

# MARCORSYSCOM Acquisition Guidebook

FY21-01 – 30 October 2020



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## RECORD OF CHANGES

<u>Date</u>	<u>Status (Baseline, Revision, Cancelled)</u>	<u>Document Version Number</u>	<u>Section(s) Affected/ Summary of Change</u>	<u>Reason for Change</u>
5/1/2020	Revision	FY20 - 02	Chapter 13. Table 13-1. Added a row on Clinger-Cohen Act Compliance E-Tool	Point to CCA compliance tool
5/1/2020	Revision	FY20 - 02	13.4 References. Added DoDI 5000.02 with change 3.	Reference most recent, relevant instruction.
5/1/2020	Revision	FY20 - 02	Added Chapter 22 on Additive Manufacturing	Section on Additive Manufacturing requested insertion
5/5/2020	Revision	FY20 - 02	16.2.2. Applicability and Reporting Requirements. Changed language to “ <i>See the RDAIS Guidebook on VIPER for additional information. Any questions regarding the process...</i> ”	Clarity and point to resource.
6/8/2020	Revision	FY20 - 02	Added Chapter 23 on Birth Record accountability	Resource information for MCSC property disposition and tracking.
10/30/2020	Revision	FY21 - 01	Added Chapters 7-13 (content from previous MAG versions resident primarily in Chapter 10)	Structural revision of the MAG to align with the DoD’s Adaptive Acquisition Framework and the six Acquisition Pathways
			All MAG chapters after Chapter 1, have been re-ordered.	Restructured for clarity and flow. MAG is now logically structured to follow a nominally chronological/linear order; as an acquisition program would take place.
			DOD publications / references added: DODD 5000.01, and Pathway DODIs (5000.85, 5000.75, etc)	New and updated guidance and policy from OSD added to MAG references where appropriate.
			2.15 PEO EIS Disestablishment	PEO EIS was disestablished into reorganized under (2) two PEOs

<b>Purpose and Applicability .....</b>	<b>1</b>
<b>Chapter 1 – Defense Acquisition Law, Policy and Regulations .....</b>	<b>3</b>
1.1 Defense Acquisition.....	3
1.1 Defense Acquisition Law.....	4
1.1.1 Title 10 United States Code (U.S.C.), Armed Forces .....	4
1.1.2 National Defense Authorization Act (NDAA).....	4
1.2 Defense Acquisition Policy Heirarchy.....	5
1.2.1 Acquisition Regulations.....	5
1.2.2 Department of Defense (DoD) and Department of Navy (DoN) Issuances.....	5
1.2.3 DoD Regulations and Instructions .....	5
1.2.4 DoN Regulations and Instructions .....	6
1.2.5 Acquisition Regulations and Public Law .....	6
1.3 Adaptive Acquisition Framework.....	6
1.3.1 Synopsis .....	6
1.3.2 Acquisition Pathways.....	7
1.3.3 Tailoring.....	7
1.4 MARCORSYSCOM Accelerated Acquisition .....	8
1.5 Tips and Tools.....	8
1.5.1 Tips .....	8
1.5.2 Tools .....	8
1.6 References.....	10
<b>Chapter 2 – Acquisition Stakeholders.....</b>	<b>12</b>
2.1 Participating Personnel and Organizations .....	12
2.2 Assistant Secretary of the Navy (ASN) Research Development & Acquisition (RDA).....	12
2.3 Commandant of the Marine Corps (CMC) .....	12
2.4 Deputy Commandant, Combat Development and Integration (DC CD&I).....	12
2.4.1 Marine Corps Combat Development Command (MCCDC).....	13
2.5 DC Installation and Logistics (DC I&L).....	13
2.6 DC Programs and Resources (DC P&R) .....	13
2.7 DC Information (DC I) .....	13
2.8 Joint Project Manager, Chemical, Biological, Radiological and Nuclear Protection (JPM CBRN P)	13
2.9 Marine Corps Intelligence Activity (MCIA).....	14
2.10 Intelligence Liaison Officer (ILO).....	14
2.11 Marine Corps Operational Test and Evaluation Activity (MCOTEA) .....	14

2.12	Marine Corps Warfighting Laboratory (MCWL) .....	15
2.13	Office of Naval Research (ONR).....	15
2.14	Program Executive Officer – Land Systems (PEO LS).....	15
2.15	Naval Information Warfare Systems Command (NAVWARSSYSCOM), Program Executive Office for Enterprise Information Systems (PEO EIS) Disestablishment .....	15
2.15.1	PEO Digital.....	15
2.15.2	PEO MLB .....	16
2.16	References.....	16
<b>Chapter 3 - Acquisition Categories and MCSC Decision Authorities.....</b>		<b>17</b>
3.1	Acquisition Categories (ACATs) and Decision Authorities (DA).....	17
3.2	ACAT.....	17
3.2.1	ACAT III Programs .....	17
3.2.2	ACAT IV Programs .....	18
3.3	Decision Authority (DA) .....	18
3.4	Process for Assigning ACAT/AAP Designation and Decision Authority .....	20
3.5	DA Responsibilities .....	21
3.6	ACAT IV/AAP Designation Change Request .....	22
3.7	Tips and Tools.....	22
3.7.1	Tips .....	22
3.7.2	Tools .....	22
3.8	References.....	22
<b>Chapter 4 – Marine Corps Requirements Transition Process.....</b>		<b>24</b>
4.1	Overview.....	24
4.2	Requirements Transition Team (RTT).....	24
4.3	Requirements Transition Process.....	24
4.4	Capability Requirements.....	25
4.4.1	Urgent Needs .....	25
4.4.2	Non-Urgent Needs .....	25
4.4.3	Modification to Requirements .....	25
4.5	Applicability .....	26
4.6	Requirements Issue Resolution.....	26
4.7	Marine Corps Rapid Capabilities Office (MCRCO).....	26
4.8	Defense Business System (DBS) Process.....	26
4.9	Tips .....	27
4.10	References.....	27
<b>Chapter 5 – MARCORSSYSCOM Program Management .....</b>		<b>28</b>
5.1	Background.....	28

5.2	MARCORSYSCOM Concept of Operations (CONOPS) .....	28
5.3	Program Management Reviews (PMRs).....	28
5.3.1	Overview .....	28
5.3.2	Schedule .....	28
5.3.3	Roles and Responsibilities .....	29
5.3.4	After-Action Review (AAR).....	30
5.3.5	Action Items.....	30
5.4	Tools .....	30
5.5	References.....	30
<b>Chapter 6 – Acquisition Planning .....</b>		<b>31</b>
6.1	Acquisition Strategy.....	31
6.2	Acquisition Plan.....	31
6.3	Single Acquisition Management Plan (SAMP) .....	31
6.4	Contractor Performance Assessment Reporting System (CPARS) .....	32
6.5	Procurement Management Tool (PMT).....	32
6.6	Tips and Tools.....	33
6.6.1	Tips .....	33
6.6.2	Tools .....	33
6.7	References.....	33
<b>Chapter 7 – Program Scheduling .....</b>		<b>34</b>
7.1	Integrated Master Schedule / Integrated Master Plan Applicability .....	34
7.2	Integrated Master Schedule (IMS).....	34
7.2.1	Contractor IMS (C-IMS).....	34
7.2.2	Government IMS (IGS) .....	35
7.3	Critical Path .....	35
7.4	IMS Building Blocks .....	35
7.4.1	Determine Project Objectives .....	35
7.5	Work Breakdown Structure (WBS) .....	36
7.5.1	Program WBS .....	36
7.5.2	Contract WBS .....	36
7.5.3	Organizational Breakdown Structure (OBS) .....	36
7.5.4	Integrated Master Plan (IMP) .....	37
7.5.5	Integrated Master Schedule (IMS).....	37
7.6	Integrated Program Management Team (IPMT).....	37
7.7	Training Opportunities .....	38
7.8	References.....	38

<b>Chapter 8 – Acquisition Program Baseline .....</b>	<b>39</b>
8.1 Overview.....	39
8.2 Objective and Threshold Values .....	39
8.3 Performance Parameters .....	39
8.4 Schedule Parameters .....	39
8.5 Cost Parameters .....	40
8.6 Revisions.....	40
8.7 Deviations (also called “Breaches”).....	40
8.8 PM Advisors (Including the Deviation Review Board (DRB)) .....	41
8.9 Tips and Tools.....	42
8.9.1 Tips .....	42
8.9.2 Tools .....	42
8.10 References.....	42
<b>Chapter 9 – Pathway Selection .....</b>	<b>43</b>
9.1 Pathway Selection Guidance.....	43
9.1.1 Urgent Capabilities .....	43
9.1.2 Middle Tier .....	43
9.1.3 Major Capabilities.....	43
9.1.4 Software .....	43
9.1.5 Business Systems .....	43
9.1.6 Services .....	43
9.2 Combining, tailoring, transitioning pathways.....	43
9.3 Functional Areas .....	44
9.4 Tools .....	44
9.5 References.....	44
<b>Chapter 10 – Urgent Capability Acquisition.....</b>	<b>45</b>
10.1 Pathway Characteristics .....	45
10.2 Types of UONs .....	45
10.3 Acquisition Phase & Milestones .....	46
10.3.1 Pre-Development .....	46
10.3.2 Development .....	47
10.3.3 Production & Deployment .....	47
10.3.4 Operations & Support .....	48
10.3.5 Disposition .....	48
<b>Chapter 11 – Middle Tier of Acquisition .....</b>	<b>50</b>
11.1 Pathway Characteristics .....	50

11.2	Fast Lane Playbook.....	50
11.3	References.....	50
<b>Chapter 12 – Major Capability Acquisition.....</b>		<b>51</b>
12.1	Pathway Characteristics .....	51
12.2	Abbreviated Acquisition Programs (AAPs).....	51
12.3	Non-Deployment Program.....	51
12.4	Capability Modification .....	51
12.5	Program Reclassification .....	52
12.6	Major Capability Acquisition Phases and Milestone/Decision Reviews .....	52
12.6.1	Acquisition Phases and Decision Points .....	52
12.6.2	Navy Two Pass/SEVEN Gate Governance (Optional) .....	58
12.6.3	Milestone Assessment Team (MAT) .....	59
12.6.4	COMMARCORSSYSCOM Decision Reviews.....	59
12.7	Milestone Documentation .....	60
12.7.1	ACAT Programs .....	60
12.7.2	AAPs.....	60
12.8	Tips and Tools.....	61
12.8.1	Tips .....	61
12.8.2	Tools .....	61
12.9	References.....	62
<b>Chapter 13 – Software Acquisition.....</b>		<b>63</b>
13.1	Pathway Characteristics .....	63
13.2	Acquisition Phases .....	63
13.2.1	Planning Phase .....	64
13.2.2	Execution Phase .....	64
13.3	References.....	64
<b>Chapter 14 – Defense Business Systems.....</b>		<b>65</b>
14.1	Pathway Characteristics .....	65
14.2	Acquisition Phases & Milestones .....	66
14.3	References.....	66
<b>Chapter 15 – Acquisition of Services.....</b>		<b>67</b>
15.1	Pathway Characteristics & Seven Step Process (3 Phases).....	67
15.2	Acquisition Phases .....	67
15.2.1	Planning Phase .....	67
15.2.1.1	Market Research .....	68
15.2.2	Development Phase.....	68

