that initiated the program.**
 - **If Operational Test and Evaluation (OT&E) was, or will be, required.**
 - **If the program is defined as an Automated Information System (AIS), [Information Technology](#) (IT) or Weapon System (aka [National Security System \(NSS\)](#)).**
 - **If modifying a system:**
 - ❑ **Is the system (program) being modified currently in production?**
 - ❑ **Is the system being modified not currently in production (legacy)?**
 - ❑ **What is the total cost of the program being modified plus the cost of the modification(s)?**

The program categories that are authorized by [Enclosure \(1\)](#) of SECNAVINST 5000.2B are limited to:

- PROGRAM CATEGORIES**
- ✓ **ACAT I through IV.**
 - ✓ **IT ACAT I, III & IV.**
 - ✓ **Abbreviated Acquisition Programs ([AAP](#)).**
 - ✓ **Information Technology AAPs (IT AAP).**
 - ✓ **Non-Acquisition Programs.**
 - ✓ **Rapid Deployment Concept (RDC) Programs.**

A brief discussion of each of the program categories can be found in Enclosure (1), "[Table of Acquisition Categories](#)". Amplifying information on these program categories can be found by referring to the governing document referenced in each of the program category descriptions.

Additionally, Enclosure (2), "[ACAT and Abbreviated Acquisition Programs Threshold Criteria](#)", provides cost threshold criteria for each acquisition category.

2.3 GUIDELINES FOR DETERMINING ACQUISITION CATEGORIES:

Enclosure (3), "[Acquisition Category Designation Template](#)", contains a flowchart for use in determining the authorized program categories of all SPAWAR acquisition program efforts. To reach the exit decision blocks (red shaded arrows) within the flowchart requires a thorough knowledge of the program being examined and comparison of that information to the parameters in DoD 5000.2-R and SECNAVINST 5000.2B (refs (d), (e) and (f)). The SPAWAR Acquisition Reform Office is available to assist in the use of this template.

Acquisition Managers are encouraged to use the [Enclosure \(3\)](#) flowchart to determine program category. If the program in question is a modification to a system still in production, apply the modification table portion of the flowchart to determine the program category. All programs are to be tested against the flowchart, both initially and any time a change to the program's total cost exceeds planned thresholds.

The [Enclosure \(3\)](#) flowchart takes you through several basic paths. Urgency or wartime purchases may lead to a RDC type of effort. Research and Development, exploration and demonstration work will usually result in a Non-Acquisition Program. All other acquisition efforts must result in establishment of an ACAT I-IVT, IT ACAT or where no OT&E is required, an ACAT IVM, [AAP](#), or IT AAP.

The path through the flowchart will identify the program type and ensure the program is authorized in accordance with DoD 5000.2-R and SECNAVINST 5000.2B (refs (d), (e) and (f)). Once the flowchart exercise is completed and the proper program category has been determined, a comparison of existing documentation to that required by this guidance will reveal if the program is structured properly. Additionally, the flowchart will reveal if [ACAT](#) requests/changes are required or what other steps, if any, need to be taken. Examples of [ACAT](#) Request/Change for both Weapon and IT Systems can be found on pages four and six respectively of [Enclosure \(4\)](#), "[Sample Forms](#)".

A program that modifies a system may seem more difficult to trace through the chart than other programs because its program category is highly dependent on the program it is modifying. The MDA can choose to manage a modification as a separate program; however, the MDA is limited to authorized program categories and their mandates. In most cases, if the program to be modified is still in production, the modification will be part of the existing program. The additional cost of the modification, however, when added to the program cost, could cause the total program cost to exceed cost parameters and ACAT designation level. The [Enclosure \(3\)](#) flowchart provides for those possibilities and the actions required. Additionally, [Enclosure \(4\)](#) provides sample formats for documents that may be required in this instance.

All other purchases not related to a valid acquisition program are not to be categorized as acquisition programs and are normally purchased with budgeted Operations and Maintenance (O&MN) funds intended for the following uses:

- NON-ACQUISITION PROGRAM PURCHASES
 - ✓ **Corrective Maintenance (CM).**
 - ✓ **Scheduled Preventative Maintenance (SPM).**
 - ✓ **Legacy system repair and maintenance.**
 - ✓ **Services not directly tied to valid programs.**
 - ✓ **SPAWAR infrastructure (not program related) initiatives.**

2.4 ACQUISITION CATEGORY DESIGNATION CHANGE:

Upon determination of program category, Acquisition Managers need to submit to the MDA the appropriate request to change the program, or initiate documentation as required, to bring the program into compliance. Even though the "program" may be ongoing, it is necessary to formally document its approval and get formal guidance on any criteria or documentation that the MDA may require in addition to or in lieu of the requirements of SECNAVINST 5000.2B, such as:

- PROGRAM INITIATION/CHANGE DOCUMENTS
 - [ACAT designation/change request.](#)
 - [Non-Acquisition Program Definition Document \(NAPDD\).](#)
 - [AAP designation request.](#)

Sample formats for these documents are located in [Enclosure \(4\)](#) of this Guide.

Upon receipt of the request to initiate, change or document the program category, the MDA has several options:

- MDA PROGRAM CHANGE REQUEST OPTIONS
 - **Approve the request and delegate the Milestone Decision Authority (MDA). Have the MDA:**
 - ✓ **Determine any documentation in addition to regulations and instructions,**
 - ✓ **Determine exit criteria (if applicable),**
 - ✓ **Provide memorandum to managers outlining program requirements.**
 - **Approve the request, but retain MDA authority.**
 - **Disapprove the request and direct the program be managed as a different program category than requested.**
 - **Disapprove the request and direct no further program execution.**

The ACAT initiation request should go to the person designated the MDA; for example, PD 17 for an applicable ACAT III. The COMSPAWAR MEMO dated 02 Nov 2000 already allows for this. In this example, if PD 17 determines that this program has "special circumstances", then PD 17 may recommend that the MDA reside at SPAWAR 09 or 00. Additionally, if this change resulted in bumping the ACAT III to an ACAT II, then the request should go to ASN(RDA) via the PD.

Once approved, the Acquisition Manager will receive a memorandum from the MDA outlining specific programmatic requirements for that program. An example of an [Acquisition Decision Memorandum \(ADM\) for ACATs III and IV](#) can be found on page 11 of **Enclosure (4)**. The Acquisition Manager must then locate or generate, if directed, all required documents outlined in DoD 5000.2-R, SECNAVINST 5000.2B and the MDA's memorandum that initiated the program.

Using the process outlined in this chapter, SPAWAR Acquisition Managers are to review their programs to determine program category. As described, draft the required document i.e. ADM, Memorandum, NAPDD, etc. (if not already completed) which will document the program's initiation, all program documentation requirements, program structure and major program events. Sample formats can be found in [Enclosure \(4\)](#).

3.0 PROGRAM DOCUMENTATION

APPLICABLE CHAPTER REFERENCES (from Section 1.3 of this Guide):

- a. [DoD Directive 5000.1](#) The Defense Acquisition System, **March 15, 1996 (ARCHIVED)**.
- b. [DoD Directive 5000.1](#) The Defense Acquisition System, **October 23, 2000**.
- c. [DoD Instruction 5000.2](#) Operation of the Defense Acquisition System, with Change 1, **January 4, 2001**.
- d. [DoD Regulation 5000.2-R](#) Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Programs, **March 15, 1996** (changes incorporated May 11, 1999) **(ARCHIVED)**.
- e. [DoD Regulation 5000.2-R](#) Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Programs, **January 4, 2001 (INTERIM GUIDANCE)**.
- f. [SECNAV INSTRUCTION 5000.2B](#) Implementation of Mandatory Procedures for Major and Non-Major Defense Acquisition Programs and Major and Non-Major Information Technology Acquisition Programs, **December 6, 1996**.

3.1 GENERAL DISCUSSION:

Throughout the acquisition life cycle, Acquisition Managers must comply with numerous requirements to provide information to the MDA. Acquisition Managers need to assess these information requirements early to allow sufficient time for collecting the information, coordinating with participating components and providing for timely routing. A significant number of documents and information may be required to support Milestone Reviews and other critical program decisions. A determination of how these issues are addressed and the specific supporting documentation required is the result of a tailoring process between the PM and MDA. **Common sense, sound business practice, applicable laws and regulations, and the time constraints of the requirement itself must be fully considered in the tailoring process.** Some information is required by statute and must be addressed as dictated by law. The bulk of the information; however, is required by regulation and can be tailored at the MDAs discretion. Most regulatory information is addressed in DoD 5000.2-R and SECNAVINST 5000.2B (refs (d), (e) and (f)).

This Chapter focuses on program documentation and related tailoring opportunities and processes. Volume II, Chapter four (**under construction**) will discuss tailoring opportunities for decision reviews.

3.1.1 Documentation MATRIX:

The centerpiece of this Chapter is **Enclosure (5)**, "[Acquisition Documentation Matrix](#)", that provides a program documentation guide for all SPAWAR programs. It summarizes program information that is described in more detail in applicable statutory and regulatory references. The table can serve as a discussion tool for tailoring program information in support of program decision-making and MDA reviews.

A description of each program document contained in [Enclosure \(5\)](#) can be found in **Enclosure (7)**, "[Glossary of Terms](#)". These basic descriptions of each document expand on the information contained in [Enclosure \(5\)](#).

[Enclosure \(5\)](#) should be used to determine the acquisition documentation requirements for all program categories within SPAWAR. To determine the documentation requirements for a program requires a thorough knowledge of the program being examined and comparison of that information to the applicable governing documents. All programs should be tested against the Matrix, both initially and any time a change occurs within the program.

Use of this Matrix will assist Acquisition Managers in identifying the necessary documentation to ensure a program has sufficient information for milestone reviews. Once the Matrix has been reviewed and the appropriate program documentation requirements have been identified, a comparison with existing documentation will reveal if the program is documented properly. Additionally, the Matrix will reveal if documentation updates need to be completed and where to obtain help in preparing this documentation. [Enclosure \(4\)](#) provides sample formats for some of the required documentation.

3.1.2 SOURCES OF DOCUMENTATION REQUIREMENTS:

Program and milestone information documentation requirements are levied from three sources.

- | | | |
|--|---|--|
| SOURCES
OF
DOCUMENTATION
REQUIREMENTS | } | <ul style="list-style-type: none">✓ STATUTORY requirements that must be addressed as a matter of United States or Public Law (i.e. 10 USC, etc).✓ REGULATORY requirements, which in most cases are addressed in DoD 5000.2-R and SECNAVINST 5000.2B (refs (d), (e) and (f)). These requirements are not usually mandated and are highly subject to tailoring.✓ LOCAL INSTRUCTION OR MEMO that reflects information desired by the Acquisition Command, MDA, PM or other authority within the program hierarchy. |
|--|---|--|

For DON ACAT programs, [SECNAVINST 5000.2B](#), [enclosure \(5\)](#), paragraph 5.8 defines all mandatory milestone information. Mandatory milestone information cannot be waived; however, discretionary milestone information and the content of mandatory milestone information is subject to the "tailoring" process.

Going beyond the mandatory information identified in SECNAVINST 5000.2B, paragraph 5.8; [Enclosure \(5\)](#) provides guidance in identifying and assessing the need for most acquisition documents typically required for decision-making during reviews of SPAWAR programs.

3.1.3 The NEW 5000 series:

It is necessary for Acquisition Managers to understand the new requirements associated with the revisions to the DoD 5000 series. Specifically, the DoD 5000 series is being revised under the direction of the Defense Acquisition Policy Steering Group (DAPSG). The results to date include a new DoDD 5000.1 and DoDI 5000.2 (refs (b) and (c)). One of the more substantive changes to the DoD 5000 series is a revised acquisition model illustrated below (see Figure 1) that redefines milestone points. Replacing Milestones 0, I, II and III are Milestones A, B, and C. Milestones A and B are essentially equivalent to the old Milestones 0 and II respectively. The new Milestone C, the Commitment to Low-Rate Initial Production and to Produce and Deploy Systems, occurs ahead of the old Milestone III. The old Milestone III Production and Deployment Decision is no longer a Milestone but is now made at a Full-Rate Production Decision Review that occurs during Phase C, the Production and Deployment Phase.

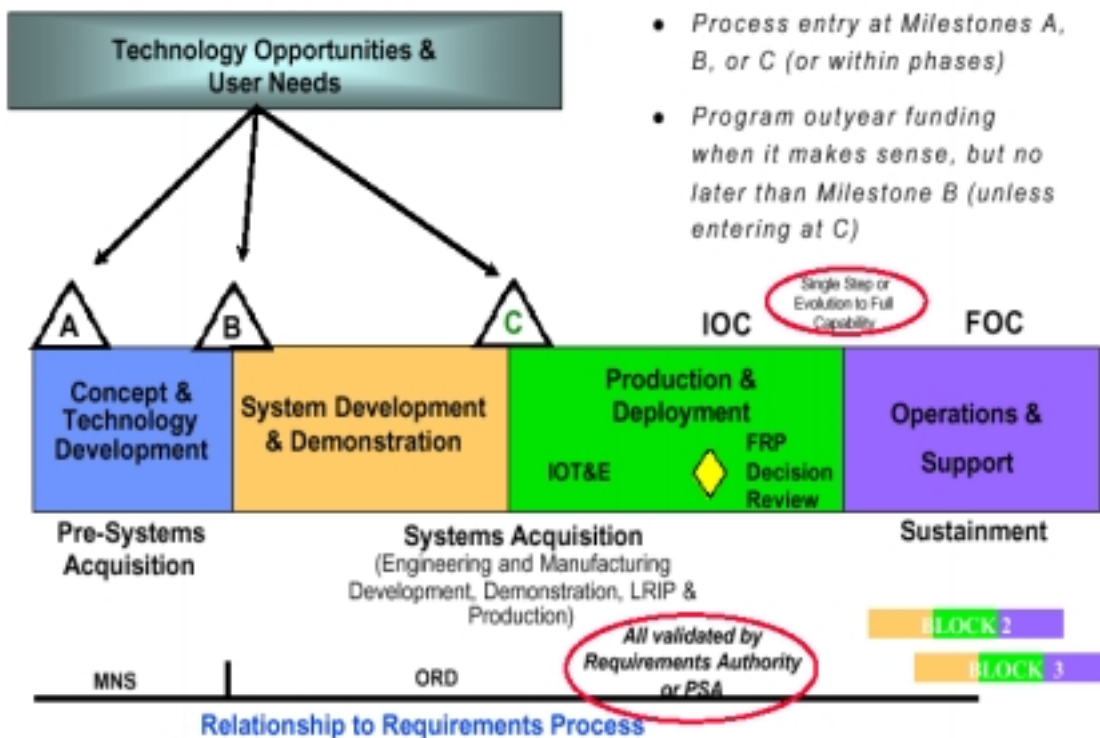


FIGURE 1: [THE NEW 5000 MODEL](#)

Furthermore, the new direction provides the following implementation guidelines for potential and ongoing programs. Potential programs that have not yet passed Milestone I will follow the model in the new DoDI 5000.2 (ref (c)) unless otherwise directed by the Milestone Decision

Authority (MDA). Programs that have passed Milestone I, but have not yet passed Milestone II, may continue to follow the old model or convert to the new model at the MDA's discretion. Programs that have passed Milestone II will continue to Milestone III using the old model. With these new revisions to the Acquisition Model, documentation to support milestone decisions remains unchanged. However, these revisions do impact when in the cycle this documentation will be needed to support decision-making.

It is worth noting that the 1996 versions of [DoD Directive 5000.1](#), [DoD 5000.2-R](#) and [SECNAVINST 5000.2B](#) (refs (a), (d) and (f)) are applicable to programs that fall under the "old" Acquisition Model, while the 2000 versions of [DoD Directive 5000.1](#), [DoD Instruction 5000.2](#) and [DoD 5000.2-R](#) (refs (b), (c) and (e)) are applicable to programs that fall under the "new" Acquisition Model. The new version of the SECNAVINST 5000.2B has not been drafted as of the date of this document. Until this new version is provided, the 1996 version of the [SECNAVINST 5000.2B](#) (ref (f)) should be consulted for all programs, taking into account the impact of the DoD regulations as they apply to programs under the "new" Acquisition Model.

3.1.4 Documentation in the Acquisition Cycle:

Documentation to validate decision-making follows a logical sequence as the program matures. Throughout the acquisition cycle, there are specific information and supporting documents required to support the MDA's decisions to proceed to the next phase of the acquisition process. It is worth noting that the documentation prepared and functional activities conducted during each phase are similar and repetitive in nature, varying primarily in complexity as the system design matures.

The requirements for certain program information and the point in the acquisition process where it is needed can be unclear. To help clarify information requirements, it is useful to review the decision points in the acquisition cycle to see when and why certain documents are needed. In [Enclosure \(6\)](#), "**Documentation in the Acquisition Cycle**", the sequence of acquisition phases and milestones are reviewed with a focus on identifying the more significant documentation and the rationale for why it is required at a specific phase in the process. This enclosure captures the recent changes to the acquisition cycle as dictated by the rewrite of the DoD 5000 series.

3.1.5 TAILORING:

One of the major themes of DoD 5000.2-R and SECNAVINST 5000.2B is "tailoring in". These reference documents make it clear that Acquisition Managers should view acquisition programs as "**one size does not fit all**" and "**there is no reason to expect to treat every program identically.**" Also, one of the major objectives of DoD 5000.2-R is "**minimizing the volume of mandatory guidance**". There has been a conscious effort to get away from the term "mandatory documentation". It is DoD's policy that information shall be limited to the minimum necessary for the decision. How that information is "packaged" is determined by the Acquisition Managers, working through the Acquisition Coordination Team (ACT) process. By using ACTs and Integrated Product Teams (IPTs) in the tailoring process, milestone information can be

tailored to optimize informed decision-making and the building of a successful program. The ACT is specifically used to oversee the [analysis of alternatives](#), form a tailoring agreement proposal (for program documentation and structure), develop an [acquisition strategy](#), prepare for milestone/program reviews and resolve issues at the lowest level possible. Additional information on ACTs can be found in [SECNAVINST 5420.188E](#).