15.2.3	Execution Phase .....	68
15.3	References.....	68
<b>Chapter 16</b>	<b>– Participation In Other Service Programs.....</b>	<b>70</b>
16.1	Authority to Participate In Another Service’s Program.....	70
16.2	Joint Programs .....	70
16.3	Tips and Tools.....	71
16.3.1	Tips .....	71
16.3.2	Tools .....	71
16.4	References.....	71
<b>Chapter 17</b>	<b>– Equipment Exchange Process and Commodity Acquisition Management .....</b>	<b>73</b>
17.1	Equipment Exchange Process .....	73
17.2	Commodity Acquisition Management .....	73
17.3	Tools .....	73
17.4	References.....	74
<b>Chapter 18</b>	<b>– Commercial Items and Non-Developmental Items.....</b>	<b>75</b>
18.1	Introduction.....	75
18.2	Statutory and Regulatory Requirements .....	75
18.3	Defense Commercial Solutions.....	76
18.4	Testing.....	76
18.5	Life Cycle Support.....	76
18.6	Tips and Tools.....	77
18.6.1	Tips .....	77
18.6.2	Tools .....	77
18.7	References.....	78
<b>Chapter 19</b>	<b>– Should Cost and Will Cost Management.....</b>	<b>79</b>
19.1	Overview.....	79
19.2	Should Cost Management (SCM) .....	79
19.3	Should Cost Reporting.....	79
19.4	Will Cost.....	79
19.5	Tips .....	79
19.6	References.....	80
<b>Chapter 20</b>	<b>– Planning, Programming, Budgeting and Execution .....</b>	<b>81</b>
20.1	Overview.....	81
20.2	PPBE Phases .....	82
20.2.1	Planning .....	82
20.2.2	Programming.....	82



20.2.3	Budgeting.....	82
20.2.4	Execution.....	83
20.2.5	Audit.....	83
20.3	USMC Appropriations.....	83
20.4	Tools.....	84
<b>Chapter 21</b>	<b>– MARCORSYSCOM Tools and Guidance.....</b>	<b>85</b>
21.1	Overview.....	85
21.2	The Online Program Information Center (TOPIC).....	85
21.3	Tools Mandatory For Use But Not Unique to MARCORSYSCOM.....	85
21.4	References.....	86
<b>Chapter 22</b>	<b>– Program Reporting.....</b>	<b>87</b>
22.1	The On-Line Program Information Center (TOPIC).....	87
22.1.1	MS Events / Approved APBs.....	87
22.1.2	Engineering.....	88
22.1.3	Contracting and Procurement.....	88
22.1.4	Editing Rights.....	88
22.2	Assistant Secretary of the Navy (ASN) Research Development & Acquisition Information System (RDAIS).....	88
22.2.1	Overview.....	88
22.2.2	Applicability and Reporting Requirements.....	88
22.3	Tools.....	89
22.4	References.....	89
<b>Chapter 23</b>	<b>– Acquisition Security.....</b>	<b>90</b>
23.1	Overview.....	90
23.2	Operations Security (OPSEC).....	90
23.3	Security Classification Guide (SCG).....	91
23.4	Threat Assessment.....	91
23.5	Criticality Analysis.....	91
23.5.1	Critical Program Information (CPI) Identification.....	91
23.5.2	Critical Components and/or Functions (CC/CF) Identification.....	92
23.6	Supply Chain Risk Management.....	92
23.7	Industrial Security.....	92
23.8	Program Protection Planning.....	92
23.8.1	Program Protection Plan (PPP).....	93
23.8.2	Scope.....	93
23.8.3	Program Protection Plan Requirements.....	93
23.9	Cybersecurity.....	94

23.10	Tips and Tools.....	95
23.10.1	Tips .....	95
23.10.2	Tools .....	96
23.11	References.....	96
<b>Chapter 24 – Intelligence Mission Data Dependency .....</b>		<b>97</b>
24.1	Scope and Applicability.....	97
24.2	IMD Dependency.....	97
24.3	Life Cycle Mission Data Plan (LMDP) .....	97
24.4	Intelligence Liason Officer (ILO).....	98
24.5	TOOLS.....	98
24.6	References.....	98
<b>Chapter 25 – Risk and Opportunity Management .....</b>		<b>99</b>
25.1	Risks, Issues and Opportunities .....	99
25.1.1	Risks.....	99
25.1.2	Issues.....	100
25.1.3	Opportunities.....	100
25.2	Tips and Tools.....	100
25.2.1	Tips .....	100
25.2.2	Tools .....	101
25.3	References.....	101
<b>Chapter 26 – Additive Manufacturing.....</b>		<b>102</b>
26.1	Overview.....	102
26.2	Tip and Tools .....	102
26.2.1	Tips .....	102
26.2.2	Tools .....	103
26.3	References.....	103
<b>Chapter 27 – Birth Record Accountability.....</b>		<b>104</b>
27.1	– Overview.....	104
27.2	Tip and Tools .....	104
27.2.1	Tips .....	104
27.2.2	Tools .....	104
27.3	References.....	105
<b>Appendix A – List of Acronyms .....</b>		<b>106</b>
<b>Appendix B – Definitions.....</b>		<b>112</b>
<b>Appendix C - List of Enclosures and Templates.....</b>		<b>122</b>

## TABLES

<b>Table 1-1. Highlights of Recent National Defense Authorization Acts .....</b>	<b>4</b>
<b>Table 3-1. Description and Decision Authorities for ACAT and AAP Programs.....</b>	<b>19</b>
<b>Table 5-1: PMR Roles &amp; Responsibilities.....</b>	<b>29</b>
<b>Table 6-1 Acquisition Plan Templates .....</b>	<b>31</b>
<b>Table 6-2 STRAP/MOPAS-S Requirements and Approvals .....</b>	<b>32</b>
<b>Table 8-1. Deviation Review Board.....</b>	<b>41</b>
<b>Table 21-1. Mandatory Tools.....</b>	<b>85</b>
<b>Table 22-1. TOPIC Program Management Content .....</b>	<b>87</b>

## FIGURES

<b>Figure 0-1. DoD AAF.....</b>	<b>1</b>
<b>Figure 1-1. Illustration of the Interaction between the JCIDS Process and the DAS.....</b>	<b>3</b>
<b>Figure 1-2. Acquisition Pathways.....</b>	<b>6</b>
<b>Figure 3-1. ACAT Determination.....</b>	<b>18</b>
<b>Figure 3-2. MARCORSYSCOM Program Initiation Process .....</b>	<b>20</b>
<b>Figure 7-1 IGS Development Process and Responsibilities.....</b>	<b>36</b>
<b>Figure 7-2. IMP &amp; IMS Relationship.....</b>	<b>37</b>
<b>Figure 10-1 Urgent Capability Acquisition .....</b>	<b>45</b>
<b>Figure 10-2. Flow of JUONs and JEONs .....</b>	<b>46</b>
<b>Figure 11-1. Middle Tier of Acquisition.....</b>	<b>50</b>
<b>Figure 12-1: Major Capability Acquisition Pathway .....</b>	<b>51</b>
<b>Figure 12-2 Hardware Dominant Program (DoDI 5000.02 Figure 7 Model 5) .....</b>	<b>53</b>
<b>Figure 12-3. DoN Requirements/Acquisition Two-Pass/Seven-Gate Process.....</b>	<b>59</b>
<b>Figure 13-1. Software Acquisition .....</b>	<b>63</b>
<b>Figure 13-2. Software Acquisition Phases.....</b>	<b>63</b>
<b>Figure 14-1. Defense Business Systems .....</b>	<b>65</b>
<b>Figure 14-2. BCAC Phases .....</b>	<b>66</b>
<b>Figure 15-1. Acquisition of Services.....</b>	<b>67</b>
<b>Figure 18-1. Deciding Between a CI or NDI.....</b>	<b>77</b>
<b>Figure 20-1. USMC Planning and Programming Process.....</b>	<b>81</b>
<b>Figure 25-1. Overview of Potential Sources of Risks, Issues and Opportunities .....</b>	<b>99</b>
<b>Figure 25-2. Risk Reporting Matrix and Criteria.....</b>	<b>100</b>

## PURPOSE AND APPLICABILITY

The purpose of the Marine Corps Systems Command (MARCORSYSCOM) Acquisition Guidebook (MAG) is to provide a consolidated overview of MARCORSYSCOM implementation of the Defense Acquisition System (DAS). MARCORSYSCOM Order (MCSCO) 5000.3B establishes this MAG as a tool that complements Department of Defense Directive (DoDD) 5000.01, DoD Instruction (DoDI) 5000.02 and Secretary of the Navy (SECNAV) Instruction 5000.02F. The MAG also provides details and processes for mandatory requirements imposed by MCSCOs; and MARCORSYSCOM-unique processes, tools, and best practices to better assist program management [teams](#) in successfully managing their programs.

This MAG is applicable to all MARCORSYSCOM Acquisition Category (ACAT) III, ACAT IV, [Non-Deployment Programs \(NDPs\)](#) and Abbreviated Acquisition Programs (AAPs) regardless of acquisition life cycle phase. Personnel should review DoD Directive (DoDD) 5000.01, DoDI 5000.02, the Defense Acquisition Guidebook ([DAG](#)), DoD 5000 Series Acquisition Policy Transformation Handbook, and other instructions for acquisition pathways and functional areas – some of which are currently in-work.

MARCORSYSCOM provides acquisition management via multiple paths within the DoD Adaptive Acquisition Framework (AAF) (**Figure 0-1. DoD AAF**). The Operations and Programs (OPS&PROG) Directorate has developed guidebooks for implementation of this framework, which are available on the Marine Corps Systems Command Acquisition Portal ([MAP](#)) knowledge center within the Vital Information Portal for Enterprise Resources ([VIPER](#)).

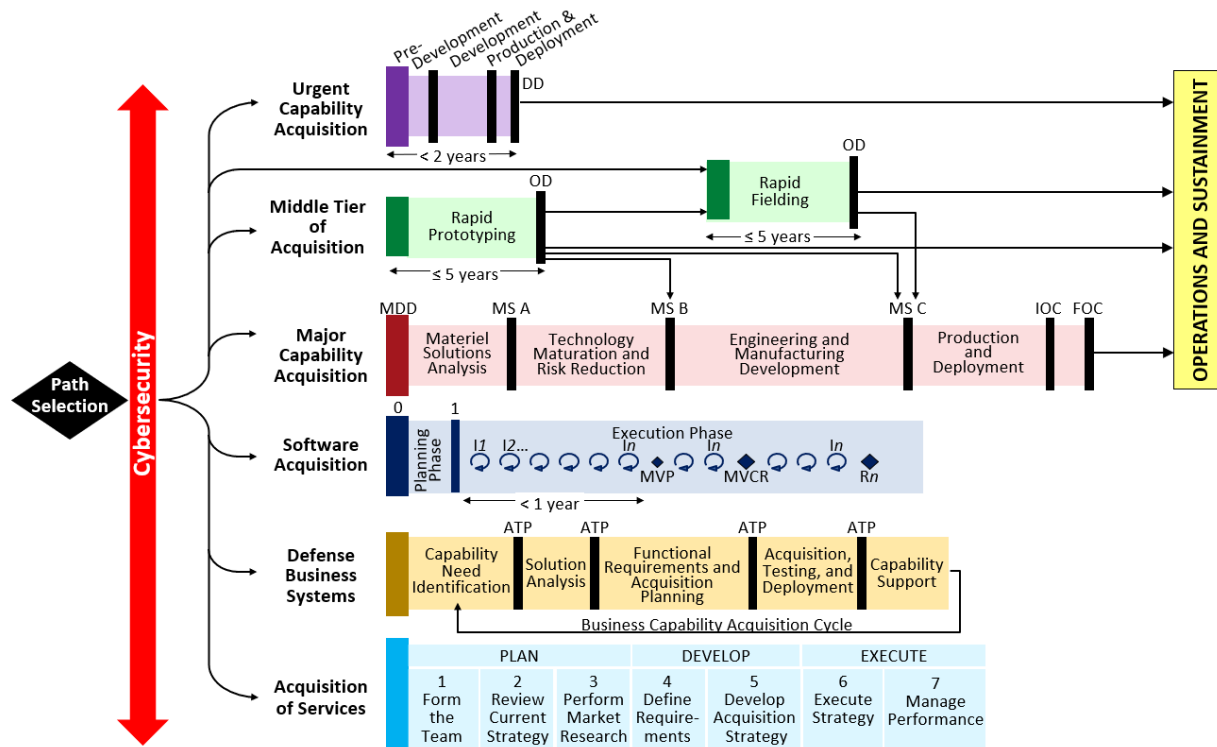


Figure 0-1. DoD AAF

- The DoD 5000 Series Acquisition Policy Transformation Handbook provides additional guidance on the newly established AAF, DoD’s newest tool for implementing tailored solutions and providing capabilities to the warfighter at the speed of relevance. No longer is the project team limited to accomplishing warfighting objectives under a “one-size-fits-all” model. The AAF provides pathways that supports the unique acquisition features for Urgent Capabilities, Middle Tier, Major Capability, Software (SW), Defense Business Systems (DBS), Acquisition of Services as well as Major Capability Acquisition. The AAF supports the Defense Acquisition System and efficient, supportable, and affordable capability delivery in a timely fashion; while empowering Program Managers and emphasizing risk management and sustainment considerations. The Handbook also provides additional guidance on tailoring, combining, and transitioning between pathways to create individual program strategies. It is intended to be read in context with the updated DoDI 5000.02 and 5000.02T (both published 23 Jan 2020). It also discusses forthcoming DoDIs for each of six identified functional areas: Acquisition Intelligence, Cybersecurity, Intellectual Property, Mission Engineering, Systems Engineering, and Test and Evaluation. Additional information can be found on the [MAP](#).
- The tailorable, traditional approach is addressed in this MAG. [DoDI 5000.02](#), [DoDI 5000.85 Major Capability Acquisition](#) and [SECNAVINST 5000.2F](#) emphasize tailoring of requirements and procedures in these instructions based on the specifics of the product being acquired, including complexity, [risk](#) factors, and required timelines to satisfy capability requirements.
- The [Fast Lane Playbook](#) is designed to inform [Program Managers](#) on Middle Tier Acquisition (MTA), Other Transaction Authority (OTA) and other rapid acquisition initiatives.
- The Under Secretary of Defense (Acquisition and Sustainment) (USD (A&S)) Software Acquisition Pathway Interim Policy and Procedures provides interim guidance for acquisition of software (SW).
- The Business Capability Acquisition Cycle (BCAC) Guidebook provides guidance on implementation of DoD and SECNAV policy for DBS requirements and acquisition.
- The acquisition of services is not covered in this guidebook. [DoDI 5000.74: Defense Acquisition of Services](#), establishes policy and implements a management structure for the acquisition of contracted services.
- The 3 January 2020 USD (A&S) [SW Acquisition Pathway Interim Policy and Guidance](#) is applicable to the following types of SW: Command and Control (C2); Intelligence, surveillance, and reconnaissance (ISR); embedded mission planning or situational awareness; and custom SW running on commercial or modified commercial hardware (HW). SW for DBS using primarily Commercial off the Shelf (COTS) components will follow DoDI 5000.75, but may elect to use the new SW Pathway for custom developed SW.

This MAG is a living document and will be continuously updated to reflect changes in DoD/Navy/Marine Corps policy and MCSCOs.

# Chapter 1 – DEFENSE ACQUISITION LAW, POLICY AND REGULATIONS

## 1.1 DEFENSE ACQUISITION

Three principal [systems](#) affect acquisition of defense capability: The [Defense Acquisition System \(DAS\)](#), Joint Capabilities Integration and Development System (JCIDS), and the Planning Programming, Budgeting, and Execution (PPBE) Process. Together, the three processes provide a means to determine, validate, and prioritize capability requirements and associated capability gaps and risks, and then fund, develop, field, and sustain capability solutions for the Warfighter.

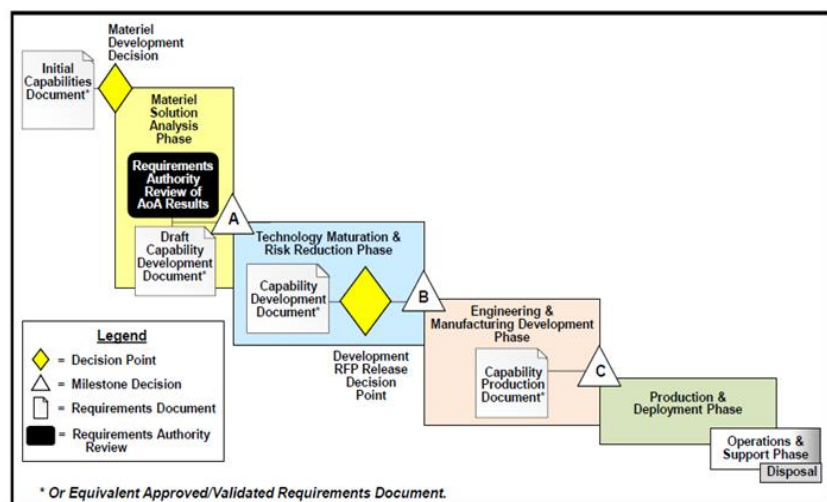
The DAS exists to manage the United States’ investments in technologies, programs, and product support necessary for the US Armed Forces to achieve the national security strategy prescribed by the President. The primary objective of DAS is to acquire quality supplies and services that satisfy user needs with measurable improvements to mission capability and operational support at a fair and reasonable price. This MAG is primarily focused on the DAS.

JCIDS is the process used by the Joint Requirements Oversight Council (JROC) to fulfill its statutory, advisory responsibilities to the Chairman of the Joint Chiefs of Staff in identifying, assessing, validating, and prioritizing joint military capability requirements. Chairman Joint Chiefs of Staff Instruction (CJCSI) Instruction 5123.01H, *Charter of the JROC and Implementation of the (JCIDS)*, establishes JROC/JCIDS policies and procedures. The *Manual for the Operation of the JCIDS*, provides detailed direction concerning the preparation, staffing, and format for JCIDS documents including:

- [Initial Capabilities Document \(ICD\)](#)
- Information Systems ICD (IS-ICD) (not applicable to DBS)
- Capability Development Document (CDD), Information Systems CDD (IS-CDD)
- Joint Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, Facilities, and Policy (DOTMLPF-P)
- DOTMLPF Change Recommendation (DCR)
- [Joint Urgent Operational Need \(JUON\)](#)
- Joint Emergent Operational Need (JEON)

**Figure 1-1** illustrates the interaction between the JCIDS Process and the DAS.

The Marine Requirements Oversight Council (MROC) serves as the primary, senior-level Marine Corps leadership forum to advise and assist the Commandant in the execution of his Title 10 U.S.C. and Joint Chiefs of Staff responsibilities. Details can be found in the [MROC Handbook](#).



**Figure 1-1. Illustration of the Interaction between the JCIDS Process and the DAS**

The PPBE process is focused on financial management and resource allocation for current and future DoD [acquisition programs](#). The process is established by the Secretary of Defense (SECDEF) who provides priorities and goals under the main guidance of DoD Directive 7045.14, *Program Planning Budget & Execution (PPBE) Process*. The [DoD 7000.14-R, DoD Financial Management Regulation \(FMR\) \(issued by the Under Secretary of Defense \(Comptroller\)\)](#) is issued under the authority of DoD Instruction 7000.14, *DoD Financial Management Policy and Procedures*. The DoD FMR directs statutory and regulatory financial management requirements, systems, and functions for all appropriated and non-appropriated, working capital, revolving, and trust fund activities.

## 1.1 DEFENSE ACQUISITION LAW

### 1.1.1 Title 10 United States Code (U.S.C.), Armed Forces

Title 10 U.S.C. governs the organization, structure, and operation of the US Armed Forces. Several sections within the title charge the secretaries of the military departments (Army, Navy, and Air Force) with responsibility to "equip" the armed forces. General acquisition provisions, many of which apply to Major Defense Acquisition Programs (MDAPs) and [Major Automated Information Systems \(MAISs\)](#), are spread throughout Title 10 including: assignment of responsibilities; establishment of acquisition procedures; definitions of acquisition terms; and requirements for reporting to Congress. Subtitle C of Title 10 is specific to the Navy and Marine Corps. The acquisition-related statutes that apply to the rest of the federal government are codified in Title 41, Public Contracts.

### 1.1.2 National Defense Authorization Act (NDAA)

The annual NDAs contained within Title 10 are one of the principal mechanisms by which Congress modifies the defense acquisition structure. Often changes enacted by NDAs require updates to Department of Defense (DoD) and Department of the Navy (DoN) directives/instructions/manuals to conform with the law. OPS&PROG provides a summary of NDAs annually within the MAP. The most recent NDAA is Public Law (P.L.) 116-92: John S. McCain NDAA for FY 2020, 20 December 2019. *Table 1-1* contains some highlights of other NDAs:

**Table 1-1. Highlights of Recent National Defense Authorization Acts**

<b>Highlights of Recent National Defense Authorization Acts</b>	
<b><i>Public Law (P.L.) 116-92: NDAA for Fiscal Year (FY) 2020, 20 December 2019</i></b>	
<ul style="list-style-type: none"> <li>• Established the Defense Research and Development Rapid Innovation Program (§2359a)</li> <li>• Required report or realignment of the DAS to implement various reforms.</li> <li>• USD(A&amp;S) must provide report on Middle Tier Acquisition programs</li> <li>• Change of Micro-purchase transactions limit up to \$10,000</li> <li>• Directs DOD to redesign the Acquisition Workforce certification, education, and career fields by leveraging nationally and internationally recognized standards. It also establishes a requirement for the Defense Acquisition University to employ visiting professors.</li> </ul>	
<b><i>Public Law (P.L.) 115-232: NDAA for Fiscal Year (FY) 2019, 13 August 2018</i></b>	
<ul style="list-style-type: none"> <li>• Pilot program to accelerate contracting and pricing processes (§890a)</li> <li>• Limited the use of Lowest Price Technically Acceptable source selection criteria (§880)</li> <li>• Altered 10 USC §2229a to allow service heads to conduct covered procurement actions</li> <li>• Required SecDef to provide annual reports on DoD use of OTA.</li> <li>• Revises the definition of "commercial item" by separating it into two new definitions: "commercial product" and "commercial service." §836</li> <li>• Requires FAR Council to review the procurement regulations applicable to commercial products and services and recommend exemptions from FAR requirements unless there is a statutory reason to not provide an exemption. (§838)</li> </ul>	

## Highlights of Recent National Defense Authorization Acts

### *Public Law (P.L.) 115-91: NDAA for Fiscal Year (FY) 2018, 12 December 2017*

- Raised the dollar threshold for Other Transaction approval
- Provided that a competitively awarded contract for basic research may contain a line item or option for development, production, or delivery of additional prototypes or initial production
- Established a preference for transactions other than contracts, cooperative agreements and grants in the execution of science and technology and prototyping programs
- Changed simplified acquisition threshold to \$250K vice \$100K
- Required FAR revisions to provide for a should cost review process
- Required negotiation for technical data pricing before selection of a Major Defense Acquisition Program (MDAP) Engineering and Manufacturing Development contract
- Required notification of the use of bridge contracts to higher authorities based on contract value upon first and second use
- Extended AcqDemo to 31 December 2023
- Limited the number of Deputy Assistant Secretaries of Defense to 48
- Definition of MDAP does not include defense business systems

## 1.2 DEFENSE ACQUISITION POLICY HEIRARCHY

### 1.2.1 Acquisition Regulations

DoD acquisition activities are generally governed by three sets of regulations: (1) the [Federal Acquisition Regulation \(FAR\)](#) - applicable to the entire federal Government; (2) the [Defense Federal Acquisition Regulation Supplement \(DFARS\)](#) - applicable only to DoD; and (3) the [Navy Marine Corps Acquisition Supplement \(NMCARS\)](#). NMCARS establishes uniform DoN policies and procedures implementing and supplementing the FAR/DFARS including delegations of authority and assignment of responsibilities. The NMCARS also addresses administrative matters including approval authorities and procedures for processing documents for higher level approval, internal reporting requirements, and discretionary practices.