While all programs must accomplish certain core activities taking into account performance, risk, cost, and schedule; the MDA has the flexibility to tailor how and when these activities occur. **The Secretary of Defense has placed the burden on MDAs to “tailor in” program reporting and documentation requirements rather than on the PM to try to “tailor out” mandatory requirements.**

At program initiation, the PM proposes, and the MDA considers for approval, the appropriate milestones, the level of decision and documentation required for each milestone. This proposal shall consider the cost, complexity, and risk of the program. The PM and MDA negotiate the documentation that the PM must submit at subsequent milestones. This documentation requirement is normally captured in the ADM issued as a result of the previous Milestone. Thus, the PM and MDA can most easily accomplish the negotiation concerning MS I requirements as part of the MS 0 decision process. It is imperative that the determinations made at program initiation are re-examined at each milestone based on then current program conditions.

3.2 DOCUMENTATION FOR ACAT I PROGRAMS:

ACAT I programs are either Major Defense Acquisition Programs ([MDAPs](#)) or Major Automated Information Systems ([MAISs](#)). Inherent to ACAT I programs, whether MDAPs or MAISs, are increased program cost, risk and complexity. These programs require significant planning and dedicated management. They are subject to numerous statutory requirements not applicable to other program categories. Additionally, ACAT I programs have more extensive and comprehensive reporting requirements to the Office of the Secretary of Defense and the Department of the Navy. The high visibility of these programs demand extra care in making decisions and program execution. [Enclosure \(1\)](#), "Table of Acquisition Categories", provides amplifying information on this ACAT.

An Acquisition Manager charged with the management of an ACAT I program must rely heavily on the concepts of Integrated Product and Process Development (IPPD) and Integrated Product Teams (IPTs). To support the Acquisition Manager in managing these major programs, there are available within SPAWAR a variety of support Codes. One Code of particular importance to the Acquisition Manager is the SPAWAR Acquisition Reform office (00A-AR). This office should be a primary resource used by the Acquisition Managers to resolve acquisition issues and ensure their program is properly structured.

[Enclosure \(5\)](#), "Acquisition Documentation Matrix", is a comprehensive source of information to assist in the identification and preparation of documentation required for ACAT I programs. It can be particularly valuable as a guide in the tailoring discussions between the Acquisition Managers and the MDA. This matrix is a word table that can be sorted

electronically to evaluate the documentation requirements by acquisition category. To sort this matrix, select the appropriate acquisition category column and then proceed with the table sort feature.

3.3 DOCUMENTATION FOR ACAT II PROGRAMS:

ACAT II programs are at the medium level of cost and risk associated with "[Major Systems](#)", as defined by DoDI 5000.2. Managing this category of programs presents its own unique challenges. Some reporting requirements are not mandated and the program controls are less stringent; however, the Acquisition Manager must weigh the benefits of embracing the oversight restrictions and a program structure similar to ACAT I programs to assist in guiding the program to a successful conclusion. The ACAT II program category does not apply to AIS systems. However, SPAWAR's mission implies that an ACAT II program will use Information Technology (IT) and will be subject to all of the compatibility and certification requirements (including Clinger Cohen Act) of any AIS, IT or NSS program. [Enclosure \(1\), "Table of Acquisition Categories"](#), provides amplifying information on this ACAT.

As with the execution of any program within SPAWAR, the Acquisition Reform Office is a reliable source of information and experience. The IPPD and IPT concepts are applicable to ACAT II programs. Another source of assistance in developing the structure of these programs is to rely on the experience of other Acquisition Managers who are currently, or have in the past, managed a similar type of program. An ACAT listing of all active programs and their cognizant Program Office Codes in DoN is available through OPNAV. Additionally, a listing of ACAT programs within SPAWAR is located on the "SPAWAR KNOWLEDGE CENTER (SKC)" Web Page under *Corporate Support/Corporate Information/00's Master List of All Programs*.

[Enclosure \(5\), "Acquisition Documentation Matrix"](#), provides a list of documentation and programmatic information applicable to ACAT II programs. It is important to read the Enclosure's comments closely as there are certain program subtleties that could affect the documentation requirements. This matrix is a word table that can be sorted electronically to evaluate the documentation requirements by acquisition category. To sort this matrix, select the appropriate acquisition category column and then proceed with the table sort feature.

3.4 DOCUMENTATION FOR ACAT III PROGRAMS:

ACAT III Programs are the lowest program category recognized by DoD. The MDAs for ACAT III programs are delegated to the lowest appropriate level. COMSPAWAR has delegated the MDA for ACAT III programs to the Program Director (PD). This category includes less than Major AISs and "Non Major Systems" as defined in DoDI 5000.2. [Enclosure \(1\), "Table of Acquisition Categories"](#), provides amplifying information on this ACAT.

DoN is empowered to decide on management policies and procedures for non-major programs. SECNAVINST 5000.2B is the most relevant reference for non-major programs. In addition to

this regulation, the [Defense Acquisition Deskbook](#) referenced in [section 1.3](#) of this Guide is a very good source of helpful information in managing these programs.

The only mandatory milestone information for ACAT III programs are those required by statute and those required by DoN policy or the Milestone Decision Authority (MDA). All non-statutory documents and information requirements can be waived by the MDA, unless DoN policy states otherwise. It is vital that Acquisition Managers exercise program tailoring to meet the specific needs of the individual program, based on objective assessments of a program's category, risks, cost and the urgency of the user's need. [Enclosure \(5\)](#), "**Acquisition Documentation Matrix**", lists all the program documentation that may be applicable and considered for "tailoring in" as required. This matrix is a word table that can be sorted electronically to evaluate the documentation requirements by acquisition category. To sort this matrix, select the appropriate acquisition category column and then proceed with the table sort feature.

3.5 DOCUMENTATION FOR ACAT IV PROGRAMS:

Navy ACAT IV programs are in an acquisition category that is regulated predominately by DoN Regulations. This acquisition category provides for less stringent requirements than ACATs I through III and more local management control by DoN activities. Programs that would apply to this category include those that may or may not require operational testing; and, do not affect the military characteristics of ships or aircraft, do not involve combat capability or, in the case of IT programs, have a total cost less than ACAT III. As with ACAT III programs, SPAWAR has delegated MDA authority for ACAT IV programs to the PD. [Enclosure \(1\)](#), "**Table of Acquisition Categories**", provides amplifying information on this ACAT.

ACAT IV programs are especially well suited to tailoring. The negotiated program requirements are less demanding than for a program category ACAT III or higher. However, in the unique situation where the resolution of substantive issues would benefit from a more diligent process, the MDA can direct a more rigorous structure.

MDAs, using good common sense, should strive to "tailor in" only the essential documentation required to effectively manage programs within this acquisition category. For DoN ACAT IV program there is no milestone information required beyond:

- That required by statute.
- That specifically required by DoN.
- That required at the MDA's discretion.

[Enclosure \(5\)](#), "**Acquisition Documentation Matrix**", provides a comprehensive list of ACAT IV Program documentation that should be considered as part of the tailoring process. This matrix is a word table that can be sorted electronically to evaluate the documentation requirements by acquisition category. To sort this matrix, select the appropriate acquisition category column and then proceed with the table sort feature.

3.6 DOCUMENTATION FOR AAP PROGRAMS:

The Abbreviated Acquisition Program ([AAP](#) and [IT AAP](#)) category was created by DoN regulation and is a unique category to DoN. The management framework prescribed for AAPs and IT AAPs is designed to accommodate relatively small, low-risk and low-cost acquisition and modification programs. SPAWAR has developed local policies and procedures for managing Abbreviated Acquisition Program to include policies and procedures for program reviews, documentation, tracking, and designation of the MDA. Decision authority for Abbreviated Acquisition Programs at SPAWAR is delegated to the Program Manager. Program Managers are responsible for ensuring that all acquisition programs they are managing, including upgrades to out of production systems, have either an assigned ACAT or are otherwise designated as an Abbreviated Acquisition Program. [Enclosure \(1\)](#), "**Table of Acquisition Categories**", provides amplifying information on this ACAT.

SECNAVINST 5000.2B and this Guide are the primary references for managing AAPs and IT AAPs here at SPAWAR. The Command's Acquisition Reform Office has access to, and can provide sample documentation generated in support of other AAP and IT AAP management efforts within SPAWAR.

The Program Manager determines the documentation required for either AAP or IT AAP approval. Because of the low dollar amount involved with these programs, tailoring is especially critical. A common sense approach to structuring this type of program will ensure funds are not expended to develop programmatic documentation and information which provides no value added to the acquisition effort. More so than for any other program category, managers of AAPs and IT AAPs should view [Enclosure \(5\)](#), "**Acquisition Documentation Matrix**" as a guide only, and care should be taken not to over tax the program with expensive documentation requirements that could otherwise be eliminated (not tailored in) or could be consolidated in an abbreviated manner. This matrix is a word table that can be sorted electronically to evaluate the documentation requirements by acquisition category. To sort this matrix, select the appropriate acquisition category column and then proceed with the table sort feature.

3.7 DOCUMENTATION FOR NON-ACQUISITION PROGRAMS:

Non-Acquisition Programs are unique to DoN. A Non-Acquisition Program is an effort that does not directly result in the acquisition of a system or equipment for operational deployment. This program type was created through DoN regulation and is conducted on a level of effort basis. They are designed to accommodate increased Program Office involvement in the following:

- Science and Technology (S&T) research, exploration and demonstration efforts.
- Concept exploration of potential ACAT Programs.
- Systems integration efforts of advanced development articles with no directly related ACAT program definition.
- Systems integration, management and support of installations or operations required for activities stated above.

[SECNAVINST 5000.2B](#) (Appendix II, Annex A, Section 6) and this Guide ([Enclosure \(1\)](#)), "[Table of Acquisition Categories](#)" and [Enclosure \(4\)](#), "[Sample Forms](#)", are the primary references for Non-Acquisition Programs. The variety of efforts associated with programs that fall within this category makes each one unique; however, the management of the effort in all cases is very similar.

Non-Acquisition Programs can be "technology-based" or "not technology-based" and this distinction dictates the difference of how they are initiated and managed. Non-Acquisition Programs should be managed as follows:

- CNO (N091) will assess all Non-Acquisition Programs annually, as supported by the Science and Technology Requirements Committee (STRC) and/or by the Science and Technology Working Group (STWG). This review verifies that programs are progressing as directed and/or identifies the need for Non-Acquisition Program Definition Document ([NAPDD](#)) revision or cancellation. Reviews shall be conducted annually with results made available for subsequent Program Objective Memorandum (POM) development.
- Technology-base programs, [basic research](#) and [applied research](#), do not require preparation of NAPDDs, but shall continue using current documentation required to support the Planning, Programming and Budgeting System (PPBS).
- A NAPDD shall be used to initiate and manage Non-Acquisition Programs such as those described in this guidance document costing more than \$200 thousand in any 1 year or more than \$1 million over the life of the effort (then-year dollars). All NAPDDs shall be submitted by CNO, endorsed by CNO (N8), and approved by CNO (N091). This CNO approval constitutes commitment to the effort.
- Requests to initiate a Non-Acquisition Program shall be submitted to CNO by PEOS, SYSCOMS, DRPMs, or any other appropriate DON activity. Detailed [NAPDD submission format](#) is contained on page 2 of [Enclosure \(4\)](#), "[Sample Forms](#)", and is titled "Non-Acquisition Program Definition Document (NAPDD) Format". A NAPDD can be issued at any time; however, if a new start non-acquisition program is to be included in the POM submission, the initiation guidance from CNO, or designee, shall be issued by the beginning of the fiscal year of the POM submission. NAPDDs for new start Non-Acquisition Programs shall be issued in time for a summer CNO (N091)/STRC/STWG assessment. Non-Acquisition Programs, which do not meet this schedule, could require funding by reprogramming.
- Deliverables from Non-Acquisition Programs that transition into a related ACAT program shall be identified in an analysis of alternatives, an [operational requirements document](#) (ORD), and an [acquisition program baseline](#) (APB) for that ACAT program.
- NAPDDs shall normally expire 3 years after approval. After 3 years, a revised or revalidated NAPDD is required to continue the program. The revised NAPDD shall include justification for continuance beyond the initial 3-year validity period. The

NAPDD shall contain estimated resources required to complete the effort and the deliverables that are required.

Non-Acquisition Programs within OPNAV cognizance have defined submission responsibilities and points of contact. Specific OPNAV NAPDD submission responsibilities include the following:

- Originating command shall:
 - ✓ Submit request or rough draft of proposed NAPDD to the applicable program sponsor.

- Program sponsor shall:
 - ✓ Ensure NAPDD is in proper format.
 - ✓ Route draft copies to the resource sponsor (when different), the applicable PEO/SYSCOM/DRPM (if not the originator), CNO (N8) via CNO (N81), and CNO (N091) for review and comment.
 - ✓ Consolidate and incorporate all comments received from the review, signs as the document preparer, and forwards to CNO (N8) via CNO (N81).

- CNO (N8) shall:
 - ✓ Endorse and forward to CNO (N091).

- CNO(N091) shall
 - ✓ Review; assign a NAPDD number, and sign as final approval authority.
 - ✓ Establish STRC/STWG, which shall conduct yearly assessments of Non-Acquisition Programs and NAPDDs, as applicable, to verify that the programs are progressing as directed and whether redirection or cancellation is required.
 - ✓ Forward approved NAPDD to the cognizant PEO/SYSCOM/DRPM. A copy shall be provided to ASN(RD&A) for information.
 - ✓ Maintain a database of all active NAPDDs and publish annually a consolidated list of current NAPDDs and their expiration dates. A copy of the consolidated list shall be provided to ASN (RD&A).

Enclosures

LIST OF ENCLOSURES

<u>Enclosure (1)</u>	Table of Acquisition Categories
<u>Enclosure (2)</u>	ACAT and Abbreviated Acquisition Program Threshold Criteria
<u>Enclosure (3)</u>	Acquisition Category Designation Template
<u>Enclosure (4)</u>	Sample Forms NAPDD Format Sample <u>ACAT</u> Request/Change for Weapon System Sample <u>ACAT</u> Request/Change for IT System Sample <u>AAP</u> Designation Request Letter Sample <u>OPTEVFOR</u> OT Concurrence Letter Sample ADM for ACAT III and IV Programs
<u>Enclosure (5)</u>	Acquisition Documentation Matrix
<u>Enclosure (6)</u>	Documentation in the Acquisition Cycle
<u>Enclosure (7)</u>	Glossary of Terms
<u>Enclosure (8)</u>	List of Acronyms

SPAWAR

TABLE OF ACQUISITION CATEGORIES

ACQUISITION CATEGORY	REFERENCE	DISCUSSION
ACAT I & II	SECNAVINST 5000.2B Enclosure (1), para. 1.3.1, 1.3.2 & 1.3.3	<p>All ACAT I and II programs must be designated by the authorized MDA. ACAT ID will be designated by the Under Secretary of Defense (USD) for Acquisition, Technology and Logistics (A,T&L). For ACAT IC, the delegated DoD Component Acquisition Executive (CAE) is the MDA. IT ACAT IAs are designated either IAM or IAC by the Assistant Secretary of Defense (ASD). The MDA for IAM programs is the DoD Chief Information Officer (CIO), (ASD (C3I)) and for IAC programs the Assistant Secretary of the Navy (ASN) or designee. The MDA for ACAT II programs is the ASN for Research, Development and Acquisition (RD&A). There are no IT ACAT II program category.</p>
ACAT III & IVT	SECNAVINST 5000.2B Enclosure (1), para. 1.3.4 & 1.3.5	<p>The Cognizant SES Program Director (PD), will designate ACAT III and ACAT IV programs. The PM will submit the ACAT request/change to the PD. In addition to the ACAT request, the PM will draft at program initiation an Acquisition Decision Memorandum (ADM) which, when signed by the MDA, signifies an official program start and outlines the PM and MDA's negotiated program requirements, the discretionary milestone information and the content of mandatory milestone information for each milestone approval. A sample ACAT request/change memorandum for weapon system programs, and for IT programs is located in Enclosure (3). A sample ADM for ACAT III and IV programs is also in Enclosure (3).</p>
ACAT IVM	SECNAVINST 5000.2B Enclosure (1), para. 1.3.5	<p>ACAT IVM programs only apply to weapon systems which do not require operational testing and the total cost is less than a major system but greater than an <u>AAP</u>. ACAT IVM does not apply to IT programs.</p> <p>The procedure for the start of an ACAT IVM program is identical to that of an ACAT III or IVT except that concurrence must be obtained from COMOPTEVFOR via the ACAT Designation Letter. ACAT IVM programs do not require an OT&E and are only monitored by COMOPTEVFOR.</p>
<u>AAP</u> & IT AAP	SECNAVINST 5000.2B Enclosure (1), para. 1.3.6	<p>These relatively small DoN acquisition programs generally provide for the least amount of program oversight. The minimum requirements for AAP initiation are:</p> <ol style="list-style-type: none"> 1. Approved funding 2. A written requirement by the Chief of Naval Operations (CNO) 3. The PM's documented program initiation decision via a memorandum of record <p>The initiation of an AAP is through the generation of an AAP Designation Memorandum of Record signed by the PM. The format for this Memorandum is contained in Enclosure (3). The PM must document program initiation and execution decisions in a Memorandum of Record. The Memorandum of Record will serve to document the initiation decision, signifying the program start, and authorizing a program structure as stated therein. Subsequent major program execution decisions can be documented in a standard Memorandum of Record signed by the PM.</p>

SPAWAR

TABLE OF ACQUISITION CATEGORIES

ACQUISITION CATEGORY	REFERENCE	DISCUSSION
Non Acquisition Programs	<u>SECNAVINST 5000.2B Enclosure (1), para. 1.8</u>	<p>Other funded programs are necessary for the success of material acquisition, but are not conducted for the purpose of acquiring material. The program characteristics of these programs are: they are conducted on a level of effort basis; are potential ACAT programs; do not result in the acquisition of a system or equipment for operational deployment; can be science and technology-based research and <u>Advanced Technology Demonstrations (ATDs)</u>; can explore new concepts of potential programs; can provide system integration of ATDs; or can provide management and support of installations or operations required for R&D. CNO (N091), as supported by the Science and Technology Requirements Committee (STRC)/Science and Technology Working Group (STWG), assesses Non-Acquisition Program requirements annually. Non-Acquisition programs, other than technology-based programs, will use the Non-Acquisition Program Definition Document (NAPDD) for program initiation and control. This document is submitted by the CNO Resource Sponsor, endorsed by CNO (N8) and approved by CNO (N091). The NAPDD procedures and format are located in Enclosure (3). Technology-based Non-Acquisition programs shall be fully funded using current documentation required by the Planning, Programming and Budgeting System (PPBS) for control.</p>
Rapid Deployment Concepts	<u>SECNAVINST 5000.2B Enclosure (1), para. 1.9.2</u>	<p>Rapid Deployment Capability (RDC) is a tailored process that provides the ability to react immediately to a newly discovered enemy threat, potential enemy threat or to respond to significant and urgent safety situations through special, tailored acquisition procedures. Determination of RDC requirements is made by CNO (N8) and approved by ASN(RDA). RDC initiation and planning procedures are outlined in SECNAVINST 5000.2B, Enclosure (1), paragraph 1.9.2. Programs normally exist under the RDC procedures only until the threat or situation for which it was initiated has been resolved. If the program is intended to continue beyond the point where the RDC initiation issue was resolved, it must be converted to and take on the structure of an ACAT or AAP category program.</p>