### 1.2.2 Department of Defense (DoD) and Department of Navy (DoN) Issuances

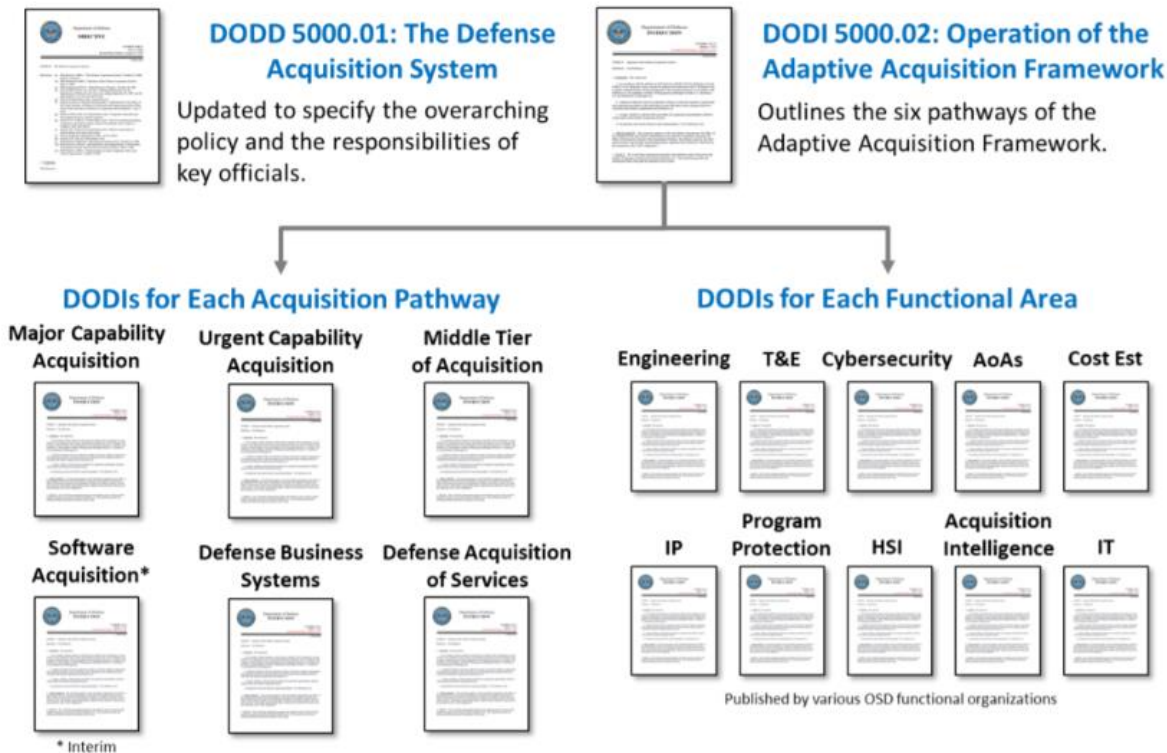
DoD and DoN policy are contained in multiple instructions and directives – what is required. Manuals and guidebooks contain detailed information on the execution of these policies – how to do what is required. Guidebooks often contain approval processes, and document templates including signature pages.

### 1.2.3 DoD Regulations and Instructions

DoDD 5000.01, *The Defense Acquisition System*, provides overarching management principles and mandatory policies that govern the DAS. DoDI 5000.02, *Operation of the Defense Acquisition System*, provides the detailed procedures that guide the operation of the DAS. Although the system is based on centralized policies and principles, it allows for decentralized and streamlined execution of acquisition activities. This approach provides flexibility and encourages innovation, while maintaining strict emphasis on discipline and accountability. DoDI 5000.02 authorizes Decision Authorities (DAs) to tailor the regulatory requirements and acquisition procedures in the instruction to more efficiently achieve program objectives, consistent with statutory requirements. The Defense Acquisition Guidebook (DAG) aids the acquisition workforce in the implementation of DoDD 5000.01 and DoDI 5000.02 by providing discretionary best practices that should be tailored to the needs of each program. Revisions to the DODD



5000.01 and DoDI 5000.02 referencing the AAF and tailored management pathways depicted in **Figure I-2** are in work.



**Figure 1-2. Acquisition Pathways**

### 1.2.4 DoN Regulations and Instructions

Secretary of the Navy Instruction (SECNAVINST) 5000.2F, *Defense Acquisition System and Joint Capabilities Integration and Development System Implementation*, issues mandatory procedures for DoN implementation of DoDD 5000.01 and DoDI 5000.02. It is applicable to all DoN acquisition programs except those managed under separate procedures for DBS; MTA; and Title 10 U.S.C. 2477a-e, Development, Prototyping, and Deployment of Weapon System Components or Technology.

### 1.2.5 Acquisition Regulations and Public Law

Often provisions within regulations are based on requirements that originated in P.L. DoDI 5000.02, *MS and Phase Information Requirements*, provides references to the P.L. upon which many regulatory requirements are based.

## 1.3 ADAPTIVE ACQUISITION FRAMEWORK

### 1.3.1 Synopsis

The purpose of the Adaptive Acquisition Framework revamps the tedious acquisition process governed by the Defense Federal Acquisitions regulations. Implementing multiple pathways, Figure 0-1, will improve the speed of defense acquisitions and will strengthen the defense industrial base. The framework supports the sustainment objectives categorized in Title 10 of the United States Code by providing MDAs, DAs, and PMs alternative development processes and strategies that match the characteristic capability of the system being acquired. MDAs will approve appropriate acquisition strategy at all major

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decision points and PMs will employ innovative, but disciplined approaches relative to program management objectives.

### **1.3.2 Acquisition Pathways**

The new Adaptive Acquisition Framework outlines multiple acquisition approaches for the capability being acquired:

- Urgent Capability Acquisitions allow capabilities to fulfill urgent existing or emerging operation needs for a quick reaction in less than two years.
- Middle Tier Acquisitions help rapidly develop fieldable prototypes within an acquisition program to demonstrate new capabilities with proven technologies that require minimal development.
- Major Capability Acquisitions provide an effective, iterative approach to capability development while reducing cost, avoiding technological obsolescence, and reducing acquisition risk.
- Software Acquisitions facilitate the rapid delivery of software systems.
- Defense Business Systems pathway introduces the Business Capability Acquisition Cycle (BCAC) which provides a different approach to acquire business solutions more efficiently
- Defense Acquisition of Services implements a pathway to acquire the services from the sector.

Refer to [Chapter 5, Pathway Selection](#) for additional information about each pathway.

### **1.3.3 Tailoring**

At an overarching level, per the revised DoDD 5000.01 and DoDI 5000.02, programs will be tailored to one or more acquisition pathways, i.e., traditional acquisition, MTA, etc. Programs may transition to other pathways as appropriate, e.g., an MTA program may transition to a traditional acquisition program. Refer to [DoDI 5000.8: Operation of the Middle Tier of Acquisition](#), dated December 2019 for specific requirements of MTA applicability.

At the program level, the difference between what makes sense for a particular program and what would be required by default per regulation is—by definition—what should be tailored. PMs should tailor individual acquisition programs as much as possible to the unique characteristics of the product/service being acquired. Considerations can include, for example, operational urgency, technology maturity, complexity, and risk factors. In general, mature, proven systems and programs with low risk will have substantially fewer reviews and streamlined documentation requirements.

PMs will identify opportunities for tailoring with the advice of their program team and request the DA approve such tailoring in writing. Program tailoring may include the following:

- Acquisition Pathway
- Program Oversight
- Appropriate acquisition phases
- Milestone (MS) and Decision Points
- Point of program initiation
- Timing and scope of decision reviews
- Documentation required for each MS, Decision Point, review, and event
- Decision levels for each MS and Decision Point

Additionally, a program's tailoring strategy shall be reexamined and adjusted as necessary at each subsequent MS so that it reflects the current conditions of the program. The PM shall document rationale

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behind the recommended tailoring strategy in a proposed Acquisition Decision Memorandum (ADM) ([Template 1-1](#)) for approval by the Decision Authority (DA).

Statutory requirements cannot be tailored out unless the statute allows for tailoring. One recent exception to this was enacted by Section 806 of the NDAA for FY16, which authorized the SECDEF to waive any acquisition law or regulation upon a determination that the capability is vital to national security and the law's purpose can be addressed differently at a different time. Section 803 of P.L. 114-92 (NDAA for FY 2018) gives the SECDEF authority to waive acquisition law or regulation to acquire a capability that would not otherwise be available to the DoD Components. This waiver authority may not be delegated.

When there is a strong threat-based or operationally driven need to field a capability solution in the shortest time, DAs are authorized to implement streamlined procedures designed to accelerate acquisition system responsiveness. Streamlining may be within the DoDI 5000.02 process or may involve the use of accelerated acquisition initiatives, for example, MTA, OTA, etc. Such initiatives are contained within the MARCORSYSCOM Fast Lane Playbook.

## **1.4 MARCORSYSCOM ACCELERATED ACQUISITION**

Congress and DoN leadership have recognized the need to respond with more expediency to demand signal from warfighters and increasing threats. As a result, Congress has initiated multiple changes to P.L. to facilitate accelerating acquisition. The DoN is formalizing these reforms through realignment of accelerated acquisition governance and introduction of alternate acquisition pathways. Although the DAS (as defined in DoDI 5000.02) has historically been used to acquire systems, the Under Secretary of Defense for Acquisition and Sustainment (USD(A&S)) and the Assistant Secretary of the Navy for Research, Development and Acquisition (ASN(RDA)) are providing policies to provide alternate paths to accelerate acquisition providing capabilities faster. These initiatives facilitate: rapid fielding, rapid prototyping, insertion of new and commercial technologies, increased research and development, and new public-private partnerships to work with small companies, start-ups, and universities. The command has developed a Fast Lane Playbook designed to inform PMs on accelerated acquisition initiatives. It is available on the MAP.

## **1.5 TIPS AND TOOLS**

### **1.5.1 Tips**

- Often there is a lag between modifications to the defense acquisition structure made by NDAA's and implementation of these in DoD/DoN issuances. Therefore, a review of NDAA(s) will avoid failures to comply with P.L.
- The NDAA's do not authorize expenditures. Funding is provided by the Appropriations Act.
- Although FAR, DFAR, NMCARS and DoD/DoN issuances are regulatory, many provisions within these documents are based on P.L., therefore, blanket tailoring out of requirements should not be enacted without knowing the source of the requirement.

### **1.5.2 Tools**

There are numerous tools available to the acquisition professional on web sites hosted by DoD, DoN, Defense Acquisition University (DAU), and professional organizations. This MAG will list the most useful tools.