SPAWAR

ACAT AND ABBREVIATED ACQUISITION PROGRAMS THRESHOLD CRITERIA

Weapon System Programs (SECNAVINST 5000.2B/DoD 5000.2-R w/CH 4 of 11 May 99) (FY 1996 constant dollars)

ACAT	ID	IC	II	III	IVT	IVM	Abbreviated Acquisition Pgms
Criteria:			> \$135M		Requires OT&E	No OT&E	No OT&E
RDT&E	> \$355M	> \$355M	≤ \$355M	≤ \$135M	≤ \$135M	≥ \$5M ≤ \$135M	< \$5M
Procurement	> \$2.135B	> \$2.135B	≤ \$2.135B	≤ \$640M total, and affects mission characteristics of ships or aircraft or combat capability	≤ \$640M total, and does not affect mission characteristics of ships or aircraft or combat capability	≥ \$15M/yr ≥ \$30M total ≤ \$640M total, and does not affect mission characteristics of ships or aircraft or combat capability	< \$15M/yr < \$30M total, and does not affect mission characteristics of ships or aircraft or combat capability

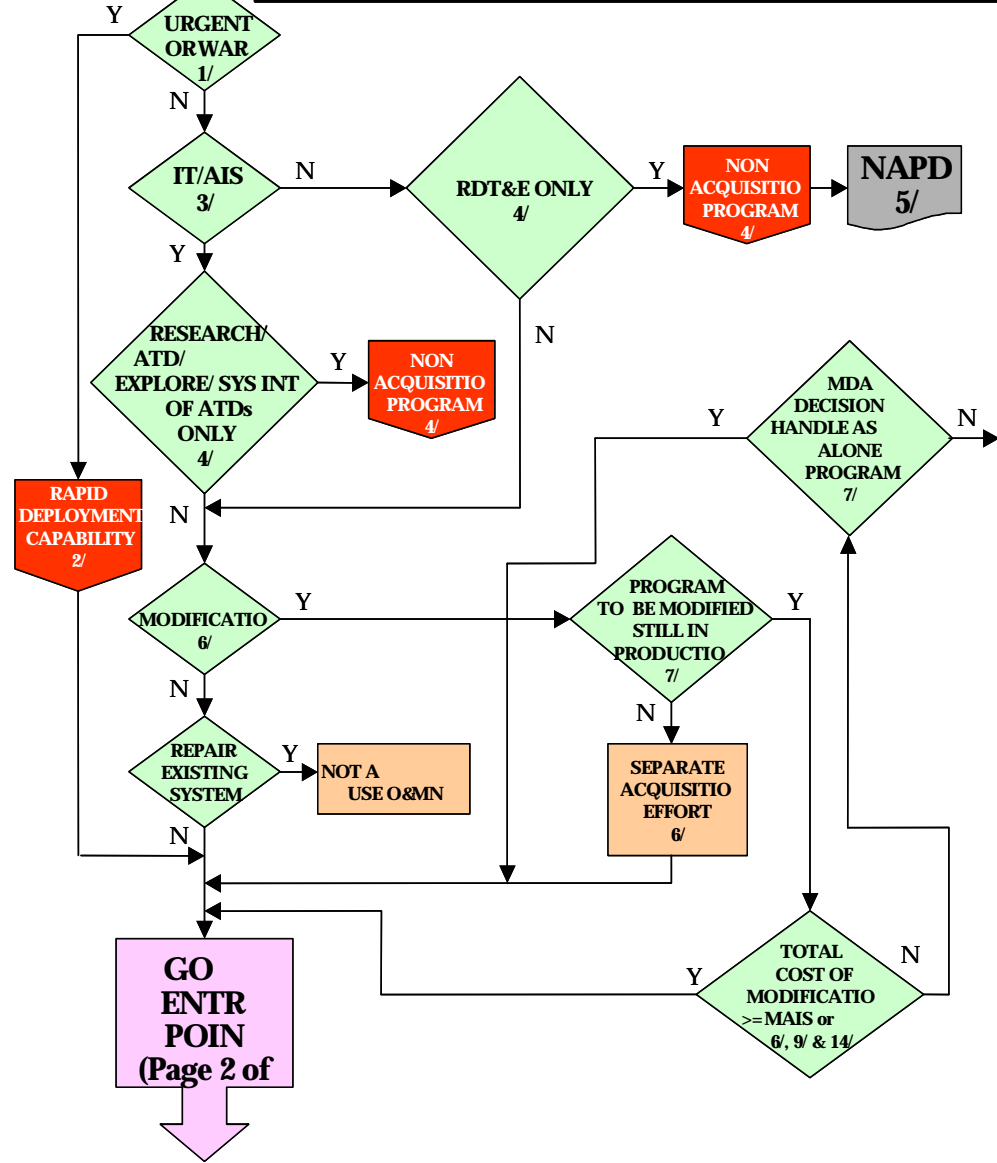
Information Technology (IT) Programs (SECNAVINST 5000.2B/DoD 5000.2-R w/CH 4 of 11 May 99) (FY 1996 constant dollars)

ACAT	IAM	IAC	II	III	IVT	IVM	Abbreviated Acquisition Pgms
Criteria:			(N/A)		Requires OT&E	(N/A)	No OT&E
Pgm Cost/Yr	> \$30M	> \$30M		≥ \$15M ≤ \$30M	< \$15M		< \$15M
Total Pgm Cost	> \$120M	> \$120M		≥ \$30M ≤ \$120M	< \$30M		< \$30M
Life Cycle Cost	> \$360M	> \$360M		≤ \$360M	≤ \$360M		≤ \$360M

NOTE 1: The tables above contain the respective cost and qualitative criteria for weapon system acquisition program and information technology acquisition programs. These tables were created by extracting the appropriate information from the SECNAVINST 5000.2B and DoD 5000.2-R documents.

PROGRAM EVALUATION

SPAWAR ACQUISITION CATEGORY DESIGNATION TEMPLATE
REFERENCES A. DoD Regulation - R dtd March 15, 1996
B. SECNAVINST 5000.2B dtd December 6,



ACAT exists for program being modified?	APB exists for program being modified?	Mod plus program \$ breaches APB threshold?	Mod requires additional funding?	Mod breaches AAP program threshold? 4/5/	PM Action	CNO/CMC Action 6/	MDA Action
YES	YES	NO	NO	YES* or NO	Execute mod	Approve ORD* 2/	None
NO	NO	N/A	NO	NO	Execute mod	Approve requirement	None
NO	NO	N/A	YES	NO	Prepare funding request Execute mod	Approve requirement Provide funding	None
YES	YES	NO	YES	YES* or NO	Prepare Funding request Execute Mod	Approve ORD* 2/ or requirement Provide funding	None
YES	NO	N/A	NO	YES* or NO	Prepare APB 1/ Execute Mod	Approve ORD* 2/ or requirement Endorse APB 1/	Approve APB 1/
YES	NO	N/A	YES	NO	Prepare funding request Prepare APB 1/ Execute Mod	Approve requirement Provide funding Endorse APB 1/	Approve APB 1/
YES	YES	YES	NO	YES* or NO	Revise APB 1/ Revise TEMP 2/ Execute Mod	Approve ORD* 2/ or requirement Endorse APB 1/ Endorse TEMP 2/	Approve APB 1/ Approve TEMP 2/
YES	NO	N/A	YES	YES	Prepare funding request Prepare APB 1/ Revise TEMP 2/ Execute Mod	Approve ORD 2/ Provide funding Endorse APB 1/ Endorse TEMP 2/	Approve APB 1/ Approve TEMP 2/
NO	NO	N/A	YES	YES	Prepare funding request Prepare APB 1/ Prepare ACAT 3/ design request Execute mod	Approve ORD 2/ Provide funding Endorse APB 1/ Endorse TEMP 2/	Approve APB 1/ Approve TEMP 2/ Approve ACAT request 3/
YES	YES	YES	YES	YES* or NO	Prepare funding request Revise APB 1/ Revise TEMP 2/ Execute mod	Approve ORD* 2/ or requirement Provide funding Endorse APB 1/ Endorse TEMP 2/	Approve APB 1/ Approve TEMP 2/

MODIFICATION IS...

PART OF EXISTING ACAT PROGRAM

PART OF EXISTING ABBREVIATED ACQUISITION PROGRAM

PART OF EXISTING ACAT PROGRAM

PART OF NEW ACAT PROGRAM

PART OF EXISTING ACAT PROGRAM

NOTES for Flow Chart (Continue to page 2 of 2 for

1/ Urgent or War is defined in SECNAVINST 5000.2B, Enclosure (1), page 14, paragraph 1.9.1.
 2/ Rapid Deployment Capability is defined in SECNAVINST Enclosure (1) page 14, paragraph
 3/ IT is defined in SECNAVINST 5000.2B, Enclosure (1), page 1, paragraph 1.1.1 and Enclosure (7), page -3.
 4/ Non-Acquisition Program and ATDs are defined in SECNAVINST Enclosure (1) page 13, paragraph
 5/ NAPDD is defined in SECNAVINST 5000.2B, Enclosure (7), II, annex A, section 6.
 6/ Modification is defined in SECNAVINST 5000.2B, Enclosure (1) e 10, paragraph 1.4.5.2.
 7/ Program in Production & PDA Decision for stand alone are in DoD 5000.2R, part 1, page 6, paragraph 1.4.5.2 and SECNAVINST 5000.2B, Enclosure (1), page 10, h 1.4.5.2

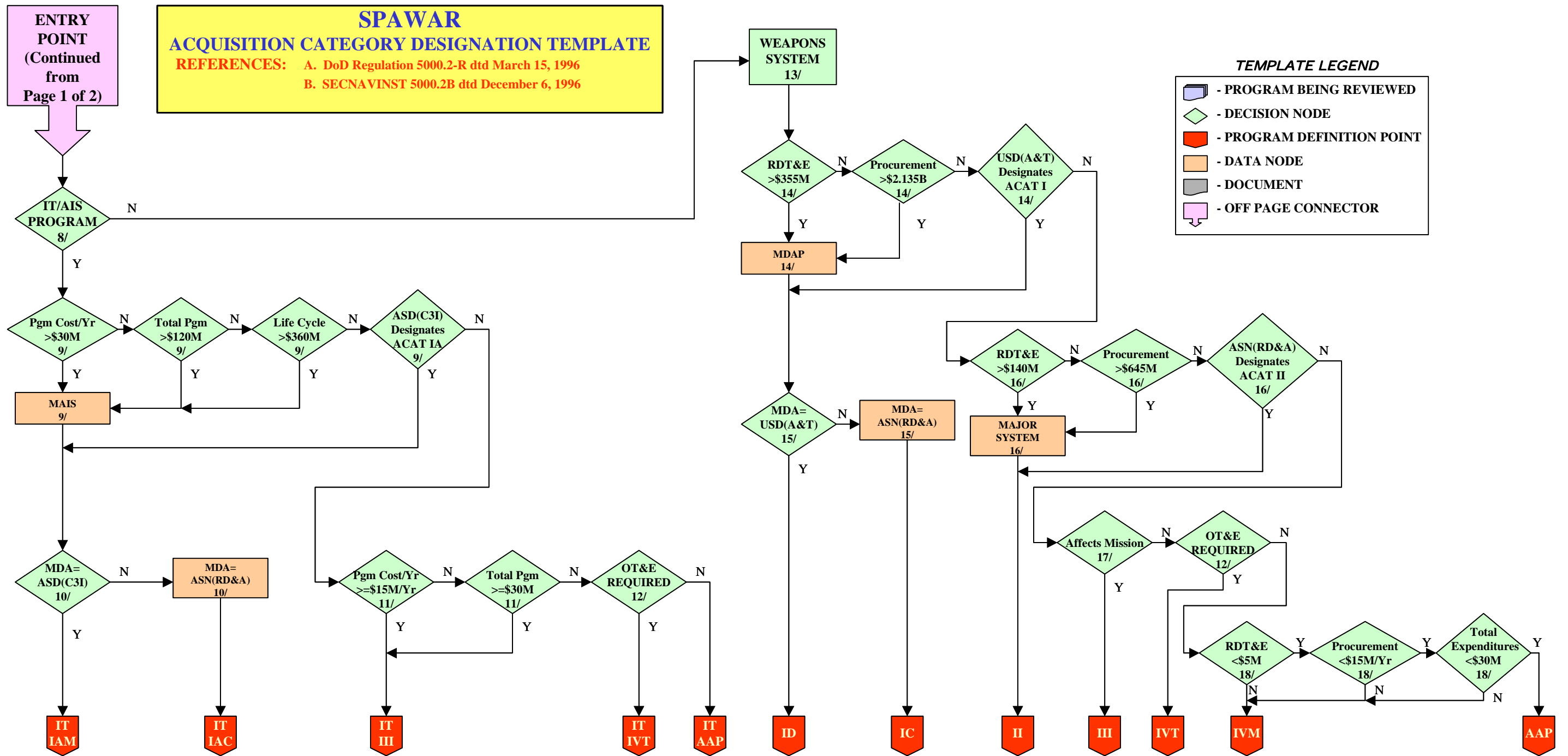
GENERAL NOTE: This FLOWCHART above contains the respective (in FY1996 constant dollars) and qualitative criteria weapon system acquisition programs and information technology acquisition programs. This flowchart was created evaluate acquisition program category designation by the appropriate information from the DoD 5000.2R SECNAVINST 5000.2B documents. Users of this flowchart are to refer to the governing references when using this

Modification Table (SECNAVINST 5000.2B, Enclosure (1), page

NOTES for Modification Table

1/ "Prepare APB" is for the original ongoing program if a nt APB" does not exist, or for the "modification only" if the dification is to be managed as a separate program. "Revise is for the original ongoing program.
 2/ If a new, or change to an existing, ORD or TEMP is required, formats for ORD and TEMP in DoD 5000.2R, appendices II and
 3/ "Prepare ACAT designation request" is for the "modification only", unless the original program is still ongoing (i.e., in duction), in which case the ACAT designation request shall pass both the original program and the modification(s). See the ACAT gnation request and ACAT designation change request content random in enclosure (7), appendix II, annex A, section 7 SECNAVINST 5000.2B
 4/ \$ threshold for "Abbreviated Acquisition Programs" is less an: for weapon system programs, \$5M RDT&E, \$15M procurement any one fiscal year, and \$30M procurement total; for IT \$15M single year program costs and \$30M total program
 5/ If answer to column 5 is YES", an approved ORD or ORD n is required.
 6/ For IT programs, endorsement is provided by the IT area point of contact, approval is provided by the resource nsor.

DRAFT ENCLOSURE Page 12/8/



NOTES for Flow Chart (continued from page 1 of 2)

8/ IT Program is defined in SECNAVINST 5000.2B, Enclosure (1), page 1, paragraph 1.1.1 and Enclosure (7), page VII-3.

9/ MAIS criteria and cost are defined in DoD 5000.2R, part 1, page 2, paragraph 1.3.2 and SECNAVINST 5000.2B, Enclosure (1), page 4, paragraph 1.3.2.

10/ MDA criteria are defined in DoD 5000.2R, part 1, page 3, paragraph 1.3.2 and SECNAVINST 5000.2B, Enclosure (1), page 4, paragraphs 1.3.2.1 and 1.3.2.2.

11/ Cost criteria for ACAT III is defined in SECNAVINST 5000.2B, Enclosure (1), page 4, paragraph 1.3.4.

12/ OT&E criteria is defined in SECNAVINST 5000.2B, Enclosure (1), page 5, paragraph 1.3.5.

13/ Weapons System is defined in SECNAVINST 5000.2B, Enclosure (1), page 3, paragraph 1.3 and Enclosure (7), page VII-6.

14/ MDAP criteria and cost are defined in DoD 5000.2R, part 1, pages 1 and 2, paragraph 1.3.1 and SECNAVINST 5000.2B, Enclosure (1), page 3, paragraph 1.3.1.

15/ MDA criteria are defined in DoD 5000.2R, part 1, page 2, paragraph 1.3.1 and SECNAVINST 5000.2B, Enclosure (1), page 3, paragraphs 1.3.1.1 and 1.3.1.2.

16/ Major System is defined in DoD 5000.2R, part 1, page 4, paragraph 1.3.3 and SECNAVINST 5000.2B, Enclosure (1), page 4, paragraph 1.3.3.

17/ SECNAVINST 5000.2B, Enclosure (1), page 4, paragraph 1.3.4 defines as, "A weapon system not otherwise designated ACAT I or II and which affects the military characteristics of ships or aircraft or involves combat capability will normally be designated an ACAT III program".

18/ AAP criteria and cost are defined in SECNAVINST 5000.2B, Enclosure (1), page 6, paragraph 1.3.6.1.

GENERAL NOTE: This FLOWCHART above contains the respective cost (in FY1996 constant dollars) and qualitative criteria for weapon system acquisition programs and information technology acquisition programs. This flowchart was created to evaluate acquisition program category designation by extracting the appropriate information from the DoD 5000.2R and SECNAVINST 5000.2B documents. Users of this flowchart are urged to refer to the governing references when using this chart.

SAMPLE FORMS

<u>TITLE</u>	<u>PAGE</u>
<u>NAPDD Format</u>	2
<u>Sample ACAT Request/Change for Weapon System</u>	4
<u>Sample ACAT Request/Change for IT System</u>	5
<u>Sample AAP Designation Request Letter</u>	7
<u>Sample OPTEVFOR OT Concurrence Letter</u>	9
<u>Sample ADM for ACAT III and IV Program</u>	11

**NON-ACQUISITION PROGRAM DEFINITION DOCUMENT (NAPDD)
FORMAT
FOR**

(GENERIC NAME)

(Ref: [SECNAVINST 5000.2B, Appendix II, Annex A, Section 6](#))

[Limit length to a maximum of 3 pages]

1. Purpose/Intent of effort. Include necessary background information to discuss shortcomings of existing technologies/equipments. Describe previously examined systems or concepts, including an assessment of international technology, relevant to the program under consideration. Briefly discuss the mission area/application in which the results of the non-acquisition program might be employed and the anticipated degree of enhancement.
2. Scope of Effort. Describe the nature and scope of the envisioned effort (e.g., advanced technology demonstrations of existing technologies/systems, refinement of emerging advanced technologies or advanced technologies, development of theoretical concepts, or concept evaluations (e.g., non-developmental items)).
3. Resource Summary. Provide planned research, development, test and evaluation, Navy (RDT&E,N) funding profile by year for each of the authorized years. While 3 years is normally the maximum period for a NAPDD, provide total out-year funding by fiscal year if additional effort is anticipated.
4. Deliverables. Describe the deliverables that are to be produced pursuant to authorized expenditure of funds (e.g., hardware or software demonstrations, concept evaluations, models, designs, reports, reviews, concept exploration and definition documentation, etc.). Specify delivery dates for each item by fiscal year and quarter.
5. Program Reviews. Require the submission of a plan of action and milestones (POA&M) which describes the strategy for execution and completion of the effort. Provide an anticipated schedule for the submission of the POA&M and a schedule for NAPDD reviews.
6. Transition. Outline the plan for transition to an ACAT program. Identify resources, program sponsor, program element, and project to which an advanced technology demonstration (ATD) would transition.

NON-ACQUISITION PROGRAM DEFINITION DOCUMENT [NAPDD)

FOR

(GENERIC NAME)

(Ref: [SECNAVINST 5000.2B](#), Appendix II, Annex A, Section 6)

[NAPDD # _____ ASSIGNED BY CNO (N091) UPON APPROVAL]

PE _____

Program _____

SUBMITTED:

CNO (resource sponsor)

Date

Typed Name

ENDORSED:

CNO (N8)

Date

Date

Typed Name

APPROVED:

CNO (N091)

Date

Typed Name

Distribution:

Cognizant PEO/SYSCOM/DRPM

copy to:

ASN (RD&A)

WEAPON SYSTEM PROGRAMS
ACAT DESIGNATION REQUEST (CONTENT)

or

ACAT DESIGNATION CHANGE REQUEST (CONTENT)

(Ref: [SECNAVINST 5000.2B, Appendix II, Annex A, Section 7](#))

The memorandum requesting an acquisition category (ACAT) designation or requesting a change in ACAT designation shall be sent to ASN(RD&A) for ACAT ID, IC, and II programs via PEO/SYSCOM/DRPM, or to PEO/SYSCOM/DRPM for weapon system ACAT III and ACAT IV programs, and shall contain the following information:

1. Acquisition program short and long title.
2. Prospective claimant/SYSCOM/PEO/DRPM/PM.
3. Prospective funding: (where known)
 - a) Appropriation (APPN): [repeat for each appropriation]
 - i) [Repeat for each program element (PE)/Line Item (LI)/Sub-project (Sub)]
 - Program Element (No./Title) :
 - Project Number/Line Item (No./Title):
 - Sub-project/Line Item (No./Title):
 - Budget: [FY-1996 constant dollars in millions]

Current FY	Budget FY	FY	FY	FY	FY	FY	FY	To complete	Total

4. Program description. (Provide a brief description of the program, including its mission)
5. List Mission Need Statement, Operational Requirements Document, and respective approval dates.
6. Milestone status. (list completed milestones and dates; list scheduled milestones and dates)
7. Recommended ACAT assignment, or change, and rationale.

copy to: ASN(RD&A) [ACAT III and IV programs]
 DASN(RD&A) [cognizant DASN for all ACAT programs]
 CNO (N8/N091) [All Navy ACAT programs]
 COMOPTEVFOR [All Navy ACAT programs]

**INFORMATION TECHNOLOGY PROGRAMS
ACAT DESIGNATION REQUEST (CONTENT)**
or
IT ACAT DESIGNATION CHANGE REQUEST (CONTENT)

(Ref: [SECNAVINST 5000.2B, Appendix II, Annex B, Section 6](#))

1. Procedures

- a. **Preparation, Review And Submission.** ACAT designation requests for potential IT ACAT IA programs shall be submitted to the ASN(RD&A) or designee. ACAT designation requests for IT ACAT III and IV(T) programs shall be submitted to COMSPAWARSYSCOM with a copy to Operational Test and Evaluation (OPTEVFOR). The request shall provide the following information:
- 1) Title of program,
 - 2) Program manager, IT functional area, and resource sponsor points of contact (POCs),
 - 3) Projected costs and funding sources, and relationship to the IT budget,
 - 4) Program description,
 - 5) Relationship to Department of Defense Corporate Information Management initiatives, the DON IT Strategic Plan, and migration and legacy systems,
 - 6) Potential for savings and return on investment,
 - 7) Anticipated use of both developmental and non-developmental IT,
 - 8) Operational test and evaluation requirements,
 - 9) Performance measurements to be used to measure how well the proposed IT program supports agency programs, and
 - 10) Recommended ACAT assignment and milestone decision authority (MDA).
- b. **Approval.** COMSPAWARSYSCOM will assess a recommendation and determine an ACAT designation and MDA for IT ACAT III and IV(T) programs. Potential IT ACAT IA programs shall be forwarded to ASN(RDA) or designee for further action.
- c. **Responsibilities.**

- 1) The potential program manager (PM), or responsible acquisition official, shall initiate the request, coordinate with the IT functional area POC, and provide a copy to COMOPTEVFOR.
- 2) The IT functional area POC shall endorse the request.
- 3) COMSPAWARSYSCOM shall coordinate with COMOPTEVFOR and designate IT ACAT III and IV(T) programs. A copy of COMSPAWARSYSCOM approved ACAT designations for IT ACAT III and IV(T) programs shall be forwarded to the ASN(RDA) or appropriate designee.
- 4) The ASN(RDA) or appropriate designee shall forward potential ACAT IA designations to ASD(C3I) for designation as ACAT IAM or IAC.

**Abbreviated Acquisition Program
Designation Request Letter**

(Ref: SPAWAR Non-Acquisition Guidance)

5000
xxxx
Date

MEMORANDUM OF RECORD

From: Program Manager/Director

Subj: ABBREVIATED ACQUISITION PROGRAM (AAP) REQUEST IN THE CASE OF THE _____ PROGRAM

Ref: (a) SECNAVINST 5000.2B
(b) OPNAV Requirements Letter

Encl: (1) Program Schedule
(2) Cost and Funding Summary
(3) COMOPTEVFOR Concurrence Letter

1. In accordance with the requirements and procedures described in SECNAVINST 5000.2B, it is requested that the _____ program be designated an Abbreviated Acquisition Program (AAP).

2. The _____ program will replace/modify/enhance _____ now in use/required by the _____ with an industry standard, fully supported _____ containing all equipment and accessories necessary to _____, under _____ conditions. The requirement for the _____ is contained in ORD/MNS/OPNAV Letter xxx.xx

3. A preliminary schedule for the _____ program is shown at enclosure (1).

4. Projected total life-cycle costs for the _____ program are as follows (figures are constant year dollars and include all services costs):

RDT&E	\$X.XM
Procurement	\$X.XM
Installation	\$X.XM
O&MN	\$X.XM (XX year life)

RDT&E	\$0.8M
Procurement	\$2.4M
OM&N	\$2.9M (10 Year life)

A cost and funding summary is shown at enclosure (2). The _____ program is fully funded in the current budget.

5. We will subject the _____ program to rigorous developmental testing at _____ under realistic _____ and various weather conditions. The _____ program components will be assembled/constructed using the highest quality components available. All parts will be chosen from _____ list of approved items. Because of the COTS/NDI nature of the _____ program, the fact that components are in use by _____ around the world, and in view of the extensive nature of developmental testing we have planned for the program, COMOPTEVFOR has, in enclosure (3), concurred with our recommendation that the _____ program not be subjected to independent operational testing.

6. The PM-XXX POC for this matter is Captain _____ at ex -XXXX.

//Program Manager//

Copy to:
OPNAV (Resource Sponsor)
OPTEVFOR

COMOPTEVFOR
Concurrence Letter

(Ref: SPAWAR Non-Acquisition Guidance)

5000

xxxx

Date

From: Commander, SPAWARSSYSCOM

To: Commander, OPTEVFOR

Subj: ACQUISITION CATEGORY IVM PROGRAM (ACAT IVM) REQUEST IN THE
CASE OF THE _____ PROGRAM

Ref: (a) [SECNAVINST 5000.2B](#)

Encl: (1) As Appropriate

1. In accordance with the reference, this memorandum is to advise you of our plans to execute the subject Acquisition Category IVM Program (ACAT IVM). The proposed ACAT IVM is described as follows:

(describe the proposed ACAT IVM and attach any information that may assist COMOPTEVFOR in evaluating the need for Operational Testing, including details of the planned DT. The enclosures (if any) are provided for your review.

2. We seek your concurrence with our plan to execute this program without operational testing. Please return this memorandum with your concurrence or non-concurrence signified on the proposed return endorsement, which has been attached for your convenience.

Program Manager
By Direction

RETURN ENDORSEMENT

From: Commander, OPTEVFOR

To: Commander, SPAWARSSYSCOM

Subj: ACQUISITION CATEGORY IVM PROGRAM (ACAT IVM) REQUEST IN THE
CASE OF THE _____ PROGRAM

1. The subject ACAT IVM has been reviewed and the following comments are provided:

a. Concur that the program should be managed as an ACAT IVM and that operational testing/additional operational testing is not required. _____(initial)

b. Do not concur that the subject program should be managed as an ACAT IVM. It is recommended that the proposed change undergo operational testing. _____(initial)

Signature

Sample ADM for ACAT III and IV Programs

(Ref: SPAWAR Non-Acquisition Guidance)

5230

Ser SPAWAR 00/

Date

From: Commander, Space and Naval Warfare Systems Command

To: Program Manager, _____ (PMW-XXX)

Subj: _____ PROGRAM NAME _____ MILESTONE ___ ACQUISITION
DECISION MEMORANDUM

Ref: (a) DODD 5000.1 of 15 March 1996
(b) DOD 5000.2-R of 15 March 1996
(c) SECNAVINST 5000.2B of 06 December 1996
(d) Milestone Decision Meeting of _____ Date _____

1. As the designated [Milestone Decision](#) Authority per references (a) through (c), I approve Milestone ___ for the _____ Program based on the program decision brief (reference (d)).
2. _____ Program is established as an Acquisition Category ___ (ACAT___) program.
3. You are to draft a program structure and schedule a program review within ___ days of reference (d).
4. The following Phase ___ exit criteria must be achieved for Milestone ___ decision meeting:
 - [Approved Requirement \(ORD, MNS, ETC.\)](#)
 - [Approved Acquisition Program Baseline \(APB\)](#)
 - [Approved Acquisition Strategy](#)
 - [Draft Test and Evaluation Master Plan \(TEMP\)](#) (If Required)
 - [Environmental Health/Safety Assessment](#)
 - (List all other documents deemed necessary by the ADM)
 - [Joint Interoperability assessment](#)
 - [Analysis of Alternatives](#)
 - [Affordability Assessment](#)
 - [Life Cycle Cost Estimate](#)
 - [Low Rate Initial Production Decision](#)
 - [Risk Assessment](#)
 - [ACAT Designation Letter](#)
 - [Logistics Assessment Certification](#)

- Required documents for post-Milestone __ programs shall be completed within 6 months of this memorandum. Required documentation for pre-Milestone __ programs shall be completed in conjunction with appropriate programmatic events. As the Milestone Decision Authority, I have determined that any document not listed above is not required for this program.
5. As Program Manager for _____Program, you will ensure that the program continues to meet the thresholds defined in the [APB](#) (when approved). If during execution it appears that program cost, schedule, or performance estimates will not be met, you will immediately notify me in writing and await further instructions.

(signature)
COMSPAWAR

SPAWAR

ACQUISITION DOCUMENTATION MATRIX (See Note 1)

ACQUISITION CATEGORY APPLICABILITY (See Note 2)							PROGRAM DOCUMENTATION (alphabetical order)	SOURCE OF REQUIREMENT (See Note 3)			MILESTONE APPLICABILITY					PREPARED BY (Blue highlight indicates APM initiates)	REVIEWED BY/INFO (subject to PM and MDA discretion) (See Note 4)	APPROVED BY (See Note 5)	REQUIRED FORMAT	EST. TIME TO PREPARE (Contingent on program dynamics)	DEPENDENCIES	COMMENTS
ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT-AAP	STATUTORY		REGULATORY	OTHER	0	I	II	III									
										A	B	C	FRP									
				X	X				SPAWAR Non-ACAT Guidance		Not Applicable					APM	PMW, 00A-AR, OPTEVFOR (info), OPNAV	PM	None See Enclosure (4) for sample.	60 Days	- Information needed to prepare this document includes strategy, cost and requirements.	- This is an initiation document for an AAP Program. - COMOPTEVFOR concurrence is assumed unless otherwise noted.
X	X	X	X	X	X				SecNAV 5000.2B Para 1.3.7		As Required					APM	PMW, 00A-AR, PD, 08-4, 00S, 09, 00E, 00A, 00, (N61), ASN(RDA)	MDA	YES SecNAV 5000.2B, Appendix II, ANNEX (A), Section 7 & ANNEX (B), Section 6	60 Days	- ACAT designations are normally annotated on the cover of the requirements document.	- The ACAT Designation proposal is usually on the cover page of the requirements document. - An increase in the APB cost threshold can trigger the need for a change request.
X	X	X	X						DoD 5000.2-R Part 3.2.3 & 5.2.1 SecNAV 5000.2B Para 3.3.3		X	X	X	X	MDA Staff	PMW, 00A-AR, PD, 08-4, 00S, 09, 00E, 00A, 00, (N61), ASN(RDA)	MDA	None See Enclosure (4) for suggested sample	21 Days	- Dependencies include: * MDA's document requirements. * Exit criteria. * Milestone approval/LRIP quantities. * Delegate MDA authority.	-Documents decision made and exit criteria established at a milestone decision review or in-process review. -Specifies what must be done in the next acquisition phase.	
X	X	X							FAR Part 7.1 DFAR 207.1, NAFS Part 5207		See DoD 5000.2-R Part 3.6					APM	PMW, 00C, 02, PD, 08-4, 00S, 09, 00E, 00A, 00	MDA	None See FAR, part 7 for discussion on preparing.	107 Days (initial) 60 Days (update)	- Incorporates the following which are required prior to a MS decision: AS, AA, AoA, Risk Assessment, ES&H Considerations, CAIV Objective and LCC Estimate.	- For acquisitions > \$30 M or \$15M/yr. - Required prior to contract award. - A SAMP (which includes an AP) is required for ACAT I & may be required at the discretion of the MDA.
X	X	X	X				10 USC 2435 10 USC 2220 (a)(1)		DoDD 5000.1, D, 3.g (1996) DoD 5000.2-R Part 3.2.2 SecNAV 5000.2B Para 3.2.2 SecNAV Memo dtd 5 May 98		X	X	X	X	APM	PMW, 00A-AR, SPONSORS, PD, 08-4, 00S, 09, 00E, 00A, 00, N4, N8, N091, N096, N61)	MDA	YES DoD 5000.2R, Appendix I SecNAV 5000.2B, Appendix II, ANNEX (A), Section 4 & ANNEX (B), Section 4	180 Days (initial) 130 Days (update)	- Requires approved ORD prior to preparation. - Requires TOC computation. - See the following web address www.navsea.navy.mil /sea017/TOC.htm.	- Required by Statute for ACAT programs. - Documents cost, schedule and performance objectives and thresholds. - Information for the AAP is included in the AAP Request.	
X	X	X	X						DoD 5000.2-R Part 3.3 SecNAV 5000.2B Para 3.3.		X	X	X	X	APM	PMW, 00A-AR, SPONSOR, PD, 08-4, 00S, 09, 00E, 00A, 00	MDA	None	90 Days	- AS is referenced in the AP. - PEO and CAE shall concur as appropriate for ACAT I, IA, II.	- The roadmap for Program Execution. - Essential elements include open systems, sources, risk management, CAIV, contract & management approach, environmental, modeling & simulation, warranty & support source.	
X	X	X	X	X	X				DoDD 5000.1 D, 1.a (1996), 4.5.3 (2000) DoDD 5134 Para 4.1.10 DoD 5000.2-R Part 2.5 SecNAV 5000.2B Para 2.5		X	X	X	X	APM	PMW, PD, 01, 02, 08-4, 00S, 09, 00E, 00A, 00	MDA	None	30 – 60 Days	- Full funding to support program shall be included in all program and budget submissions. - PPBS is the basis for making the assessment.	-Provides assessment of program affordability and the determination of affordability constraints throughout and beyond the FYDP.	
X	X	X	X						DoD 5000.2-R Part 2.4 SecNAV 5000.2B Para 2.4		X	As Required			Independent Activity	Determined by MDA/CNO/ASN as appropriate.	MDA/CNO/ASN (as appropriate depending on ACAT)	None SecNAV 5000.2B, Appendix II, ANNEX (A), Section 2 & ANNEX (B), Section 2	90 – 180 Days	- Must be linked to the MOEs in the ORD. - CAIV concepts shall be considered in doing the trade-off analysis.	- Required for ACAT I & II programs and encouraged for ACAT III & IV programs. - Supports Milestone Decision reviews by showing decision makers the advantages, disadvantages, and estimated costs of promising alternatives.	
X	X	X	X	X	X		47 USC 305 Pub L 102-538 47 USC 901-904		DoD 5000.2-R Part 4.4.7 SecNAV 5000.2B Para 4.4.7 OPNAV 2400.20E			X	X	X	APM	PMW, PD, 05 (as required by DD form 1494).	CNO (N6)	YES Use DD form 1494	30 Days	- Frequency allocation (spectrum certification) shall be obtained prior to obligating funds.	- Applicable to all systems/ equipment that require use of the electromagnetic spectrum. - Apply as soon as the frequency bands of operation for the C4I system are identified.	