- Acquisition Decision Memorandum – [Template 1-1](#)

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- [MARCORSYSCOM Acquisition Portal](#) – This site is the knowledge portal for acquisition within MARCORSYSCOM.
  - [MARCORSYSCOM Fast Lane Playbook](#) – The intent of this Accelerated Acquisition Playbook is to equip the Marine Corps Acquisition Workforce with a one-page synopsis focused on available approaches, nontraditional tools, and technology transfer mechanisms to streamline the acquisition process and accelerate delivery of operational capabilities to the warfighter.
  - [Defense Acquisition University \(DAU\) Tool Package](#) – The DAU tool site provides guides and handbooks crossing multiple subject areas.
  - [Defense Acquisition Guidebook \(DAG\)](#) –The DAG is designed to complement DoDD 5000.01 and DoDI 5000.02 policy documents by providing the acquisition workforce with discretionary best practices that should be tailored to the needs of each program.
  - [AcqNotes](#) – This web site provides succinct summaries of acquisition topics including links to references, related briefs and tutorials.
  - [ACQuipedia](#) – ACQuipedia serves as an online encyclopedia of common defense acquisition topics. Each topic is identified as an article. Articles include Business, Contracting, Engineering & Technology, Life Cycle Logistics, Program Management, and Requirements Management. Each article contains a definition, a brief narrative that provides context, and includes links to the most pertinent policy, guidance, tools, practices, and training which further augment understanding and expand depth.
  - [Defense Acquisition University Glossary](#) –The DAU Glossary is a tool within the DAU tool package. It reflects most acronyms, abbreviations, and terms commonly used in the systems acquisition process within the DoD and defense industries.
  - [Defense Acquisition University Tools](#) – This web site contains links to numerous guides, templates, and interactive tools on numerous acquisition topics.
  - [Defense Acquisition University PMs Tool Kit](#)– Contains a graphic summary of acquisition policies and managerial skills frequently required by DoD PMs.
  - [Defense Acquisition University Interactive AAF Tool](#) –The Interactive AAF tool is the place to start when considering how to get capability into the hands of the warfighter. There are many paths and the tool provide resources to help decide the best way or ways. Also, each path is linked to more detailed information and the latest official guidance including MTA authority memos.
  - [JCIDS Process](#) – 5 Minute Tutorial. Access to this tutorial requires signing up for membership as an acquisition professional on the [AcqNotes](#) page.
  - [DoD Issuances](#) – This site provide links to all DoD instructions, directives and manuals.
  - [DoN Issuances](#) – This site contains a digital collection of unclassified issuances released by the Secretary of the Navy and the Chief of Naval Operations.

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- [Milestone Document Identification](#) (MDID) tool, published and maintained by Defense Acquisition University, helps acquisition personnel filter through statutory and regulatory document requirements as identified in the following tables of the DoDI 5000.02:

Table 2: Milestone and Phase Information Requirements

Table 5: Recurring Programs Reports

Table 6: Exceptions, Waivers, and Alternative Reporting Requirements

Table 10: Information Requirements Unique to the Urgent Needs Rapid Acquisition Process

- [MROC Handbook](#) – The purpose of this handbook is to familiarize users with the MROC process and assist briefing organizations prepare and present issues for MROC Review Board (MRB) review and MROC decision.
- Current statutes (including Title 10 and Title 40) – Current statutes are found at the website of the [U.S. House of Representatives Office of the Law Revision Counsel United States Code](#).

## 1.6 REFERENCES

- [Chairman Joint Chiefs of Staff Instruction 5123.01H, Charter of the JROC and Implementation of the Joint Capabilities Integration and Development System \(JCIDS\), 31 August 2018](#)
- [Defense Acquisition Guidebook, 2 November 2017](#)
- [Department of Defense 7000.14-R, DoD Financial Management Regulation, May 2019](#)
- [Department of Defense Directive 5000.01, The Defense Acquisition System, 09 Sept 2020. \(Replaces \[Department of Defense Directive 5000.01, The Defense Acquisition System, 12 May 2003 with Change 2,31 August 2018\]\(#\) \)](#)
- [Department of Defense Directive 7045.14, Program Planning Budget & Execution \(PPBE\) Process, 25 January 2013](#)
- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, 7 January 2015 with Change5, 21 October 2019](#)
- [Department of Defense Instruction 5000.75, Change 2 Business Systems Requirements and Acquisition, 24 January 2020](#)
- [Department of Defense Instruction 5000.85, Major Capability Acquisition, 06 August 2020](#)
- [Department of Defense Instruction 7000.14, DoD Financial Management Policy and Procedures, 3 March 2006, with Change 1, 17 September 2008](#)
- [Defense Federal Acquisition Regulation Supplement, 28 June 2018](#)
- [Federal Acquisition Regulation, 12 July 2019](#)
- [The Manual for the Operation of the Joint Capabilities Integration and Development System, 31 August 2018](#)

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- [Marine Corps Order 3900.17, The Marine Corps Urgent Needs Process \(UNP\) and the Urgent Universal Needs Statement \(Urgent UNS\), 17 October 2008](#)
  - [Marine Corps Systems Command Order 5000.3B, Implementation of Marine Corps Systems Command Acquisition Tools, 14 August 2015](#)
  - [Marine Requirements Oversight Council Handbook, July 2013](#)
  - [Navy Marine Corps Acquisition Supplement, 14 June 2019](#)
  - [P.L. 114–92: NDAA for Fiscal Year \(FY\) 2016, 23 November 2015](#)
  - [P.L. 114–328: NDAA for FY 2017, 23 December 2016](#)
  - [P.L. 115-91: NDAA for FY 2018, 12 December 2017](#)
  - [P.L. 115-232: John S. McCain NDAA for FY 2019, 13 August 2018](#)
  - [Secretary of the Navy Instruction 5000.2F, Defense Acquisition System and Joint Capabilities Integration and Development System Implementation, 26 March 2019](#)
  - [Title 10, United States Code, Armed Forces, 13 August 2018](#)
  - [Title 41 United States Code, Public Contracts. 13 August 2018](#)

## **Chapter 2 – ACQUISITION STAKEHOLDERS**

### **2.1 PARTICIPATING PERSONNEL AND ORGANIZATIONS**

It is important to understand key organizations and individuals who participate within and influence the acquisition process. DoD directives place emphasis on a streamlined management structure that is characterized by clearly defined lines of authority, responsibility, and accountability. This chapter introduces the participating personnel and organizations within the Marine Corps acquisition process.

### **2.2 ASSISTANT SECRETARY OF THE NAVY (ASN) RESEARCH DEVELOPMENT & ACQUISITION (RDA)**

The Assistant Secretary of the Navy for Research, Development and Acquisition ASN(RDA) serves as the Navy Acquisition Executive. The Assistant Secretary has authority, responsibility and accountability for all acquisition functions and programs, and for enforcement of Under Secretary of Defense for Acquisition, Technology and Logistics procedures. ASN(RDA) represents the Department of the Navy to USD(AT&L) and to Congress on all matters relating to acquisition policy and programs. ASN(RDA) establishes policies and procedures and manages the Navy's Research, Development and Acquisition activities in accordance with DoD 5000 Series Directives. The Assistant Secretary serves as Program (Milestone) Decision Authority on ACAT IC programs and recommends decisions on ACAT ID programs.

### **2.3 COMMANDANT OF THE MARINE CORPS (CMC)**

The CMC directly influences the acquisition process by establishing and approving requirements, setting priorities, allocating resources, and conducting OT. The CMC is the ultimate DA on equipping the operational forces.

### **2.4 DEPUTY COMMANDANT, COMBAT DEVELOPMENT AND INTEGRATION (DC CD&I)**

DC CD&I also serves as the Commander, Marine Corps Combat Development Command (MCCDC). Both roles and organizations are foundational to the Marine Corps systems acquisition process. The mission of the DC, CD&I G-3/G-5 Division is to develop the conceptual and operational view of how the Marine Corps contributes to the Joint Force. The Division also develops the Marine Corps Operating Concept (MOC) to guide force development. Major DC CD&I functions include the following:

- Define the requirements for CMC
- Coordinate the requirements across the MARFORs and Marine Corps OAGs
- Execute the Requirements Transition Process (RTP)
- Provide COMMARCORSYSCOM with validated acquisition requirements
- Update requirements based upon lessons learned during system development

DC CD&I advises the DA as to whether a given system meets the warfighter's requirements. Additionally, DC CD&I participates in DA reviews and MS decisions throughout the program's life cycle.

### **2.4.1 Marine Corps Combat Development Command (MCCDC)**

DC CD&I also serves as the Commander, Marine Corps Combat Development Command (MCCDC). Both roles and organizations are foundational to the Marine Corps systems acquisition process. MCCDC's mission is to oversee and support the development, implementation, and maintenance of training and education programs, and participate in and support the Marine Corps Force Development System.

## **2.5 DC INSTALLATION AND LOGISTICS (DC I&L)**

DC I&L serves as the Marine Corps, and where appropriate DoN, representative in logistics business transformation, decision, mobilization, coordination, and policy groups. DC I&L provides installations and logistics subject matter experts to assist MARCORSYSCOM in developing acquisition and product support strategies aligned to institutional supply, logistics, and sustainment concepts while minimizing the sustainment burden on FMF commanders. Lastly, DC I&L promulgates logistics plans, policies, and concepts that form the framework for supporting product support strategies.

## **2.6 DC PROGRAMS AND RESOURCES (DC P&R)**

DC P&R balances resources, priorities, and associated trade-offs among cost, schedule, technical feasibility, and performance on major defense acquisition programs. DC P&R ensures resources allocated to acquisition programs match realistic cost estimates by conducting affordability analyses for all programs, to include prospective programs within a portfolio or mission area, demonstrating the ability of the estimated budgets to fund a new program over its planned life cycle. DC P&R ensures that sustainment factors are fully considered at all life cycle management decision points.

## **2.7 DC INFORMATION (DC I)**

DC I serves as the IT Expenditure Approval Authority. Ensure all IT projects undertaken by the Navy and Marine Corps are integral parts of rationalized Service portfolios, aligned with DoN IT goals, and conform to the DoN and DoD enterprise architectures. Additionally, DC I ensures accurate IT inventories are maintained and certify annual reviews of all IT systems registered in DoD IT Portfolio Repository-DoN per DoN Information Management/Information Technology (IM/IT) Investment Review Process Guidance and DON Chief Information Officer, Department of Defense Information Technology Portfolio Repository-Department of the Navy Registration Guidance.

## **2.8 JOINT PROJECT MANAGER, CHEMICAL, BIOLOGICAL, RADIOLOGICAL AND NUCLEAR PROTECTION (JPM CBRN P)**

Within Joint Program Executive Office for Chemical and Biological Defense, seven Joint Project Managers (JPMs) lead, manage and direct the acquisition and fielding of chemical and biological detection and reconnaissance systems, individual and collective protection systems, decontamination systems, information management systems, medical devices, drugs and vaccines, installation and force protection systems, and weapons of mass destruction elimination.

The JPM CBRN P provides the DoD and other customers, such as the Department of Homeland Security and Federal Bureau of Investigation, with the protection required to effectively conduct active combat, consequence management, and homeland defense operations in chemical, biological, radiological and nuclear (CBRN) environments. JPM CBRN P develops, fields, and sustains Individual Protective Equipment, Collective Protective Systems and CBRN Hazard Mitigation capabilities for the nation. In



addition, JPM CBRN P is the MDAP CBRN Survivability Trail Boss. The MDAP Trail Boss facilitates the research, development, testing, procurement, operations and sustainment, and delivery of CBRN survivability and force protection systems in support of all programs designated as CBRN mission critical and those requiring CBRN capabilities.

## **2.9 MARINE CORPS INTELLIGENCE ACTIVITY (MCIA)**

MCIA provides intelligence support services to the Marine Corps and other Department of Defense and Services Intelligence Communities by supporting the development of service doctrines, force structures, training and education, and acquisitions. MCIA works in conjunction with MCCDC and MARCORSSYSCOM/PEO LS to ensure that needed threat information is identified and provided to Technologies, Capabilities and Programs throughout a product's life cycle. MCIA provides Intelligence information in the form of Validated Online Lifecycle Threat (VOLT) assessments, which informs portfolio planning, technology development, system design, product improvement and technical refresh, and decisions on obsolescence and disposal. MCIA produces threat briefings regarding mission threats, intelligence threats, counterintelligence, or foreign threats. These support services can be requested through the [MCIA RFI SIPR Portal](#).

## **2.10 INTELLIGENCE LIAISON OFFICER (ILO)**

The ILO was established in 2018 and provides direct support to the Command, Staff and Program Offices with Intelligence support to Acquisition Programs. The ILO can help support the coordination and facilitation on Intelligence Information exchanges with the Intelligence Communities.