NOTES:

- Note 1:** This table contains acquisition program information that is applicable for milestone reviews and other program decision actions. This table is only a guide in defining program information and documentation requirements for acquisition programs. Acquisition Managers are encouraged to refer to the governing references to validate program requirements. Acquisition Managers should also seek opportunities with the MDA for tailoring and streamlining program documentation requirements.
- Note 2:** To look at documentation associated with a specific acquisition category, Acquisition Managers can sort the information contained in this Microsoft Word Table by clicking the cursor arrow at the top of the appropriate acquisition category column.
- Note 3:** In some cases, the Statutory Requirement directs what activity to accomplish, and the Regulation directs how the activity will be satisfied and documented.
- Note 4:** MDA is usually defined by the ACAT assigned. SPAWAR 00 has delegated the MDA authority for SPAWAR ACAT III and IV Programs to the responsible Program Director (PD).
- Note 5:** This is a brief list of proposed Reviewers, based on SPAWAR 00 as the MDA. A formal Chop Chain for documentation is contingent on the MDA, Program Category and the applicable codes with functional oversight. When the MDA is other than SPAWAR 00, the proposed Reviewers should be modified accordingly.

ENCLOSURE (5)
Page 1

SPAWAR

ACQUISITION DOCUMENTATION MATRIX (See Note 1)

ACQUISITION CATEGORY APPLICABILITY (See Note 2)							PROGRAM DOCUMENTATION (alphabetical order)	SOURCE OF REQUIREMENT (See Note 3)			MILESTONE APPLICABILITY					PREPARED BY (Blue highlight indicates APM initiates)	REVIEWED BY/INFO (subject to PM and MDA discretion) (See Note 4)	APPROVED BY (See Note 5)	REQUIRED FORMAT	EST. TIME TO PREPARE (Contingent on program dynamics)	DEPENDENCIES	COMMENTS
ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT-AAP	STATUTORY		REGULATORY	OTHER	0	I	II	III	A	B							
X	X	X	X			10 USC 2399	DoD 5000.2-R Part 6.3.3 SecNAV 5000.2B Para 6.3.3					X	X			DOT&E	Determined by DOT&E and OSD as appropriate.	OSD	None	Varies	- Satisfactory OT&E required. - Not applicable to IA programs. - Statutory for ACAT ID & 1C. - Regulatory if D,OT&E has oversight for ACAT II, III, & IV programs	
X		X	X		X		DoD 5000.2-R Part 2.2.1 CJCSI 3170.01A				X	X	X	X		APM	PMW, PD, 00, OPNAV (N61, N1, N2, N3/5, N8, N091, N093), J6, DISA	OPNAV (N6)	None (DSMC Deskbook provides guidance)	180 Days	- Requires approved ORD. - Need draft TEMP before preparing. - Required prior to MS III. - Need compliance with CCA.	- Required for all weapons systems/ programs that interface with C4I systems.
X		X	X			PL 104-106, Division E	DoD 5000.2-R Part 3.3.5 IAR Part 31.103					X	X	X		APM	PMW, PD, 02, 00C, 00, OPNAV	CIO	None	Varies	-Requires C4ISP compliance. -Requires Global Information Grid (GIG) compatibility.	- Required for all IT Programs including NSS (National Security Systems). - Modular contracting
			X	X			SecNAV 5000.2B Para 1.3.5.	SPAWAR Non-ACAT Guidance			X	X	X	X		APM	PMW, PD, OPTEVFOR, (OPNAV if appropriate).	MDA	None (See enclosure (4) for a sample format)	7 Day	- Required prior to designating a program an ACAT IVM or AAP.	- Required to validate program as a ACAT IVM or AAP. - COMOPTEVFOR vehicle for validating no OT&E required..
X						10 USC 2350	DoD 5000.2-R Part 3.3.2.3 & 3.3.6.2 SecNAV 5000.2B Para 4.3.9 DAARS 225				X	X	X	X		APM	PMW, PD, 02, 00C	MDA	None	Varies	- Not statutorily required for ACAT IA programs. - Usually part of the Acquisition Strategy.	
X						10 USC 2350	DoD 5000.2-R Part 6.4.5				ANNUALLY				APM/PM/OPNAV	PMW, PD, 02, 00C, 00, OPNAV	USD(A&T)	None	Varies		- Required for ACAT I programs annually to report compliance with cooperative opportunities regulations. - Normally part of the AS.	
X							DoDD 5000.4 DoD 5000.2-R Part 3.5.1 SecNAV 5000.2B Para 3.5.1				X	X	X	X		APM/PM/NCCA (Navy Center for Cost Analysis)	PMW, PD, 01, 02, 00, NCCA	MDA (OSD/CAIG)	None (Content in DoD 5000.4-M)	180 Day (initial) 60 Days (update)	- A CARD shall be prepared for ACAT I and IA programs prior to preparation of the Independent Cost Estimate and the Life Cycle Cost Estimate.	- The CARD shall be flexible, tailored, and reference information available in other documents.
X	X	X	X				DoDD 5000.1 D.1.f (2000) DoD 5000.2-R Part 3.3.4 SecNAV 5000.2B Para 3.3.3 & 2.3.3.1				X	X	X	X		APM	PMW, PD, 01, 02, 08-4, 00S, 09, 00E, 00A, 00	MDA	None	Varies	- The CAIV process is used to help develop the Acquisition Strategy or the Acquisition Plan. - Occurs after MNS Approval..	- Cost, schedule, and performance objectives are developed through the (CAIV) process. - CAIV Objective is usually included as part of the AS. - CAIV concept shall be applied to all DoN programs.
X						10 USC 2433					X	X	X	X		APM	PMW, PD, 01, 02, 08-4, 00S, 09, 00E, 00A, 00	USD (AT&L)	None	Varies	- PM proposes tailoring this report to USD(AT&L).	- The DAES is the vehicle for report to USD(AT&L) potential & actual program problems before they become significant. - Not applicable to ACAT IA programs.
X	X	X	X	X	X	PL 103-160	DoD 5000.2-R Part 6.3.5 SecNAV 5000.2B Para 6.3.5				ANNUALLY				D,TSE&E	Determined by D,TSE&E and SECDEF as appropriate.	SECDEF submit to Congress	No, but Mandatory Content (DoD EW Plan)	Varies		- Designated Electronic Warfare programs shall report annually their compliance with the EW Test and Evaluation Process. Report applicability, submission format, and date are contained in the DoD EW plan	

NOTES:

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- Note 2:** To look at documentation associated with a specific acquisition category, Acquisition Managers can sort the information contained in this Microsoft Word Table by clicking the cursor arrow at the top of the appropriate acquisition category column.
- Note 3:** In some cases, the Statutory Requirement directs what activity to accomplish, and the Regulation directs how the activity will be satisfied and documented.
- Note 4:** MDA is usually defined by the ACAT assigned. SPAWAR 00 has delegated the MDA authority for SPAWAR ACAT III and IV Programs to the responsible Program Director (PD).
- Note 5:** This is a brief list of proposed Reviewers, based on SPAWAR 00 as the MDA. A formal Chop Chain for documentation is contingent on the MDA, Program Category and the applicable codes with functional oversight. When the MDA is other than SPAWAR 00, the proposed Reviewers should be modified accordingly.

ENCLOSURE (5)
Page 2

SPAWAR ACQUISITION
PROGRAM STRUCTURE
GUIDE
VOLUME I, VERSION 1.0
01/12/01

SPAWAR

ACQUISITION DOCUMENTATION MATRIX (See Note 1)

ACQUISITION CATEGORY APPLICABILITY (See Note 2)							PROGRAM DOCUMENTATION (alphabetical order)	SOURCE OF REQUIREMENT (See Note 3)			MILESTONE APPLICABILITY					PREPARED BY (Blue highlight indicates APM initiates)	REVIEWED BY/INFO (subject to PM and MDA discretion) (See Note 4)	APPROVED BY (See Note 5)	REQUIRED FORMAT	EST. TIME TO PREPARE (Contingent on program dynamics)	DEPENDENCIES	COMMENTS	
ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT-AAP	STATUTORY		REGULATORY	OTHER	0	I	II	III	A	B								C
X	X	X	X	X	X		<u>ENVIRONMENTAL, SAFETY & HEALTH (ESH) EVALUATION</u>	42 USC 4321-4370d 40 CFR 1500-1508 EOs 12856, 12114, 11514, 12196	DoDI 5000.1 D.L.e & D.2.1 (2000) DoD 6055.1 FAR 11.301 DoD 5000.2-R Part 3.3.7 and 4.3.7 SecNAV 5000.2B Para 3.3.6			X	X	X	X			APM/PM (Assisted by OPNAV (00N))	PMW, PD, 00F, 08-4, 00S, 09, 00E, 00A, 00, OPNAV, CNO	MDA	None	4 - 6 Months	- The PM shall initiate early as possible in support of the Milestone I decision and shall update throughout the lifecycle of the program. - The Acquisition Strategy shall include an ESH evaluation. - By Statute, every program should have an on-going environmental planning process to support program decision making. - The APB includes any environmental concerns if applicable.
X	X	X	X	X	X		<u>FUTURE YEARS DEFENSE PROGRAM (FYDP) FUNDING PROFILE (FULL FUNDING)</u>		DoD 5000.2-R Part 2.5 & 6.2.2 SecNAV 5000.2B Para 2.5			X	X	X	X			DoD Component Head	Determined by DoD Component as appropriate.	MDA	None (Content in the FYDP, POM, BES, & PB)	PPBS & FYDP Development Cycle	- Full funding to support approved ACAT I, IA, II, III, and IV programs shall be included in all program and budget submissions. - Ensures funding requirements are satisfied in the development of each PPBS phase. - Full Funding for all programs must be satisfied in the development of each PPBS phase.
X	X	X	X	X	X		<u>FOREIGN COMPARATIVE TEST (FCT) NOTIFICATION & REPORTS TO CONGRESS</u>	10 USC 2350 (a)g 10 USC 2457(d)	DoD 5000.2-R Part 3.4.10 & 6.3.4 DFAR part 235		NONE					DTSE&E	Determined by DTSE&E as appropriate	MDA	None	Varies	- Required 30 Days prior to commitment of funds for new FTC evals. - FCT is a DoD test and evaluation program that is prescribed by statute and that is centrally managed by the DTSE&E. - FCT provides funding for U.S. test and evaluation of selected equipment items and technologies developed by allied countries when such items and technologies are identified as having good potential to satisfy valid DoD requirements.		
X	X	X	X	X	X		<u>HORIZONTAL INTEGRATION (HI) SCHEDULE</u>			SPAWAR Initiative	As required by the MDA					APM	PMW, PD, 04, 05, 08-4, 00S, 09, 00E, 00A, 00	MDA	None	Varies	- This is a SPAWAR effort to integrate all C4I systems horizontally.		
X							<u>INDEPENDENT ESTIMATE OF FULL LIFE CYCLE COST.</u>	10 USC 2434 (for ACAT I only)	DoDI 5000.4 DoD 5000.4-M DoD 5000.2H DoD 5000.2-R Part 3.5.1 SecNAV 5000.2B Para 1.7 Part 2.5 & 3.5.1			X	X	X	X			OSD CAIG or Navy Center for Cost Analysis (NCCA) (if CAIG does not prepare)	Determined by OSD as appropriate.	MDA (Chair CAIG/Dir NCCA)	None	Varies	- A Cost Analysis Requirements Description (CARD) shall be prepared for ACAT I&IA programs prior to this estimate. - Documents the Development, Procurement, Construction and O&S Costs. - The MDA may require this for ACAT II.
X	X	X	X	X	X		<u>INTEROPERABILITY CERTIFICATE</u>		DoDI 4630.3 CJCSI 6212.01B						X			APM	PMW, PD, 05, 07, 00, OPNAV, J6, DISA, JITC	OPNAV (N8)	None	180 Days	- Final certification is based on JITC review. - Substantiated by the C4ISP. - Initial requirements certification normally obtained as result of MNS/ORD approval. - Mandatory for all C3I/C4I systems prior to milestone III.
X	X	X	X	X	X		<u>LEGALITY OF WEAPONS UNDER INTERNATIONAL LAW</u>		DoDI 5000.1 Para D.2.J (1996) SecNAV 5000.2B Para 1.7		Before award of Production Contracts.					APM/PM/CNO (as appropriate)	PMW, PD, 01, 02, 07, 00C, 00, OPNAV (Ensure JAG reviews)	USD/OSD (as appropriate)	None	Varies	- Must be approved before award of production contracts. - Verifies compliance with arms control agreements. - Normally not required for AIS Programs.		
X	X	X	X	X	X		<u>LOGISTIC ASSESSMENT CERTIFICATE</u>		DoD 4415.7-M Chapter 8 SECNAVINST 1105.1			X	X	X	X			APM	PMW L, PMW, 04L, N432, PD, 08-4, 00S, 09, 00E, 00A, 00	MDA	None (See Logistics Assessment Book dtd 21 Jan 97)	Varies	- All programs must receive an ILA prior to each Milestone Decision/LRIP/IOC and FOC.
X	X	X	X				<u>LOW RATE INITIAL PRODUCTION (LRIP) QUANTITIES DETERMINATION</u>	10 USC 2400	DoDI 5000.2 Para 4.7.3.3.3.1 SecNAV 5000.2B Para 1.4.4.1					X	X			APM	PMW, 00A-AR, PD, 08-4, 00S, 09, 00E, 00A, 00, (N61), ASN(RDA)	MDA	None	Varies	- Authorization is part of the ADM. - Require by Statute for those programs designated. - May be included in the AS. - Not applicable to IT programs. - A limited deployment phase may be appropriate for IT programs...

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SPAWAR

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ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT/AAP	STATUTORY		REGULATORY	OTHER	0	I	II	III									
										A	B	C	FRP									
X							10 USC 2434	DoD 5000.2-R Part 3.5.2				X	X	X	CNO/Naval Manpower Analysis Ctr (NAVMAC)	Determined by CNO and NAVMAC as appropriate.	CNO	None	Varies	- The MDA may not approve entry into engineering and manufacturing development or production and deployment unless a manpower estimate for the program has been completed and considered.	- For ACAT I programs, a manpower estimate shall be prepared by the Component's manpower authority in support of Milestone II and Milestone III. - Not Statutory for ACAT IA.	
X	X	X	X				10 USC 205a-205k, EO 12770	DoD 5000.2-R Part 4.4.4 SecNAV 5000.2B Para 4.4.4				X	X	X	APM	PMW, 00A-AR, PD, 08-4, 00S, 09, 00E, 00A, 00, (N61), ASN(RDA)	MDA	None	Varies	- The metric system of measurement shall be used in all elements of defense systems requiring new design, unless waived by the MDA as not in the best interest of the government.		
X	X	X	X					DoD 5000.1 DoD 5000.2-R Part 2.3 CJCSI 3170.01 SecNAV 5000.2B Part 1.5.1 & 2.3		X					Program Sponsor	Determined by Program Sponsor as appropriate.	JROC (ACAT I) CNO	Yes MOP 77, SECNAV 5000.2B, App. II, Annex A, sec. 1 & Annex B, sec. 1	180 Days	- Prepared in accordance with CJCSI 3170.01 and validated prior to Milestone 0.	- All Acquisition Programs require a validated requirements document (MNS, ORD and/or MEMO). - MNS shall identify and describe the mission contained in the DoD Strategic Plan and the Mission Deficiency.	
X	X	X	X					DoD 5000.2-R Part 2.3 CJCSI 3170.01			X	X	X	X	Component/ Program Sponsor	Determined by Program Sponsor as appropriate.	CNO JROC validation for ACAT I	Yes DoD 5000.2B, Appendix II SECNAV 5000.2B, App. II, Annex A, sec. 3 & Annex B, sec. 3	185 Days	- Thresholds and objectives in the ORD shall be CAIV-based, considering the results of the analysis of alternatives and the impact of affordability constraints.	- All Acquisition Programs require a validated requirements document (MNS, ORD and/or MEMO). - The ORD amplifies and refines the MNS. - Required prior to MS decision. - A new or revised ORD is not required for subsequent milestones if still current, but ORD must be revalidated for subsequent milestones.	
X								DoD 5000.2-Para 4.7.2.4.2 DoD 5000.2-R Part 5.4.1		As required for OIPT & normally at major program reviews and MS decision reviews.				OSD Staff	Determined by OSD Staff as appropriate.	MDA/DAB chair	None	Varies (but must be accomplished in support of a real time snapshot.)	- Must be done in support of a real time assessment of OIPT and WIPT work.	- OIPT is formed for ID & IAM Programs to assist in oversight and review as the program proceeds through its acquisition lifecycle.		
X	X	X	X	X	X			DoD 5000.4 DoD 5000.2-R Part 3.5 and 5.6 SecNAV 5000.2B Para 3.5.1 SecNAV Memos dtd 5 May 1998 & 13 Nov 1998			X	X	X	X	APM/NCAA	PMW, PD, 01, 02, 08-4, 00S, 09, 00E, 00A, 000	Cost Estimating Team OSD CAIG	None	Varies	- Naval Center for Cost Analysis (NCCA) analysts shall participate in developing life-cycle cost estimates for ACAT ID, IC, and II programs. - MDAs may request that similar NCCA assistance be used in developing life-cycle cost estimates for ACAT III and IV programs.	-Comprehensive in character, identifying all elements of cost that would be entailed by a decision to proceed with development, production or operation regardless of funding source or management control. - TOC data is required for all programs (see the following web address: www.navysea.navy.mil/sea017/TOC.htm).	
X	X	X	X	X	X			DoD 5000.1 DoD 5200.1-M DoD 5000.2-R Part 4.4.5 SecNAV 5000.2B Para 4.4.5 SecNAVINST 5200.1-10 APPENDIX B		As required for Program Protection Assessment.				APM	PMW, PD, 02, 08-4, 00S, 09, 00E, 00A, 00	MDA	None (But content can be found in SecNAVINST 5200.1-M).	Varies	- Each DON program shall consider program protection planning, which encompasses security, acquisition systems protection, systems security engineering, counterintelligence, and operations security (SASCO) requirements. - PPP is also summarized in the AS.	- A comprehensive protection and technology control management plan established for each defense acquisition program to identify and protect classified and other sensitive information from foreign intelligence collection or unauthorized disclosure. -- The PPP is designed to negate the Program Protection Threats and Vulnerabilities.		
X								DoD 5000.1 Para 4.7.3.3.5.2							APM	PMW, PD, 04, 08-4, 00S, 09, 00E, 00A, 00	MDA	None	Varies	- This information is specified in the ADM at MS III/FRP Decision Review.	- Provided at the Milestone III decision point to authorize entrance into production for an ACAT I or into deployment for an ACAT IA program.	
X	X	X	X	X	X				SPAWAR Initiative		X	X	X	X	APM	PMW	PM	Yes (SPAWAR local)	Varies	- Used by SPAWAR PMs and MDAs to evaluate program status.		
X	X	X	X	X	X			DoD 5000.1, D.Ld (1996) DoD 5000.2-R Part 3.3.3			X	X	X	X	APM	PMW, 00A-AR, PD, 08-4, 00S, 09, 00E, 00A, 00, (N61), ASN(RDA)	MDA	None	Varies	- Risk reduction measures shall be included in cost-performance trade-offs, where applicable. - Risk Assessment is normally part of the AS.	- The PM shall establish a risk management program for each acquisition program to identify and control performance, cost, and schedule risks. - May be included in Acquisition Strategy.	

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ENCLOSURE (5)
Page 4

SPAWAR ACQUISITION
PROGRAM STRUCTURE
GUIDE
VOLUME I, VERSION 1.0
01/12/01

SPAWAR

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ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT/AAP		STATUTORY	REGULATORY	OTHER	0	I	II	III	A								B	C
X						SELECTED ACQUISITION REPORTS (SAR)	10 USC 2432				X						Program Sponsor	Determined by Program Sponsor as appropriate.	CONGRESS	None	Varies		- Selected Acquisition Reports shall be prepared and submitted to Congress for all ACAT I programs using CAR software. - Not applicable to ACAT IA programs.
X	X	X				SINGLE ACQUISITION MANAGEMENT PLAN (SAMP)		DoD 5000.2R Part 5.8	SAF/AQ		X	X	X	X			APM	PMW, PD, 01, 02, 08-4, 00S, 09, 00E, 00A, 00	MDA	None (Content contained in the Air Force SAMP Guide)	Varies with the desired contents of the SAMP.	- Most commonly used for ACAT I, but can be used for other programs. - Includes the AS data.	- An optional document approved by the MDA. - The SAMP is a comprehensive, integrated document that discusses all relevant aspects of a program in support of a MS decision.
X	X	X	X	X	X	SYSTEM SECURITY AUTHORIZATION AGREEMENT (SSAA)		DoD 5200.40 Enclosure 6			X	X	X	X			APM	PMW, User Rep, Cert. Authority, PD, 08-4, 00S, 09, 00E, 00A, 00	MDA	None (See DoDI 5200.40 Enclosure 6 for outline)	Varies		- The SSAA is a living document that represents the formal agreement among the user representative and the program manager. The SSAA is developed in phase 1 and updated in each phase as the system development progresses and new information becomes available.
X	X	X	X	X	X	SYSTEMS THREAT ASSESSMENT & SYSTEM THREAT ASSESSMENT REPORT (STAR)		DoD 5000.2-R Part 2.2 SecNAV 5000.2B Part 2.2 OPNAVINST 3811.1C, para 3.f		X	X	X	X	X			APM/PM/ONI (Office of Naval Intelligence)	PMW, PD, ONI (Validated by DIA for ACAT I)	D, DIA	None	Varies	- Threat projections shall be prepared for consideration at Milestone decision points. They shall be system-specific to the degree of system definition at the time the assessment is made and address the projected threat at IOC and IOC plus ten years	- Normally not applicable to ACAT IA and IT ACAT III and IVT programs. - System Threat Assessment is referenced in the TEMP, AS, MNS and ORD.
X						TECHNOLOGY & INDUSTRIAL CAPABILITY ASSESSMENT	10 USC 2440	DoDD 5000.1 Para 4.3.3 (2000) EAB Part 25 DFAAS Part 225 DoD 5000.2-R Part 3.3.2.3			X	X	X	X			APM	PMW, PD, 02, 00C, 08-4, 00S, 09, 00E, 00A, 00	MDA	None	Varies	- This information is usually part of the AS.	- Not statutorily required for ACAT IA programs. - Programs shall minimize the need for new defense-unique industrial capabilities.
X	X	X	X			TEST & EVAL (LFT&E) PLAN, (LIVE FIRE)	10 USC 2366	DoD 5000.2-R Part 3.4.1 & 3.4.9		Thirty Days Before Test Initiation (milestone III)					APM	PMW, PD, 02, 05, 00C, 08-4, 00S, 09, 00E, 00A, 00, OPTEVFOR	DOT&E	Yes DoD 5000.2R, Appendix IV	Varies	- LFT&E ¹ must be conducted on a covered system, major munition program, missile program, or product improvement to a covered system, major munition program, or missile program before it can proceed beyond LRIP.	- Not normally required for C4I/AIS systems. - Test and evaluation planning must provide for completion of Initial Operational Test and Evaluation (IOT&E) and Live Fire Test and Evaluation (LFT&E), as required, before entering full-rate production.		
X	X	X	X			TEST & EVAL (LFT&E) REPORT, (LIVE FIRE)	10 USC 2366	DoD 5000.2-R Part 6.3.2 SecNAV 5000.2B para 6.3.2		Prior to LRIP Decision					DOT&E	Determined by DOT&E as appropriate.	SECDEF or DOT&E	None (see DoD 5000.2R, Appendix IV for content)	120 days after test	- PMs shall keep CNO (N091) apprised of LFT&E program progress and execution.	- Not normally required for C4I/AIS systems. - A report of LFT&E to be submitted to DOT&E, via CNO (N091). The submission shall allow OSD 45 days to prepare an independent report and submit it to Congress prior to the program proceeding beyond LRIP.		
X	X	X	X			TEST & EVALUATION (LFT&E) WAIVER CERTIFICATION, (LIVE FIRE)	10 USC 2366	DoD 5000.2-R Part 3.4.9 SecNAV 5000.2B para 6.3.2.1				X					APM	PMW, PD, 02, 05, 00C, 08-4, 00S, 09, 00E, 00A, 00, OPTEVFOR	MDA	No (except for test plan)	Varies	- LFT&E Waivers from realistic survivability and lethality testing and certifications to Congress that live fire testing would be unreasonably expensive or impractical, shall be submitted by the MDA to DOT&E and Congress prior to Milestone II.	- Not normally required for C4I/AIS systems - Waivers shall be coordinated with the program sponsor and CNO (N091). - Live fire testing and certifications to Congress shall also be coordinated with ASN(RD&A) for ACAT III and IV programs involving covered major systems, major munitions or missiles, or product improvements
X	X	X	X			TEST & EVALUATION MASTER PLAN (TEMP)	10USC 2399	DoD 5000.2-R Part 2.2 and Part 3.4.11 SecNAV 5000.2B Para 3.4.11, Appendix III, para 1.3.4			X	X	X	X			APM/OPTEVFOR	PMW, 00A-AR3, COTF, SPONSOR, N91, PD, 08-4, 00S, 09, 00E, 00A, 00	DOT&E D,TSE&E	Yes DoD 5000.2R, Appendix III	217 Days 242 Days (if ACAT I & DT&E approval required)	- Not mandatory for ship programs not requiring OT&E. - May be tailored as appropriate for ACAT IVT programs. - Approval required 30 days before testing. - Requires approved ORD.	- Statutory when OT&E is required. - Not required for ACAT IVM programs. - The TEMP correlates and integrates T&E with the overall Acquisition Strategy, schedule and other documents. -The TEMP defines the critical path for completing test and evaluatio

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ENCLOSURE (5)
Page 5

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PROGRAM STRUCTURE
GUIDE
VOLUME I, VERSION 1.0
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ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT-AAP		STATUTORY	REGULATORY	OTHER	0	I	II	III								
										A	B	C	FRP								
X	X	X	X			TEST PLAN (DT&E/OT&E/FOT&E), DETAILED	10USC 2399	DoD 5000.2-R Part 3.4 SecNAV 5000.2B Para 3.4			X	X	X	X	APM	PMW, PD, 02, 05, 00C, 08-4, 00S, 09, 00E, 00A, 00, OPTEVFOR	MDA/ DOT&E D, TSE&E	None	Varies	- Test planning will be included in the TEMP.	- A combined developmental test and operational test (DT/OT) approach is encouraged to achieve time and cost savings.
X	X	X	X			TEST RESULTS (DT&E/OT&E/FOT&E)	10USC 139	DoD 5000.2-R Part 6.3.1 SecNAV 5000.2B Para 6.3.1				X	X	X	OPTEVFOR	PMW, PD, 05, 08-4, 00S, 09, 00E, 00A, 00, OPTEVFOR, OPNAV	MDA	None	Varies	- Programs subject to OSD T&E oversight shall provide copies of formal OT&E reports to DOT&E at least 45 days prior to milestone decision meetings.	- Statutory when OT&E is required. - Commander, Operational Test and Evaluation Force (COMOPTEVFOR) shall issue operational test reports within 90 days following completion of testing. This period shall be extended to 120 days when a "Quicklook" report is approved.

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DOCUMENTATION IN THE ACQUISITION CYCLE

PHASE	DISCUSSION
Pre-Milestone 0/ Milestone A	<p>Beginning with the Pre-Milestone 0 or Pre-Milestone A Phase, a potential program must satisfy an established need or requirement. Prior to establishing an acquisition program, a requirements document must be prepared to describe the deficiency or mission need. The documents typically used for documenting requirements include the MISSION NEEDS STATEMENT (MNS), the OPERATIONAL REQUIREMENTS DOCUMENT (ORD) or some other official conveyance from the CNO. This Phase is completed when an ACQUISITION DECISION MEMORANDUM (ADM) is signed indicating a Milestone 0 (MS 0) or MS A and approval to conduct concept studies. The ADM will specify whether the system to be procured is designated an IT/AIS system and identify if Operational Testing (OT) is required (if known at this point). Typically, the MDA with OPTEVFOR concurrence will decide on the need for OT. The initial MS approval will constitute a MS 0 or MS A decision, "Approval to Conduct Concept Exploration". The ADM documents a MS decision (favorable/unfavorable) and other decisions made by the MDA. The requirement for subsequent program assessments, documentation, and exit criteria for the next phase will be documented in the ADM and reevaluated at each Milestone.</p>
Phase 0/ Phase A	<p>During the Phase 0 or Phase A - Concept Exploration, alternatives are studied to determine the best possible solutions to satisfy the requirements identified at MS 0/MS A. Although not yet a program, this phase is used to determine an acceptable approach to addressing the stated need. The ANALYSIS OF ALTERNATIVES (AoA) provides a detailed analysis of the alternatives being considered to satisfy the mission need and identifies proposed solutions. The analysis will be refined at each subsequent Milestone, focusing on the most promising alternative. Parallel to the development of the AoA, an ORD will be prepared. The ORD describes the key performance parameters which must be attained to meet the requirement. The ORD will quantify the deficiencies described in the MNS and apply the concepts explored in the AoA. Some additional key documents generated during this phase include the ACQUISITION STRATEGY (AS), ACQUISITION PROGRAM BASELINE (APB), and TEST & EVALUATION MASTER PLAN (TEMP) Strategy.</p> <p>The ACQUISITION STRATEGY (AS) serves as the roadmap for program execution from program initiation through post-production support. It is one of the most important documents of any project. The AS should reference the significant plans of the project and be updated as the project progresses through each milestone.</p> <p>The PM will prepare an ACQUISITION PROGRAM BASELINE (APB) to document the Total Ownership Cost (TOC), schedule and performance objectives and thresholds of the program. This is a formal agreement between the PM and MDA. Any breach of a threshold in the APB must be brought to the attention of the MDA immediately, and any potential breach must be reported to the MDA as early as possible.</p> <p>A TEST AND EVALUATION MASTER PLAN (TEMP) must be prepared for any acquisition program requiring OT&E. The TEMP correlates and integrates the Test and Evaluation with the overall Acquisition Strategy, schedule and other documents. The PM is responsible for the development of a TEMP.</p> <p>The output of this phase is a MS I or MS B decision, granting approval to begin a new acquisition program. The purpose of the MS I or MS B decision point is to determine if the results of Phase warrant establishing a new acquisition program and to approve entry into the next Phase, Program Definition and Risk Reduction.</p>

SPAWAR DOCUMENTATION IN THE ACQUISITION CYCLE

PHASE	DISCUSSION
Phase I	<p>During the Phase I - Program Definition and Risk Reduction, assessments of the advantages and disadvantages of alternative concepts shall be refined. Prototyping, demonstrations, and early operational assessments shall be considered and included as necessary to reduce risk so that technology, manufacturing and support risks are well in hand before the next decision point. Cost drivers, lifecycle cost estimates, cost-performance trade offs, interoperability considerations, acquisition strategy alternatives, and evolutionary and incremental development shall be considered. A RISK ASSESSMENT of the system is prepared by the PM during this phase. If a report is not developed as an independent document, a risk assessment analysis will be included in the updated ACQUISITION STRATEGY. A PROGRAM LIFE CYCLE COST (LCC) ESTIMATE is also prepared by the PM during this phase. There are various cost/resource documents that the MDA may request, depending on the risk of the program. Some of these include MANPOWER ESTIMATE, INDEPENDENT COST ESTIMATE (ICE), and a COST ANALYSIS REQUIREMENTS DESCRIPTION (CARD). The PM must additionally prepare an ENVIRONMENTAL, SAFETY & HEALTH (ES&H) EVALUATION to address potential risk to safety and health.</p> <p>The output for this phase is a Milestone II decision, granting approval to enter Engineering and Manufacturing Development. The purpose of the Milestone II decision point is to determine if the results of Phase I warrant continuation of the program and to approve entry into Engineering and Manufacturing Development (EMD). At this milestone, the MDA shall approve the updated ACQUISITION STRATEGY, APB and TEMP; the program's RISK ASSESSMENT; LIFE CYCLE COST ESTIMATE; ENVIRONMENTAL SAFETY & HEALTH EVALUATION; and Phase II EXIT CRITERIA.</p>
Phase II/ Phase B	<p>During the Phase II or Phase B - Engineering and Manufacturing Development, the primary objectives are to; translate the most promising design approach into a stable, interoperable, producible, supportable, and cost-effective design; validate the manufacturing or production process; and, demonstrate system capabilities through testing. Key documents during this phase are the TEMP and DETAILED TEST PLANS. These documents are critical for the subsequent approval to move to production. The MDA has to determine the readiness of the program and ensure that the system will run within the infrastructure supported by and on the various platforms. It is critical that these documents include metrics to help determine the current status of the project.</p> <p>Before agreeing to a Milestone III, the MDA must gain an understanding of the activities to be performed during post-deployment in terms of the cost, approach and risk. A POST-DEPLOYMENT PLAN should be incorporated into the ACQUISITION STRATEGY or a separate document that outlines the post-deployment provisions.</p> <p>The output of this phase is a Milestone III decision, granting Production or Fielding/Deployment Approval, or a Milestone C decision, granting a commitment to Low Rate Initial Production. The purpose of the Milestone III decision point is to authorize entrance into Full Rate Production. The purpose of the Milestone C decision point is to authorize entrance into Low Rate Initial Production. At these milestones, the MDA will approve the updated ACQUISITION STRATEGY, APB, LIFE CYCLE COST (LCC) ESTIMATE and RISK ASSESSMENT; ES&H EVALUATION; DETAILED TEST PLANS; POST-DEPLOYMENT PLAN (if appropriate); and EXIT CRITERIA.</p>

SPAWAR

DOCUMENTATION IN THE ACQUISITION CYCLE

PHASE	DISCUSSION
Phase C	<p>During the Phase C – Commitment to Full Rate Production, the objective is to translate the most promising design approach into a stable, interoperable, producible, supportable, and cost-effective design; validate the manufacturing or production process; and, demonstrate system capabilities through testing. Key documents during this phase are the TEMP and DETAILED TEST PLANS. These documents are critical for the subsequent approval to move to production. The MDA has to determine the readiness of the program and ensure that the system will run within the infrastructure supported by and on the various platforms. It is critical that these documents include metrics to help determine the current status of the project.</p> <p>The output of this phase is a Full Rate Production Decision Review to consider granting Production and Fielding/Deployment Approval. Approval at this point authorizes entrance into Full Rate Production. At this review, the MDA will approve the updated ACQUISITION STRATEGY, APB, LIFE CYCLE COST (LCC) ESTIMATE and RISK ASSESSMENT; ES&H EVALUATION; DETAILED TEST PLANS; POST-DEPLOYMENT PLAN (if appropriate); and EXIT CRITERIA.</p>
Phase III/ Post-FRP Decision Review	<p>During the Phase III/Post-FRP Decision Review - Production, Fielding/Deployment, and Operational Support, the objective is to achieve an operational capability that satisfies mission needs. Deficiencies encountered in DT&E and INITIAL OPERATIONAL TEST AND EVALUATION (IOT&E) shall be resolved and fixes verified. During fielding/deployment and throughout operational support, the potential for modifications to the fielded/deployed system and subsequent testing continues.</p> <p>The MDA can request a review of the program at any time. The ACQUISITION STRATEGY and the APB should be maintained and updated as necessary. Any outstanding requirements levied by the MDA, as discussed in the ADM, need to be tracked and closed by the APM.</p>

GLOSSARY OF TERMS

ABBREVIATED ACQUISITION PROGRAM (AAP) DESIGNATION REQUEST LETTER

Requests for the initiation of an AAP is through the submittal of an AAP Designation Request to the MDA. The PM will prepare the request and submit to COMSPAWAR. The MDA (COMSPAWAR, Director or PM as appropriate) must document program initiation and major program execution decisions. Approval of the request to execute an AAP will serve to document the initiation decision, signifying the program start, and authorizing a program structure as stated therein. The AAP approval can take the form of an ADM. Subsequent major program execution decisions can be documented in a standard (ADM) signed by the appropriate decision authority (COMSPAWARSYSCOM, Director or PM).

ACAT DESIGNATION REQUEST/DESIGNATION CHANGE REQUEST

An ACAT designation shall normally be assigned after approval of a requirements document (i.e., mission need statement (MNS) or operational requirements document (ORD)). A proposed ACAT designation shall be provided on the cover of the requirements document. Realizing that an acquisition program can be initiated by other means, or changed as a result of its development; the content of a memorandum to request a specific ACAT designation, or change an ACAT designation, is provided in SECNAVINST 5000.2b and Enclosure (3) of this guidance.