## **2.11 MARINE CORPS OPERATIONAL TEST AND EVALUATION ACTIVITY (MCOTEA)**

MCOTEA serves as the independent Operational Test (OT) activity within the Marine Corps. MCOTEA ensures that OT, for those programs requiring it, is effectively planned, conducted, evaluated, and reported. MCOTEA serves as a key member on the Test and Evaluation (T&E) Working Level Integrated Product Team (WIPT) and is critical to developing an integrated approach to DT and OT planning that addresses risk at the appropriate time for the PM.

Test planning begins in the MSA phase. Both developmental (MARCORSYSCOM) and operational (MCOTEA) testers are involved early to ensure that the test program for the most promising system alternative can support the acquisition strategy.

The key aspect of OT&E is that it evaluates a system's effectiveness by using representative users (Marines) in an operationally realistic environment. Other important and mandatory features of OT include:

- Testing production or production-representative articles that will support the full-rate production decision.
- Testing against the threat or threat represented forces, target, and threat countermeasures, validated in coordination with the Defense Intelligence Agency (DIA).
- Operating and maintaining the system or item under conditions simulating combat stress and peacetime conditions with typical users.

## **2.12 MARINE CORPS WARFIGHTING LABORATORY (MCWL)**

MCWL develops and explores warfighting concepts by exploring and measuring Marine Corps service concepts using a combination of war-gaming, concept-based experimentation, technology assessments, and analysis. Experimentation activities contribute to the requirements definition process; aid the reduction of risk; refine the manufacturing process; facilitate the transition of new technologies, reveal unanticipated vulnerabilities; and aid retention of critical defense-related skills in the industrial base.

## **2.13 OFFICE OF NAVAL RESEARCH (ONR)**

The ONR provides technical advice to the CNO and the SECNAV. ONR's mission, defined in law, is to "plan, foster, and encourage scientific research in recognition of its paramount importance as related to the maintenance of future naval power, and the preservation of national security" and to "manage the Navy's basic, applied, and advanced research to foster transition from science and technology to higher levels of research, development, test, and evaluation.

## **2.14 PROGRAM EXECUTIVE OFFICER – LAND SYSTEMS (PEO LS)**

PEO LS is responsible for all aspects of life cycle management for a portfolio of predominantly ACAT I and ACAT II Marine Corps programs. As such, the PEO LS reports directly to ASN (RD&A) for acquisition matters and to CMC through COMMARCORSYSCOM for matters pertaining to in-service support. COMMARCORSYSCOM provides functional support to the PEO as detailed in an operating agreement while duplicating none of the PEO's management functions.

## **2.15 NAVAL INFORMATION WARFARE SYSTEMS COMMAND (NAVWARSYSCOM), PROGRAM EXECUTIVE OFFICE FOR ENTERPRISE INFORMATION SYSTEMS (PEO EIS) DISESTABLISHMENT**

As of May 2020, the Program Executive Office for Enterprise Information Systems has been disestablished. The former PEO EIS programs have been realigned to two new program executive offices, Program Executive Office for Digital and Enterprise Services (PEO Digital) and Program Executive Office for Manpower, Logistics and Business Solutions (MLB).

### **2.15.1 PEO Digital**

The program offices relating to networks, enterprise services and digital infrastructure were transitioned to PEO Digital and Enterprise Services. The PEO Digital portfolio includes the following:

- Naval Enterprise Networks Program Office (PMW 205)
- Special Networks and Intelligence Mission Applications (PMW 260)
- Navy Commercial Cloud Services (PMW 270)
- Enterprise IT Strategic Sourcing (PMW 280)
- Special Access Networks (PMW 290)

### **2.15.2 PEO MLB**

The PEO EIS program offices relating to manpower, logistics and business solutions were transitioned to PEO MLB. The PEO MLB portfolio includes the following:

- Navy Enterprise Business Solutions (PMW 220)
- Logistics Integrated Information Solutions - Marine Corps (PMW 230)
- Sea Warrior Program (PMW 240)
- Enterprise Systems and Services (PMW 250)
- Navy Maritime Maintenance Enterprise Solution - Technical Refresh (PMS 444)

### **2.16 REFERENCES**

- [Force Development Users Guide, 2018](#)
- [USMC Concepts and Programs, 2019](#)
- [NAVWARSYSCOM Digital](#)
- [NAVWARSYSCOM MLB](#)

## **Chapter 3 - ACQUISITION CATEGORIES AND MCSC DECISION AUTHORITIES**

### **3.1 ACQUISITION CATEGORIES (ACATs) AND DECISION AUTHORITIES (DA)**

An acquisition program is a directed, funded effort that provides a new, improved, or continuing materiel, weapon, or information system or service capability in response to an approved need. Program acquisition refers to the process used to define, research, develop, test, manufacture, deliver, and sustain weapons and information technology systems and the full spectrum of mission capabilities over their product life cycle.

Acquisition programs are divided into categories to facilitate decentralized decision-making, execution, and compliance with statutory and regulatory requirements. The categories determine the level of review, appropriate DA, applicable procedures, and MS documentation. DoDI 5000.02 assigns programs as ACATs I, II, or III. SECNAVINST 5000.02F (Table E3T1) defines and provides policy below ACAT III, including ACAT IV, and Abbreviated Acquisition Programs (AAPs).

DoDI 5000.02 defines the MDA as the designated individual with overall responsibility for a program. The MDA has the authority to approve entry of an acquisition program into the next phase of the acquisition process and is accountable for cost, schedule, and performance reporting to higher authority, including Congressional reporting (usually applicable to ACAT I only). SECNAVINST 5000.2F uses the terms “MDA” and “DA” interchangeably throughout the document. The term “DA” will be used in this MAG.

DA is the term used in lieu of MDA for AAPs within MARCORSYSCOM. Since all milestone decisions as defined in the DoDI 5000.02 have been achieved, MDA is considered obsolete and DA identifies who retains decision authority for the remainder of the program life cycle. The term has expanded application at MARCORSYSCOM to also encompass both acquisition programs led by another service where the MDA resides with the Lead Service, and acquisition programs in the Operations and Support (O&S) acquisition life cycle phase.

### **3.2 ACAT**

**Figure 3-1** depicts program ACAT criteria and can assist the PM with a determination of recommended ACAT level. The Deputy Assistant Secretary of the Navy for Management and Budget (DASN(M&B)) shall be notified of all ACAT I-IV and AAP designations for entry into the ASN(RDA) Acquisition Information System Listing (Research Development and Acquisition Information System (RDAIS)). AAP reporting will be yearly and will reflect the Program Objective Memorandum (POM).

#### **3.2.1 ACAT III Programs**

Commander, MARCORSYSCOM (COMMARCORSYSCOM) designates ACAT III programs assigned to MARCORSYSCOM and serves as the DA. Although uncommon, the Commander may delegate ACAT III DA authority.

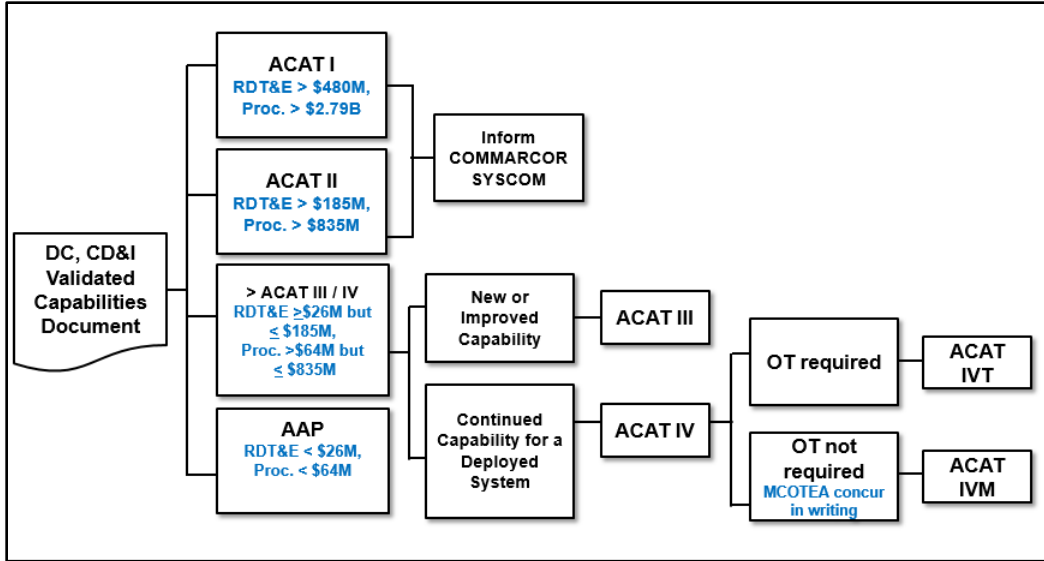


Figure 3-1. ACAT Determination

### 3.2.2 ACAT IV Programs

There are two categories of ACAT IV programs:

- ACAT IVT (Test) - Requires Operational Test and Evaluation (OT&E). This is typically conducted by Marine Corps Operational Test and Evaluation Activity (MCOTEA).
- ACAT IVM (Monitor) - The Director, MCOTEA must concur in writing that OT&E is not required. The program may include Developmental Testing (DT), managed by the PM. The Director, MCOTEA may elect to monitor testing of ACAT IVM.

### 3.3 DECISION AUTHORITY (DA)

Decision authorities are described in *Table 3-1*. COMMARCORSYSCOM maintains DA for ACAT III programs. For ACAT IV and AAPs, COMMARCORSYSCOM has delegated DA to Portfolio Managers (PFMs) and direct reporting Program Managers (PMs). PFMs may further delegate DA for an AAP to a PM, however no further delegation is authorized. Direct reporting PMs are not authorized to further delegate DA for an AAP. The DA for individual programs shall be documented in an ADM from COMMARCORSYSCOM to the designated official.

Chapter 3 – Acquisition Categories and MCSC Decision Authorities

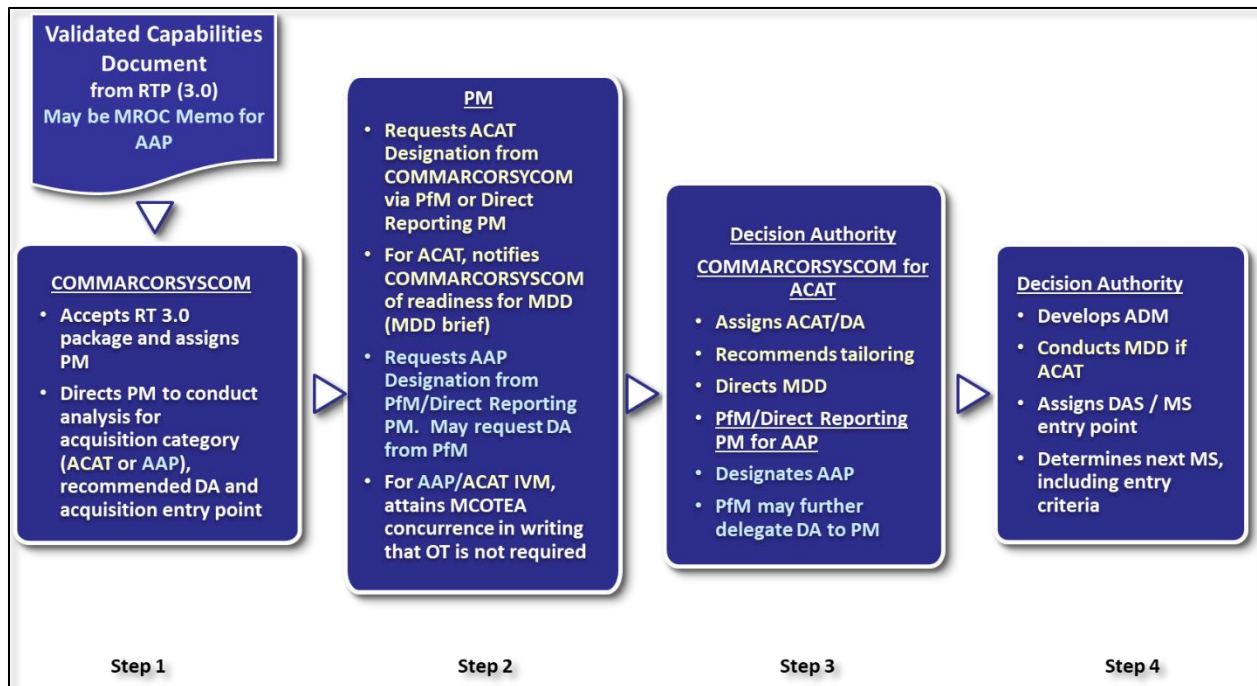
Table 3-1. Description and Decision Authorities for ACAT and AAP Programs