ACQUISITION DECISION MEMORANDUM (ADM)

Actual milestone approval is recorded in an Acquisition Decision Memorandum (ADM) that is signed by the MDA and prepared by the authority's staff. The MDA shall record program decisions and directions in an ADM, preferably within 2 business days following the milestone review. The ADM authorizes the program to proceed to the next acquisition phase, provides direction to the program manager, and establishes exit criteria, which are critical results or events that must be attained during the next acquisition phase and before the next milestone.

ACQUISITION PLAN (AP)

An AP is required prior to contract award in order to facilitate the solicitation process. The AP incorporates the following which are required prior to a milestone decision: Acquisition Strategy, Affordability Analysis, Analysis of Alternatives, Risk Assessment, Environmental Safety & Health Evaluation, CAIV Objectives and Life Cycle Cost Estimate. The Acquisition Plan is for programs with an acquisition cost of greater than \$30 million or \$15 million per year, or an acquisition for development total cost of \$5 million or greater (in FY 1996 constant dollars).

ACQUISITION PROGRAM

A directed, funded effort designed to provide a new, improved or continuing weapons system or AIS capability in response to a validated operational need. Acquisition programs are divided into different categories that are established to facilitate decentralized decision-making, and execution and compliance with statutory requirements.

ACQUISITION PROGRAM BASELINE (APB)

Every acquisition program shall establish an Acquisition Program Baseline (APB), which is an agreement between the MDA and PM to document the cost, schedule, and performance objectives and thresholds of that program beginning at program initiation. Performance shall include supportability and, as applicable, environmental requirements. The APB shall contain only the most important cost, schedule and performance parameters.

ACQUISITION STRATEGY (AS)

Each PM shall develop and document an acquisition strategy that shall serve as the roadmap for program execution from program initiation through post-production support. A primary goal in developing an acquisition strategy shall be to minimize the time and cost of satisfying an identified, validated need, consistent with common sense and sound business practices. The acquisition strategy shall evolve through an iterative process and become increasingly more definitive in describing the relationship of the essential elements of a program. Essential elements in this context include, but are not limited to, open systems, sources, risk management, cost as an independent variable, contract approach, management approach, environmental considerations, modeling and simulation approach, warranty considerations, and source of support. The PM shall also address other major initiatives that are critical to the success of the program.

ADVANCED CONCEPT TECHNOLOGY DEMONSTRATIONS (ACTDS)

ACTDs exploit mature and maturing technologies to solve important military problems. They are designed to allow users to gain an understanding of proposed new capabilities for which there is no user experience base. Specifically, they provide the warfighter an opportunity to develop and refine his concept of operations to fully exploit the capability under evaluation, evolve his operational requirements as he gains experience and understanding of the capability, and operate militarily useful quantities of prototype systems in realistic military demonstrations thereby making an assessment of the military utility of the proposed capability.

ADVANCED TECHNOLOGY DEMONSTRATIONS (ATD)

Includes all efforts that have moved into the development and integration of hardware for field experiments and tests. The results of this type of effort are proof of technological feasibility and assessment of operability and producibility rather than the development of hardware for service use. Projects in this category have a direct relevance to identified military needs. Advanced Technology Development is used to demonstrate the general military utility or cost reduction potential of technology when applied to different types of military equipment or techniques. Advanced Technology Development also includes evaluation and synthetic environment and proof-of-principle demonstrations in field exercises to evaluate system upgrades or provide new operational capabilities. Program elements in this category involve pre-Milestone I efforts. Projects in this category do not necessarily lead to subsequent development or procurement phases.

AFFORDABILITY ASSESSMENT (AA)

Affordability is the degree to which the life-cycle cost of an acquisition program is in consonance with the long-range investment and force structure plans of the Department of Defense or individual DoD Components. Affordability shall be assessed at each milestone decision point. Affordability and life-cycle cost shall be assessed for DoN Acquisition Programs. No acquisition program shall be

approved to proceed beyond program initiation unless sufficient resources, including manpower, are programmed in the most recently approved Future Years Defense Program (FYDP), or will be programmed in the PPBS cycle.

ANALYSIS OF ALTERNATIVES (AOA)

An analysis of alternatives, tailored to the scope, phase, ACAT-level, and needs of each program, shall be conducted prior to and considered at appropriate milestone decision points, for all DON programs. The analysis of alternatives aids in resolving MDA issues, and provides the basis for establishing program thresholds, cost and performance trade-offs, and a formulation of the analytical underpinnings for program decisions.

APPLICATION FOR FREQUENCY ALLOCATION

An Application for Frequency Allocation applies to all systems and equipment that requires use of the electromagnetic spectrum. This spectrum certificate must be obtained prior to obligating funds. The PM should apply for this certificate as soon as the operational frequency bands for C4I systems are identified.

APPLIED RESEARCH

Applied research is defined as systematic study to gain knowledge or understanding necessary to determine the means by which a recognized and specific need may be met. It is a systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements. Explanation: This activity translates promising basic research into solutions for broadly defined military needs, short of development projects. This type of effort may vary from systematic mission-directed research to sophisticated breadboard hardware, study, programming and planning efforts that establish the initial feasibility and practicality of proposed solutions to technological challenges. It includes studies, investigations, and non-system specific technology efforts. The dominant characteristic of this category of effort is that it be pointed toward specific military needs with a view toward developing and evaluating the feasibility and practicability of proposed solutions and determining their parameters. Applied Research precedes the system specific research described in DoDD 5000.1. Program control of the Applied Research program element will normally be exercised by general level of effort. Program elements in this category involve pre-Milestone 0 efforts.

ASR – ALTERNATIVE SYSTEM REVIEW

A formal review conducted to demonstrate the preferred system concept(s).

AUTOMATED INFORMATION SYSTEM (AIS)

An acquisition program that acquires Information Technology (IT), i.e. a combination of computer hardware and software, data or telecommunications, that performs functions such as collecting, processing, transmitting and displaying information. Excluded are computer resources, both hardware and software, that are physically part of, dedicated to, or essential in real time to the mission performance of weapon systems or is a tactical communication system.

BASIC RESEARCH

Basic research is defined as systematic study directed toward greater knowledge or understanding of the fundamental aspects of phenomena and of observable facts without specific applications towards

processes or products in mind. Program elements in this category involve pre-Milestone 0 efforts. Explanation: Basic research includes all effort of scientific study and experimentation directed toward increasing fundamental knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. It provides farsighted, high payoff research that provides the basis for technological progress. It forms a part of the base for: (a) subsequent applied research and advanced technology developments in Defense-related technologies, and (b) new and improved military functional capabilities in areas such as communications, detection, tracking, surveillance, propulsion, mobility, guidance and control, navigation, energy conversion, materials and structures, and personnel support. Program elements in this category involve pre-Milestone 0 efforts.

BEYOND LOW RATE INITIAL PRODUCTION (LRIP) REPORT

ACAT ID or IC programs, or ACAT II, III and IV programs that are designated DOT&E oversight programs, shall not proceed beyond LRIP until the DOT&E has submitted a written report to the Secretary of Defense and the Congress as required by 10 USC. 2399. Beyond LRIP requires a satisfactory OT&E.

C4I SUPPORT PLAN (C4ISP)

A C4I support plan shall be prepared for all weapon systems/programs that interface with C4I systems. The C4I Support Plan shall include a system description, employment concept (including targeting, battle damage assessment, and bomb impact assessment requirements), operational support requirements (including C4I, testing, and training), interoperability and connectivity characteristics, management, and scheduling concerns. An evaluation of compatibility, interoperability, integration, and intelligence support for targeting requirements shall be accomplished for all weapons, systems/programs noted above. C4ISR requirements shall be reviewed and updated, as necessary, at every milestone decision and whenever the concept of operations or intelligence requirements change.

CDR – CRITICAL DESIGN REVIEW

A formal review conducted to evaluate the completeness of the design and its interfaces.

CLINGER-COHEN ACT (CCA) COMPLIANCE

To the maximum extent practicable, modular contracting, as described in Section 5202 of Division E of the Clinger-Cohen Act, shall be used for major information technology acquisitions. Program managers shall consider use of modular contracting for other acquisition programs. CCA requires C4ISP compliance.

COMOPTEVFOR CONCURRENCE LETTER

PEOs, SYSCOM Commanders, or DRPMs shall designate weapon system ACAT IVT or IVM programs. ASN(RD&A) or designee, PEOs, SYSCOM Commanders, or DRPMs, shall designate IT ACAT IVT programs. ACAT IV designations shall be with the concurrence of COMOPTEVFOR. When PEOs/SYSCOM Commanders/DRPMs and COMOPTEVFOR are unable to resolve designation of a weapon system program as a Navy ACAT IVT or IVM program, Chief of Naval Operations (CNO) (N091) shall arbitrate through the Test and Evaluation Coordination Group (TECG) process.

COOPERATIVE OPPORTUNITIES ASSESSMENT

The acquisition strategy shall discuss the potential for enhancing reciprocal defense trade and

cooperation, including international cooperative research, development, production, logistic support, and the sale of military equipment, consistent with the maintenance of a strong national technology and industrial base, and mobilization capability. This discussion shall meet the requirements specified for the cooperative opportunities reported directed by 10 USC 2350a(g). System design shall take into account potential international programs ramifications as an integral part of the design process. For international cooperative programs, these design considerations are mandatory. For U.S. only development efforts, the PM shall consider designing the proposed system with a potential for eventual international sales and support.

COOPERATIVE OPPORTUNITIES REPORT

USD(A&T) shall report to Congress on the cooperative R&D projects under 10 USC 2350a not later than March 1 of each year. This shall include descriptions of projects, funding, schedules and status both for projects in which the Memoranda of Understanding have been entered into and for proposed projects.

COST ANALYSIS REQUIREMENTS DESCRIPTION (CARD)

For ACAT I programs, the DoD Component sponsoring the acquisition program shall establish, as a basis for the life-cycle cost estimates, a description of the salient features of the acquisition program and of the system itself. This description, referred to here as a Cost Analysis Requirements Description (CARD), shall be given to the teams preparing the program office life-cycle estimate, component cost analysis, and independent life-cycle cost estimate 180 days in advance of a planned Overarching Integrated Product Team (OIPT) or Component review, unless another due date is agreed to by the OIPT. The CARD shall be flexible, tailored and make reference to information available in other documents available to the cost estimators.

COST AS AN INDEPENDENT VARIABLE (CAIV) OBJECTIVE

CAIV Analysis is a process that helps arrive at cost objectives (including life-cycle costs) and helps the requirements community set performance objectives. The CAIV process shall be used to develop an acquisition strategy for acquiring and operating affordable DoD systems by setting aggressive, achievable cost objectives and managing achievement of these objectives. Cost objectives shall also be set to balance mission needs with projected out-year resources, taking into account anticipated process improvements in both DoD and defense industries

DEFENSE ACQUISITION EXECUTIVE SUMMARY (DAES)

The DAES report is used to highlight both potential and actual program problems to the USD(AT&L) before they become significant. The PM proposes for USD(AT&L) consideration tailoring the content of this report for each program.

DEMONSTRATION AND VALIDATION

The demonstration and validation (Dem/ Val) phase includes all efforts necessary to evaluate integrated technologies in as realistic an operating environment as possible to assess the performance or cost reduction potential of advanced technology. The Dem/ Val phase is system specific and also includes advanced technology demonstrations that help expedite technology transition from the laboratory to operational use. Program elements in this category involve efforts between Milestone I and Milestone II. A logical progression of program phases and (development and/ or production) funding must be evident in the FYDP

ELECTRONIC WARFARE (EW) COMPLIANCE AND ELECTRONIC WARFARE TEST AND EVALUATION (EWT&E) REPORT

Designated Electronic Warfare programs shall report annually their compliance with the EW Test and Evaluation Process. Report applicability, submission format, and date are contained in the DoD EW plan.

ENGINEERING AND MANUFACTURING DEVELOPMENT (EMD)

Includes those projects in engineering and manufacturing development for Service use but which have not received approval for full-rate production. This area is characterized by major line item projects and program control will be exercised by review of individual projects. Engineering Development includes engineering and manufacturing development projects consistent with the definitions within DoDD 5000.1. Program elements in this category involve efforts between Milestone II and Milestone III. A logical progression of program phases and (development and/or production) funding must be evident in the FYDP consistent with the Department's full funding policy.

ENVIRONMENTAL, SAFETY & HEALTH (ESH) EVALUATION

The acquisition strategy shall include a programmatic environmental, safety, and health (ESH) evaluation. The PM shall initiate the ESH evaluation at the earliest possible time in support of a program initiation decision (usually Milestone I) and shall maintain an updated evaluation throughout the life cycle of the program. The ESH evaluation describes the PM's strategy for meeting ESH requirements, establishes responsibilities, and identifies how progress will be tracked. For AAPs, the PM shall conduct an abbreviated ESH evaluation and provide any other information required by the program decision authority.

FCA – FUNCTIONAL CONFIGURATION AUDIT

A formal review conducted to verify that all subsystems can perform all their required design functions in accordance with their functional and allocated configuration baselines.

FUTURE YEARS DEFENSE PROGRAM (FYDP) FUNDING PROFILE (FULL FUNDING)

Full funding to support approved ACAT I, IA, II, III, and IV programs shall be included in all program and budget submissions. In addition to establishing and revising operational requirements, CNO/CMC shall ensure funding requirements for ACAT programs, abbreviated acquisition programs, non-acquisition programs, and rapid deployment capability programs are satisfied in the development of each PPBS phase. FYDP or budgeted funding shall be shown at each milestone (except Milestone 0) or other program review. If the preferred alternative exceeds the FYDP or budgeted funding, then an alternative which can be executed within approved funding (and for IT programs shows an economic benefit or return on investment) shall also be presented.

FOREIGN COMPARATIVE TEST (FCT) NOTIFICATION & REPORTS TO CONGRESS

FCT is a DoD test and evaluation program that is prescribed by 10 USC 2350a(g) and that is centrally managed by the DTSE&E. FCT provides funding for U.S. test and evaluation of selected equipment items and technologies developed by allied countries when such items and technologies are identified as having good potential to satisfy valid DoD requirements.

HORIZONTAL INTEGRATION (HI) SCHEDULE

The Horizontal Integration Schedule is a SPAWAR initiative to ensure all programs under SPAWAR preview are properly integrated horizontally across all C4I systems. PMs are responsible for the preparation and update in support of milestone decision making.

INDEPENDENT ESTIMATE OF FULL LIFE CYCLE COST

For all ACAT ID programs, and for those ACAT IC programs as requested by the USD(A&T), the Office of the Secretary of Defense (OSD) CAIG shall prepare an independent life cycle cost estimate and a report for the appropriate MDA for all Milestone reviews, after Milestone 0. For programs with significant cost risk or high visibility, the CAE may request that a component cost analysis estimate also be prepared in addition to the program office life-cycle cost estimate. The Secretary of Defense may not approve the engineering and manufacturing development, or the production and deployment, of a major defense acquisition program unless an independent estimate of the full life cycle cost of the program and a manpower estimate for the program have been considered by the Secretary.

INFORMATION TECHNOLOGY (IT)

Any equipment, or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information.

The term "IT" includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. The term "IT" also includes National Security Systems (NSSs). It does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract. This definition is from the Clinger-Cohen Act (CCA) of 1996.

INTEROPERABILITY CERTIFICATE

All C4I systems, and computer resources associated with weapon systems, developed for use by or in support of US forces are defined to be for use in joint operations and must be certified as "interoperable" with systems with which they have a requirement to exchange information. Interoperability requires that systems are interoperable vertically and horizontally to the degree specified by the war fighter and necessary to ensure timely, efficient, and survivable C4I functions at all force levels.

LEGALITY OF WEAPONS UNDER INTERNATIONAL LAW

DoD acquisition and procurement of weapons shall be consistent with all applicable treaties, customary international law, and the law of armed conflict (also known as the laws and customs of war). The Head of each DoD Component shall ensure that all Component activities that could reasonably generate questions concerning compliance with obligations under arms control agreements to which the United States is a party shall have clearance from the USD(A&T), in coordination with the OSD General Counsel and the Under Secretary of Defense (Policy), before such activity is undertaken. The Head of each DoD Component shall ensure that the Component's General Counsel or Judge Advocate General, as appropriate, conducts a legal review of the intended acquisition of a potential weapon to determine that it is consistent with U.S. obligations. The review shall be conducted before the award of the engineering and manufacturing development contract and before the award of the initial production contract.

LIVE FIRE TEST AND EVALUATION (LFT&E) REPORT

For ACAT I or II programs involving covered major systems, major munitions or missiles, or product improvements thereto, the DA shall prepare a report of LFT&E to be submitted to DOT&E, via CNO (N091). The submission shall allow OSD 45 days to prepare an independent report and submit it to Congress prior to the program proceeding beyond Low-Rate Initial Production (LRIP). PMs shall keep CNO (N091) apprised of LFT&E program progress and execution.

LOGISTIC ASSESSMENT CERTIFICATE

Logistics Support Analysis (LSA) is used throughout the acquisition process to evaluate design approaches and alternative support concepts to achieve system readiness and support objectives, and to develop detailed design of the support system and requirements. Weapon system programs that have either delayed the application of LSA or have not integrated it effectively into the design analysis process are headed for trouble. The result is supportability deficiencies that increase costs and require additional engineering changes to correct these deficiencies late in the development and production process.

LOW RATE INITIAL PRODUCTION (LRIP) QUANTITIES

For DON programs, the MDA shall determine the LRIP quantity for all ACAT IC, II, III, and IV programs as part of the approval to enter the engineering and manufacturing development (EMD) phase. Determination of exact LRIP quantities may be contingent upon successful accomplishment of LRIP-related exit criteria established at Milestone II. The LRIP quantity for ACAT III and IV programs shall not be less than one unit and any increase shall be approved by the MDA. LRIP is not applicable to IT programs; however, a limited deployment phase may be appropriate.

MAJOR AUTOMATED INFORMATION SYSTEM (MAIS) ACQUISITION PROGRAM

An AIS acquisition program that is (1) designated by ASD(C3I) as a MAIS, or (2) estimated to require program costs in any single year in excess of \$32 million in fiscal year (FY) 2000 constant dollars, total program costs in excess of \$126 million in FY 2000 constant dollars, or total life-cycle costs in excess of \$378 million in FY 2000 constant dollars. MAISs do not include highly sensitive classified programs (as determined by the Secretary of Defense). For the purpose of determining whether an AIS is a MAIS, the following shall be aggregated and considered a single AIS: (1) the separate AISs that constitute a multi-element program; (2) the separate AISs that make up an evolutionary or incrementally developed program; or (3) the separate AISs that make up a multi-component AIS program.