	<u>SECNAVINST 5000.2F</u> <u>2014 Constant Dollars</u>	<u>Decision Authority</u>
<b><u>ACAT I</u></b>		
RDT&E Total Expenditures	> \$480M	ACAT ID: USD (A&S) or as delegated ACAT IC: ASN (RD&A) or as delegated ACAT IB: ASN (RD&A) or as delegated
Procurement Total Expenditures	> \$2.79B	
	DoD acquisition program that Under Secretary of Defense for Acquisition and Sustainment (USD (A&S)) or Assistant Secretary of the Navy for Research, Development and Acquisition (ASN (RD&A)) designates a statutory MDAP as a discretionary act.	
<b><u>ACAT IA</u></b>		
Expenditures per FY	> \$40M	ACAT IAM: USD (A&S) or as delegated ACAT IAC: ASN (RD&A) or as delegated
All expenditures regardless of appropriation through deployment	> \$165M	
All expenditures regardless of appropriation from Material Solution Phase for estimated useful life cycle	> \$520M	
	<u>OR</u> Designated as a MAIS by USD (A&S) or ASN (RD&A) under the DoDI 5000.02 due to Special Interest	
<b><u>ACAT IB and IAC</u></b> ASN (RD&A) may assign Special Interest MDAP (ACAT IB) or Major Automated Information System (MAIS) (ACAT IAC) designations to programs not expected to exceed any MDAP or MAIS dollar threshold		
<b><u>ACAT II</u></b> ASN (RD&A) may assign Special Interest ACAT II designations to weapon system programs not expected to exceed any Major Systems dollar threshold.		
RDT&E Total Expenditures	> \$185M	Individual designated by ASN (RD&A)
Procurement Total Expenditures	> \$835M	
	ASN (RD&A) designation as a Major System	
	Does not apply to AIS programs. AIS programs that do not meet the criteria for ACAT IA shall be designated ACAT III or lower, as appropriate.	
<b><u>ACAT III</u></b> The program will acquire <u>new or improved</u> capability in response to a validated capabilities document.		
RDT&E Total Expenditures	≥ \$26M but ≤ \$185M	Commander MCSC
Procurement Total Expenditures	> \$64M but ≤ \$835M	
<b><u>ACAT IVT</u></b> Requires operational OT&E The program will acquire <u>continuing capability</u> for a deployed system in response to a validated capabilities document		
RDT&E Total Expenditures	≥ \$26M but ≤ \$185M	PfM or DRPM
Procurement Total Expenditures	≥ \$64M but ≤ \$835M	
<b><u>ACAT IVM</u></b> Does NOT require operational T&E as concurred in writing by Dir, MCOTEA The program will acquire <u>continuing capability</u> for a deployed system in response to a validated capabilities document		
RDT&E Total Expenditures	≥ \$26M but ≤ \$185M	PfM or DRPM
Procurement Total Expenditures	≥ \$64M but ≤ \$835M	
<b><u>AAP</u></b> Does not require OT&E		
RDT&E Total Expenditures	< \$26M	PfM or DRPM (MCSCO is in-work that MAY allow the PfM to delegate DA to the PM for AAPs)
Procurement Total Expenditures	< \$64M	
SECNAVINST 5000.2F (Enclosure 1, paragraph 3) provides that increases in thresholds in DoDI 5000.02 are deemed incorporated into SECNAVINST 5000.2F		

### 3.4 PROCESS FOR ASSIGNING ACAT/AAP DESIGNATION AND DECISION AUTHORITY

All DoN acquisition programs will be assigned an ACAT or AAP designation based on the criteria in SECNAVINST 5000.2F, Table E3T1. At MARCORSYSCOM, this process begins upon acceptance of a validated capabilities document as a result of the RTP (RT 3.0). Details on the RTP are contained in [Chapter 4](#).

The process for assigning ACAT/AAP designation and DA is depicted in *Figure 3-2*. An example of decision memos generated as part of this process for potential ACATs is contained in [Enclosure 3-1](#). MCSCO 5000.7, *Abbreviated Acquisition Program Management*, is germane to AAPs in this process.



*Figure 3-2. MARCORSYSCOM Program Initiation Process*

- Step 1 RT 3.0 ends with a COMMARCORSYSCOM ADM that includes acceptance of the RTP document, PM assignment and direction to the PM to conduct an analysis to recommend program designation and DA.
- Step 2
- a. Potential ACATs and AAPs: The PM will conduct an assessment to determine whether the program is an ACAT or AAP designation based on the criteria in SECNAVINST 5000.2F, Table E3T1; and develop an ACAT/AAP designation request ([Template 3-1](#)).
  - b. Potential ACAT program. When the cost estimate for a potential program is consistent with an ACAT IV or above, the PM will prepare a memorandum to COMMARCORSYSCOM via Director, Operations and Programs that will include:
    - COMMARCORSYSCOM ADM accepting the requirement and directing the PM to conduct an analysis to recommend program designation and DA (from Step 1)
    - Requirements document that resulted from RTP 3.0
    - ACAT designation request ([Template 3-1](#)) with recommended program milestones

- MDD brief
- MCOTEA letter with test approach.
- Milestone Assessment Team (MAT) Summary Report, if MAT was used
- Draft Acquisition Program Baseline

An example of this package is included in [Enclosure 3-2](#). The requirement for an ACAT/AAP designation request as part of this package is unique to this version of the MAG.

c. Potential AAP. An MDD package is not required, however, the PM must provide the Decision Authority, the PFM, or direct reporting PM (refer MCSCO 5000.7, *Abbreviated Acquisition Program Management*) with sufficient justification for AAP assignment, including:

- COMMARCORSYSCOM ADM accepting the requirement and directing the PM to conduct an analysis to recommend program designation and DA (from Step 1)
- Requirements document that resulted from RTP 3.0
- AAP designation request ([Template 3-1](#)) with recommended program milestones
- MCOTEA concurrence in writing that OT&E is not required; and
- Director, Financial Management (DFM) checklist ([Template 3-2](#)). DFM must concur with the DFM Checklist.

Step 3 a. ACAT program. COMMARCORSYSCOM will assign ACAT designation and DA via an ADM. The ADM will include direction to conduct an MDD.

b. AAP. PFM or direct reporting PM will assign AAP designation via an ADM. The ADM may allow further delegation of DA from the PFM to PM in accordance with MCSCO 5000.7, *Abbreviated Acquisition Program Management*.

Step 4 a. ACAT program. The DA will conduct an MDD and document the program entry point into the acquisition process and program milestones in an ADM.

b. AAP. The DA will develop an ADM, including program milestones and the minimum program documentation.

### 3.5 DA RESPONSIBILITIES

The DA for delegated programs shall:

- Conduct regularly scheduled reviews to assess compliance with approved Acquisition Program Baseline (APB) metrics as well as statutory and regulatory requirements. These reviews shall directly align with the [MS Assessment Team \(MAT\) process](#).
- Ensure compliance with reporting requirements, to include The Online Program Information Center (TOPIC) and RDAIS, covered in [MARCORSYSCOM Tools & Guidance](#).



### **3.6 ACAT IV/AAP DESIGNATION CHANGE REQUEST**

After receipt of the initial ACAT/AAP designation, the PM will continue to monitor the program to ensure it remains within the corresponding cost threshold. The PM will monitor other factors which may require a change to the initial ACAT/AAP designation. For example, a program initially designated as an ACAT IVM may subsequently require OT&E; and require re-designation as an ACAT IVT; or the program budget may have increased or decreased to coincide with another ACAT. The PM will prepare an ACAT Designation Change Request when an anticipated change in the program's estimated cost meets the criteria for a higher or lower ACAT designation or changes an AAP to an ACAT. The request will identify the reasons supporting re-designation to a higher or lower category. The re-designation decision will be documented in an ADM.

### **3.7 TIPS AND TOOLS**

#### **3.7.1 Tips**

- Both statutory and regulatory documents may be combined within broad enterprise documents (with concurrence of the document's approving official(s)). This saves time and resources by eliminating the need to prepare and staff multiple documents.
- All regulatory documents are candidates for elimination, reduction in size or scope, or combination with other products. However, DAs should be aware that some regulatory policies may require coordination with the cognizant, sometimes external, authority. For example, the DA may not eliminate Operational Testing (OT) for a program without the concurrence of MCOTEA.
- For a listing of ACAT III and below, statutory and regulatory documentation, refer to SECNAVINST 5000.2F, Table E3T2. Additionally, the Assistant Portfolio Manager for Program Management (APfM-PM); Assistant Program Manager for Program Management (APM-PM) or OPS&PROG Programs Division can provide assistance with Command approved documentation.

#### **3.7.2 Tools**

- [ADM - Template 1-1](#)
- [ACAT-AAP Designation Request - Template 3-1](#)
- [DFM Checklist – Template 3-2](#)
- [Milestone Development Decision Acquisition Decision Memorandum – Enclosure 3-1](#)
- [ACAT Designation and Decision Authority Delegation – Enclosure 3-2](#)
- [Example of IOC Declaration – Enclosure 3-3](#)

### **3.8 REFERENCES**

- [Department of Defense Directive 5000.01, The Defense Acquisition System, 20 November 2007](#)
- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, 7 January 2015 with Change 4, 31 August 2018](#)

- [Marine Corps Systems Command Order 5000.4, Modification to Systems, 26 September 2017](#)
- [Marine Corps Systems Command Order 5000.7, Abbreviated Acquisition Program Management, 14 November 2019](#)
- [Secretary of the Navy Instruction 5000.2F, Defense Acquisition System and Joint Capabilities Integration and Development System Implementation, Enclosure 3, 26 March 2019](#)

## Chapter 4 – MARINE CORPS REQUIREMENTS TRANSITION PROCESS

### 4.1 OVERVIEW

The Requirements Transition Process (RTP) between CD&I and MARCORSYSCOM is a formal, centralized method that ensures authorized, clear, concise, testable, and resource-informed requirements are received at MARCORSYSCOM and are ultimately assigned to appropriate material developers. Codified in the [Combat Development Command Bulletin \(CDCBul\) 5400, Requirements Transition Process, 19 April 2019](#) the RTP ensures complete, compliant, and resourced requirements are delivered to the Acquisition Community and helps improve acquisition effectiveness and compliance by ensuring the early involvement of subject matter experts (SMEs) in support of Requirements Authorities (RAs) during requirements development.

### 4.2 REQUIREMENTS TRANSITION TEAM (RTT)

The MARCORSYSCOM RTT supports DC CD&I, and other RAs in the development and transition of requirements into the acquisition process. This team is the Gatekeeper for all requirements coming into MARCORSYSCOM, PEO Land Systems (LS), PEO Digital and Enterprise Services (PEO Digital), and PEO Manpower, Logistics and Business Solutions (PEO MLB). Using the RTP, the RTT ensures that the requirement has been validated; confirms the phase-specific funding strategy; facilitates assignment of execution lead; and provides initial visibility on resource demand. The DC CD&I RTT ensures complete, compliant, and resourced requirements are delivered to the Acquisition Community.