MAJOR DEFENSE ACQUISITION PROGRAM (MDAP)

An acquisition program that is not a highly sensitive classified program (as determined by the Secretary of Defense) and that is: (1) designated by the Under Secretary of Defense (Acquisition, Technology and Logistics) (USD(AT&L)) as an MDAP, or (2) estimated by the USD(AT&L) to require an eventual total expenditure for research, development, test and evaluation of more than \$365 million in fiscal year (FY) 2000 constant dollars or, for procurement, of more than \$2.190 billion in FY 2000 constant dollars. The estimate shall consider all blocks that will make up an evolutionary acquisition program (to the extent that subsequent blocks can be defined). This definition is from 10 U.S.C. §2430. The dollar requirements are established in statute in FY 1990 dollars. The dollar amounts have been updated in accordance with procedures identified in the statute.

MAJOR SYSTEM

A combination of elements that shall function together to produce the capabilities required to fulfill a mission need, including hardware, equipment, software, or any combination thereof, but excluding construction or other improvements to real property. A system shall be considered a major system if it is estimated by the DoD Component Head to require an eventual total expenditure for RDT&E of more than \$140 million in FY 2000 constant dollars, or for procurement of more than \$660 million in FY 2000 constant dollars, or if designated as major by the DoD Component Head (10 U.S.C. §2302d).

The estimate shall consider all blocks that will make up an evolutionary acquisition program (to the extent subsequent blocks can be defined). The dollar requirements are established in statute in FY 1990 dollars. The dollar amounts have been updated in accordance with procedures identified in the statute.

MANPOWER ESTIMATE

The manpower estimate shall report the total number of personnel needed to operate, maintain, support, and provide training for the program upon full operational deployment. It shall report the number of military (officer, warrant officer, and enlisted), DoD civilian, and contract manpower requirements for each fiscal year of the program beginning with initial fielding and ending with full operational deployment. A separate estimate shall be provided for each Component (for joint programs) and separately for the Active, Reserve, and National Guard forces.

METRICS WAIVER

The metric system of measurement shall be used for all elements of defense systems requiring new design, unless waived by the MDA as not in the best interest of the government. The Metrics Waiver is used for this purpose.

MILESTONE DECISION

A formal review to evaluate a programs readiness to proceed to the next phase of the acquisition cycle.

MISSION NEEDS STATEMENT (MNS) Department of Defense (DoD) Components shall document performance deficiencies in current capabilities and opportunities to provide new capabilities in a Mission Need Statement (MNS) expressed in broad operational terms. The MNS shall identify and describe the mission contained in the DoD Strategic Plan and the mission deficiency; discuss the results of mission area analysis; describe why non-materiel changes (i.e., doctrine, tactics, etc.) are not adequate to correct the deficiency (CCA); identify potential materiel alternatives; identify linkage to the DoD Strategic Plan (GPRAT224395282); and describe any key boundary conditions and operational environments that may impact satisfying the need such as information operations. The MNS shall be prepared in accordance with CJCSI 3170.01 and validated prior to Milestone 0. System performance objectives and thresholds shall be developed from, and remain consistent with, the initial broad statements of operational capability. The requirements shall be refined at successive milestone decision points, as a consequence of cost as an independent variable (CAIV)-based cost-schedule-performance trade-offs during each phase of the acquisition process.

NATIONAL SECURITY SYSTEM (NSS)

Any telecommunications or information system operated by the U.S. Government, the function, operation, or use of which involves intelligence activities, cryptologic activities related to national security, command and control of military forces, equipment that is an integral part of a weapon or weapons system or is critical to the direct fulfillment of military or intelligence missions. This does not include a system that is to be used for routine administrative and business applications (including payroll, finance, logistics, and personnel management applications). This definition is from the Clinger-Cohen Act.

NON-ACQUISITION PROGRAM DEFINITION DOCUMENT (NAPDD)

Non-acquisition programs, other than technology base programs (6.1 and 6.2), shall use a non-acquisition program definition document (NAPDD) for initiation and control.

OPERATIONAL REQUIREMENTS DOCUMENT (ORD)

At each milestone beginning with program initiation (usually Milestone I), thresholds and objectives initially expressed as measures of effectiveness or performance and minimum acceptable requirements for the proposed concept or system shall be documented by the user or user's representative in an Operational Requirements Document (ORD). Thresholds and objectives in the ORD shall be CAIV-based, considering the results of the analysis of alternatives and the impact of affordability constraints. Key Performance Parameters (KPPs), validated by the JROC or cognizant Principal Staff Assistant (PSA), shall be included in the appropriate Acquisition Program Baseline (APB). A KPP is that capability or characteristic so significant that failure to meet the threshold can be cause for the concept or system selection to be reevaluated or the program to be reassessed or terminated. KPPs are extracted from the ORD and included in the APB. User or user representative participation in each acquisition phase is essential.

OPERATIONAL SYSTEM DEVELOPMENT

Includes those development projects in support of development acquisition programs or upgrades still in engineering and manufacturing development, but which have received Defense Acquisition Board (DAB) or other approval for production, or production funds have been included in the DoD budget submission for the budget or subsequent fiscal year. All items in this area are major line item projects that appear as RDT&E Costs of Weapon System Elements in other programs. Program control will be exercised by review of individual projects. Program Elements in this category involve efforts that involve post-Milestone III. A logical progression of program phases and (development and/or production) funding must be evident in the FYDP, consistent with the Department's full funding policy.

OTRR – OPERATIONAL TEST READINESS REVIEW

A formal review to examination the readiness of a program to conduct operational testing in support of the decision to proceed BLRIP.

OVERARCHING IPT (OIPT) LEADER'S REPORT

The OIPT leader for ACAT ID programs shall provide an integrated assessment to the DAB chair, principals, and advisors at major program reviews and milestone decision reviews using information gathered through the IPT process. The leader's assessment shall focus on core acquisition management issues and shall take account of independent assessments that are normally prepared by OIPT members.

These assessments are typically accomplished in the context of the OIPT review and shall be reflected in the OIPT Leader's report. There should be no surprises at this point, because all team members are already working the issues in real time, and they should be knowledgeable of their OIPT leader's assessment.

PCA – PHYSICAL CONFIGURATION AUDIT

A formal review which establishes the product baseline as reflected in an early production configuration item.

PDR – PRELIMINARY DESIGN REVIEW

A formal review which confirms that the preliminary design logically follows the SFR findings and meets the requirements. It normally results in approval to begin detailed design.

PROGRAM OFFICE LIFE-CYCLE COST (LCC) ESTIMATES

This cost estimate should be comprehensive in character, identifying all elements of cost that would be entailed by a decision to proceed with development, production or operation regardless of funding source or management control. Naval Center for Cost Analysis (NCCA) is the Navy organization that shall participate in developing this estimate for ACAT ID, IC and II programs. The MDA may request that similar NCCA assistance be used in developing this estimate for ACAT III and IV programs.

PROGRAM PROTECTION PLAN (PPP)

Acquisition programs shall identify elements of the program, classified or unclassified, that require protection to prevent unauthorized disclosure or inadvertent transfer of critical program technology or information. Program protection planning shall begin early in the acquisition life cycle and be updated as required. The planning process shall incorporate risk management and threat-based countermeasures to provide cost-effective protection.

PROVISIONS FOR EVALUATION OF POST DEPLOYMENT PERFORMANCE

A Post Deployment Plan should be incorporated in the Acquisition Strategy or a separate document that outlines the post-deployment approach. Before agreeing to a milestone III, the MDA must gain an understanding of the activities to be performed in post deployment including the costs, the approach and the risk.

PRR – PRODUCTION READINESS REVIEW

A formal examination of a program to determine if the design of the product and the manufacturing process are ready for the production phase.

QUAD CHART

The QUAD Chart is a SPAWAR initiative to ensure all programs under SPAWAR preview have a common template for a snapshot review of each program. PMs are responsible for the preparation and update in support of decision making throughout the acquisition cycle.

RDT&E MANAGEMENT SUPPORT

Includes research and development effort directed toward support of installations or operations required for general research and development use. Included would be test ranges, military construction, maintenance support of laboratories, operation and maintenance of test aircraft and ships,

and studies and analyses in support of the R&D program. Costs of laboratory personnel, either in-house or contractor operated, would be assigned to appropriate projects or as a line item in the Basic Research, Applied Research, or Advanced Technology Development program areas, as appropriate. Military construction costs directly related to a major development program will be included in the appropriate element.

RISK ASSESSMENT

The PM shall establish a risk management program for each acquisition program to identify and control performance, cost, and schedule risks. The risk management program shall identify and track risk drivers, define risk abatement plans, and provide for continuous risk assessment throughout each acquisition phase to determine how risks have changed. Risk reduction measures shall be included in cost-performance trade-offs, where applicable. The risk management program shall plan for back-ups in risk areas and identify design requirements where performance increase is small relative to cost, schedule, and performance risk. The acquisition strategy shall include identification of the risk areas of the program and a discussion of how the PM intends to manage those risks.

SELECTED ACQUISITION REPORT (SAR)

SARs summarize the latest estimates of cost, schedule, and technical status. These reports are prepared annually in conjunction with the President's budget. Subsequent quarterly exception reports are required only for those programs experiencing unit cost increases of at least 15 percent or schedule delays of at least six months. Quarterly SARs are also submitted for initial reports, final reports, and for programs that are re-baselined at major milestone decisions.

SFR – SYSTEM FUNCTIONAL REVIEW

A formal review of the conceptual design of the system to establish its capability to satisfy requirements. Establishes the functional baseline.

SINGLE ACQUISITION MANAGEMENT PLAN (SAMP)

The DoD 5000.2-R provides that information required for milestone reviews may be combined into a single document. Further, if stand-alone documents are used, they must not contain redundant information in each document. The Air Force uses a single document called a *Single Acquisition Management Plan (SAMP)*. The Army uses the *Modified Integrated Program Summary (MIS)*. The Navy/Marine Corp uses the *Master Acquisition Program Plan (MAPP)*. The SAMP is not a plan at all, it is an executive summary of information the MDA needs to make an informed decision. The PM may want to consider developing a single document for milestone reviews. The SAMP is an executive “summary of the program at a level meant for the MDA to read and understand.” It replaced all other DAB documents except the following, which remained as stand-alone:

- Acquisition Program Baseline (APB);
- Test and Evaluation Master Plan (TEMP);
- Joint Operational Requirements Document; and
- Cost Analysis Requirements Description (CARD).

SRR – SYSTEM REQUIREMENTS REVIEW

A formal, system-level review conducted to ensure that the system requirements have been completely and properly identified and that there is a mutual understanding between the government and contractor.

SSR – SOFTWARE SPECIFICATION REVIEW

A formal review of the requirements and interface specifications for computer software configuration items.

SVR – SYSTEM VERIFICATION REVIEW

A formal review conducted to verify that the actual item (which represents the production configuration) complies with the performance specifications.

SYSTEM SECURITY AUTHORIZATION AGREEMENT (SSAA)

A formal agreement among the DAA(s), the CA, the IT system user representative, and the program manager. It is used throughout the entire DITSCAP to guide actions, document decisions, specify ITSEC requirements, document certification tailoring and level-of-effort, identify potential solutions, and maintain operational systems security..

SYSTEMS THREAT ASSESSMENT

Initial system threat assessments shall be prepared by DoD Components to support program initiation usually at Milestone I, Approval to Begin a New Acquisition Program, and maintained in a current and approved or validated status throughout the acquisition process. These threat projections shall be prepared during each phase for consideration at Milestone decision points. They shall be system-specific to the degree of system definition at the time the assessment is made and address the projected threat at IOC and IOC plus ten years.

TECHNOLOGY & INDUSTRIAL CAPABILITY ASSESSMENT

The PM shall structure the acquisition strategy to promote sufficient program stability to encourage industry to invest, plan and bear risks. Program needs shall be met through reliance on a national technology and industrial base sustained primarily by commercial demand. Programs shall minimize the need for new defense-unique industrial capabilities. Foreign sources and international cooperative developments shall be used where advantageous and within limitations of the law

TEST & EVAL (LFT&E) PLAN, (LIVE FIRE)

Live Fire Test and Evaluation (LFT&E), as that term is defined in 10 USC 2366 must be conducted on a covered system, major munition program, missile program, or product improvement to a covered system, major munition program, or missile program before it can proceed beyond low-rate initial production. A covered system is any vehicle, weapon platform, or conventional weapon system that includes features designed to provide some degree of protection to users in combat and that is an ACAT I or II program.

TEST & EVALUATION (LFT&E) WAIVER CERTIFICATION, (LIVE FIRE)

Waivers from realistic survivability (i.e., full-up, system-level testing) and lethality testing and certifications to Congress that live fire testing would be unreasonably expensive or impractical, shall be submitted by the MDA to DOT&E and Congress prior to Milestone II. Waivers shall be coordinated with the program sponsor and CNO (N091). Live fire waivers and certifications to Congress shall also

be coordinated with ASN(RD&A) for ACAT III and IV programs involving covered major systems, major munitions or missiles, or product improvements.

TEST & EVALUATION MASTER PLAN (TEMP)

TEMPs shall be required for all DON ACAT programs. The TEMP may be a stand-alone document, or it may be included as the T&E management section of a single acquisition document. For all programs requiring OT&E, the TEMP is the controlling T&E management document. The Test and Evaluation Master Plan (TEMP) shall focus on the overall structure, major elements, and objectives of the test and evaluation program that is consistent with the acquisition strategy. It shall include sufficient detail to ensure the timely availability of both existing and planned test resources required to support the test and evaluation program.

TEST PLAN (DT&E/OT&E/FOT&E), DETAILED

Test and evaluation planning shall begin in Phase 0, Concept Exploration. Both developmental and operational testers shall be involved early to ensure that the test program for the most promising alternative can support the acquisition strategy and to ensure the harmonization of objectives, thresholds, and measures of effectiveness (MOEs) in the ORD and TEMP. Test and evaluation planning shall address MOEs and measures of performance (MOPs) with appropriate quantitative criteria, test event or scenario description, resource requirements (e.g., special instrumentation, test articles, validated threat targets, validated threat simulators and validated threat simulations, actual threat systems or surrogates, and personnel), and identify test limitations.

TEST RESULTS (DT&E/OT&E/FOT&E)

Formal detailed developmental, operational and live fire test and evaluation reports of the results, conclusions, and recommendations shall be prepared at the end of each testing phase. Copies shall be provided to the DOT&E and DTSE&E. For those reports supporting a milestone or other acquisition decision, the reports shall generally be submitted 45 days in advance of that milestone or decision. Test data shall be made available to the DTSE&E and the DOT&E as testing progresses to support timely preparation of the required reports to Congress. All developmental and operational evaluation agencies shall identify test limitations and report an assessment of the effect of these limitations on system performance and the resulting effect on the ability of the evaluation agency to assess whether the system tested met technical performance (developmental test and evaluation) or minimum acceptable operational performance requirements (operational test and evaluation).

TRR – TEST READINESS REVIEW

A formal review of the contractors' readiness to begin testing computer software configuration items.

WEAPON SYSTEM

An item or set of items that can be used directly by warfighters to carry out combat or combat support missions to include tactical communication systems.

This is an overarching term that applies to a host platform (e.g., ship, aircraft, missile, weapon), combat system, subsystem(s), component(s), equipment(s), hardware, firmware, software, or item(s) that may collectively or individually be a weapon system acquisition program (i.e., all programs other than information technology programs). These are items that can be used directly by the Armed Forces to carry out combat missions and that cost more than 100,000 dollars or for which the eventual total procurement cost is more than 10 million dollars. That term does not include commercial items sold in substantial quantities to the general public.

LIST OF ACRONYMS

A&T	Acquisition and Technology
AAP	Abbreviated Acquisition Program
ACAT	Acquisition Category
ACT	Acquisition Coordination Team
ADM	Admiral
AIS	Automated Information System
APB	Acquisition Program Baseline
APM	Acquisition Program Manager
ARO	Acquisition Reform Office
ASD	Assistant Secretary of Defense
ASN	Assistant Secretary of Navy
ATD	Advanced Technology Demonstration
C3I	Command Control Communications and Intelligence
CAE	Component Acquisition Executive
CIO	Chief Information Officer
COMSPAWAR	Commander Space Warfare Systems Command
CM	Corrective Maintenance
CMC	Commandant of the Marine Corps
CNO	Chief of Naval Operations
DAD	Defense Acquisition Deskbook
DAPSG	Defense Acquisition Policy Steering Group
DoD	Department of Defense
DoDD	Department of Defense Directive
DoDI	Department of Defense Instruction
DoN	Department of the Navy
DRPM	Direct Reporting Program Manager
FAR/DFARS	Federal Acquisition Regulation/DoD Federal Acquisition Supplement

FRP	Full Rate Production
INST	Instruction
IPPD	Integrated Product and Process Development
IPT	Integrated Product Team
IT	Information Technology
IT AAP	Information Technology AAP
LRIP	Low Rate Initial Production
MAIS	Major Automated Information System
MDA	Milestone Decision Authority
MDAP	Major Defense Acquisition Programs
MS 1	Milestone 1
MS 0	Milestone 0
NAPDD	Non-Acquisition Program Definition Document
NSS	National Security System
O&MN	Operations and Maintenance Navy
OPNAV	Office of Chief of Naval Operations
OPTEVFOR OT	Operational Test and Evaluation Force (Navy) Operational Test
ORD	Operational Requirements Document
OT&E	Operational Test and Evaluation
PEO	Program Executive Office
PM	Program Manager
PMW	Program Manager Warfare
POM	Program Objective Memorandum
PPBS	Planning Programming and Budgeting System
R&D	Research and Development
RD&A	Research, Development and Acquisition
RDC	Rapid Deployment Concept
RDT&E	Research, Development, Test, and Evaluation
RFP	Request For Proposal

S&T	Science and Technology
SECNAV	Secretary of the Navy
SKC	SPAWAR Knowledge Center
SPAWAR	Space Warfare Command
SPM	Scheduled Preventative Maintenance
STRC	Science and Technology Requirements Committee
STWG	Science and Technology Working Group
SYSCOMS	Systems Command (Navy)
TEMP	Test and Evaluation Master Plan
URL	Universal Resource Locator
USD	Under Secretary of Defense