### 4.3 REQUIREMENTS TRANSITION PROCESS

The RTP consists of four distinct phases and collaborative efforts between the requirements and acquisition communities occur within DoN TRACKER. They are:

- **RT 1.0 - Request for Acquisition SME Support (Formal Assignments and MARCORSYSCOM Collaboration)** – Director, Capability Development Directorate (DIR CDD) (the RA) officially requests acquisition SME support. MARCORSYSCOM RTT receives the support request, assesses the scope, and assigns acquisition SME support. The objective is to provide support to the RA in developing an actionable requirements document. RT 1.0 staff action ends when the acquisition lead is identified, SMEs are assigned to support the RA, and an official response is submitted to the RA by the MARCORSYSCOM RTT. RT 1.0 is the PfM/PM’s opportunity to ensure a well- written requirements document is developed.
- **RT 2.0 - Support Requirement Development (Formal Staffing of Draft Requirement Documents)** - The Requirements Developer sends official task(s) requesting review of draft requirement documents. MARCORSYSCOM RTT receives the draft requirement documentation and tasks appropriate responders. The objective of RT 2.0 is to support the Requirements Developer in the development of draft requirements documents via official Marine Corps staffing. RT 2.0 may occur multiple times as required. RT 2.0 ends with submission of a response to the Requirements Developer by the MARCORSYSCOM RTT.
- **RT 2.5 - Requirement Acceptance Review** - The RA sends an official task requesting review of the final draft requirement document. The RTT assembles the appropriate representatives to determine if the requirement is acceptable and recommend formal validation for transition into the acquisition process.

- **RT 3.0 - Transition Requirement (Formal Acceptance and Assignment of the Requirement)** - Transition Requirement (Formal Acceptance and Assignment of the Requirement) - CD&I RTT sends an official task containing the validated requirements package to MARCORSYSCOM. MARCORSYSCOM RTT receives the validated requirement documentation and formally assigns the requirement to the appropriate PM. The objective of RT 3.0 is to facilitate the official assignment of the lead and supporting PMs, and direct preparation for acquisition reviews. RT 3.0 ends with a signed ADM that represents official MARCORSYSCOM acceptance and PM assignment.

#### 4.4 CAPABILITY REQUIREMENTS

Capability requirements can be executed as Urgent Needs or Non-Urgent Needs.

##### 4.4.1 Urgent Needs

When there is an urgent or compelling need to deliver capability to the warfighter as quickly as possible, Commanders of the Marine Forces may submit an Urgent Universal Needs Statements (UUNS) to the RA per [Marine Corps Order \(MCO\) 3900.17, \*The Marine Corps Urgent Needs Process \(UNP\) and the Urgent Universal Needs Statement \(Urgent UNS\)\*](#). The RA will then forward the UUNS to MARCORSYSCOM's RTT via DoN TRACKER. MARCORSYSCOM's RTT will follow the existing RTP to execute all urgent requirements.

The only requirements document which validates an urgent need is the Urgent Statement of Need (USON). MCOTEA is copied on every Deliberate Capability (DC) CD&I UUNS and their concurrence that an operational test is not required is presumed unless they otherwise notify.

##### 4.4.2 Non-Urgent Needs

When a need to deliver capability to the warfighter is recognized, Commanders of the Marine Forces may submit a Deliberate Universal Needs Statements (DUUNS) to the RA via DoN TRACKER. Non-Urgent documents, once validated, may take the form of a JCIDS document or non-JCIDS document. Those documents include:

- ICD
- CDD
- DCR
- Requirements Memorandum (RM)
- Rapid Statement of Need (RSON)
- Middle Tier Capability Document (MTCD)
- For DBS, consult the BCAC Guidebook

##### 4.4.3 Modification to Requirements

For those programs requiring modifications, to include the addition or reduction of capability, modernization, ECPs, etc. the PM will follow this Guidebook and the MCSCO 5000.4, *Modifications to Systems*. The changes may be significant, such as a new capability, or major changes to performance parameters, non-substantive changes such as an AAO change, etc. Regardless of the level of change, if a new or modified requirements document is necessary, the RA and all stakeholders shall follow the RTP. These changes may be conveyed in the form of a validated:

- Letter of Clarification (LOC)

- Capabilities Requirement Change (CRC)
- Letter of Termination (LOT)
- Letter of Suspension (LOS)

CJCSI 5123.01H, *Charter of the JROC and Implementation of the Joint Capabilities Integration and Development System (JCIDS)*, SECNAVINST 5000.2F, CDCBul 5400, *Requirements Transition Process*, and MCO 3900.15B, *Marine Corps Expeditionary Force Development System (EFDS)*, provide detailed information regarding the capability requirements documents and development processes. Some older programs (initiated prior to 2005) may be based on legacy requirements documents (i.e., Required Operational Capability (ROC), Statement of Need (SON), Operational Requirements Document (ORD), Mission Need Statement (MNS)) that do not conform with the current CJCSI 5123.01H. Those documents are still valid.

#### **4.5 APPLICABILITY**

Per CDCBul 5400, the RTP is the only method by which requirement documents – whether urgent or non-urgent – will be formally transitioned and accepted by MARCORSYSCOM. PfMs/direct reporting PMs are not authorized to accept requirements packages and commit resources on behalf of the COMMARCORSYSCOM. If a Pfm/direct reporting PM receives a direct request from an external organization regarding acceptance of a requirements package, the PM should direct the originator to the OPS&PROG Directorate of MARCORSYSCOM so that the requirement can be properly routed for consideration.

#### **4.6 REQUIREMENTS ISSUE RESOLUTION**

The Requirements Transition Officer (RTO) shall follow the issue resolution principles with the intent of resolving issues at the lowest appropriate level. If there is an unresolved question regarding the proper lead for an effort, the RTO may convene a RT Board with representatives from the competencies and affected PMs/stakeholders to determine appropriate leadership.

#### **4.7 MARINE CORPS RAPID CAPABILITIES OFFICE (MCRCO)**

The MCRCO was established to accelerate the identification, development, and assessment of emergent and disruptive technology, and to deliver operational prototypes that increase the survivability and lethality of the Operating Forces. To get a better understanding of how the MCRCO's activities fit into requirements development and investment planning, see CDC Bulletin 5500. When warranted, Rapid Statements of Need (RSONs) result from the work of the MCRCO, and will be processed through the RTP.

#### **4.8 DEFENSE BUSINESS SYSTEM (DBS) PROCESS**

DBSs are information systems that are operated by, or on behalf of, the DoD. They include:

- Financial systems
- Contracting systems
- Logistics systems
- Planning and budgeting systems
- Human resources management systems

These requirements are developed in accordance with [DoDI 5000.75, Business Systems Requirements and Acquisition](#). Documents for DBS requirements, known as Business Capability Requirements Documents (BCRDs), are processed through the RTP.

#### 4.9 TIPS

- Be sure to include all competencies and SMEs (cyber, test, safety, etc.) in the review of requirements.
- Use DoN Tracker to ensure traceability of requirements. E-mails between MARCORSSYSCOM and CD&I are not “official.”
- Ensure Key Performance Parameters (KPPs) contained in the requirements document are testable.

#### 4.10 REFERENCES

- [Chairman Joint Chiefs of Staff Instruction \(CJCSI\) 5123.01H, Charter of the JROC and Implementation of the Joint Capabilities Integration and Development System \(JCIDS\), 31 August 2018](#)
- [Combat Development Command Bulletin \(CDCBul\) 5400, Requirements Transition Process, 19 April 2019](#)
- [Department of Defense Instruction 5000.75, Business Systems Requirements and Acquisition, 2 February 2017](#)
- [Marine Corps Order 3900.15B, Marine Corps Expeditionary Force Development System \(EFDS\), 10 March 2008](#)
- [Marine Corps Order 3900.17, The Marine Corps Urgent Needs Process \(UNP\) and the Urgent Universal Needs Statement \(Urgent UNS\), 17 October 2008](#)
- [Marine Corps Systems Command Order 5000.4, Modification to Systems, 26 September 2017](#)
- [Secretary of the Navy Instruction 5000.2F, Defense Acquisition System and Joint Capabilities Integration and Development System Implementation, 26 March 2019](#)

## **Chapter 5 – MARCORSYSCOM PROGRAM MANAGEMENT**

### **5.1 BACKGROUND**

The function, composition, and general duties of Headquarters, Marine Corps (HQMC) are defined in Title 10, U.S.C., *Subtitle C, Part I, Chapter 506, HQMC*. Most supporting activities report to the CMC or the Assistant CMC; however, MARCORSYSCOM reports directly to the ASN(RDA). Supporting activities include, but are not limited to, Marine Corps Combat Development Command (MCCDC), MARCORSYSCOM, Marine Corps Recruiting Command (MCRC), and MCOTEA.

### **5.2 MARCORSYSCOM CONCEPT OF OPERATIONS (CONOPS)**

The MARCORSYSCOM CONOPS integrates MARCORSYSCOM programs into PFM, direct reporting PMs (reporting directly to COMMARCORSYSCOM) and PMs that directly link to Marine Air-Ground Task Forces (MAGTF) elements: command element (CE), ground combat element (GCE), aviation combat element (ACE), and logistics combat element (LCE). MARCORSYSCOM's organization reflects these elements and the capability portfolios of DC CD&I. This MAGTF alignment includes aligning IT system programs under PFM, Supporting Establishment Systems (SES), per SES's understood role as the MAGTF's fifth element.

### **5.3 PROGRAM MANAGEMENT REVIEWS (PMRs)**

#### **5.3.1 Overview**

COMMARCORSYSCOM conducts PMRs on a semi-annual basis. As a strategic management tool, the PMRs:

- Highlight enterprise level trends that increase visibility into the Command's current condition (i.e. programmatic, resources, etc.).
- Improve overall mission execution.
- Support COMMARCORSYSCOM's duties as both a DA and SYSCOM Commander. (Per statute and regulation, COMMARCORSYSCOM is responsible for all MARCORSYSCOM activities. This includes any authorities COMMARCORSYSCOM has elected to delegate).
- Allow PFM / direct reporting PMs a forum to address key issues, critical risks, and to share good news stories with leadership.

The scope of the PMRs encompasses MARCORSYSCOM programs and efforts as well as the PFM's / direct reporting PM's resources. Instructions and an agenda are developed specifically for each PMR. At a minimum, however, the PFM/direct reporting PM shall brief the status of the portfolio and all active ACAT III, IV programs, AAPs and sustainment programs within the portfolio regardless of DA delegation. Additional programs and information will be specified for each PMR in a tasker released by OPS&PROG via the DoN TRACKER.

PFMs/direct reporting PM may also conduct PMRs with their individual programs.

#### **5.3.2 Schedule**

To better inform key PPBE events, PMRs take place in August and February of each FY or at the COMMARCORSYSCOM's discretion. The August PMRs support the initiation of the current Program Objective Memorandum (POM) cycle and facilitates selection of program initiatives by the Program

Evaluation Boards (PEBs). Input from the February PMRs provides information to the Working Group and PEBs for utilization in their deliberations.

### 5.3.3 Roles and Responsibilities

The PMRs are a forum for COMMARCORSYSCOM and the PFM/direct reporting PM to have a conversation. At a minimum, PFM, PMs, Deputy PMs, and Product Managers (PdM)/Team Leaders from each program office should plan to attend and participate in the PMRs. Invitations are also extended to each Competency Director and the following stakeholders: DC CD&I, Headquarters Marine Corps Programs and Resources (HQMC P&R), HQMC Command, Control, Communications and Computers (C4), (ASN(RDA)), and MCOTEA. *Table 5-1* provides a detailed description of the PMR roles and responsibilities.

**Table 5-1: PMR Roles & Responsibilities**

<b>PMR Roles and Responsibilities</b>
<p><b><u>PfM/direct reporting PM</u></b></p> <ul style="list-style-type: none"> <li>➤ Complete and present PMR briefings to COMMARCORSYSCOM, focusing conversation on key resource and programmatic issues as well as accomplishments. PFM may delegate portfolio briefing to APfM if unavailable. Direct reporting PM may delegate ACAT program briefings to PdMs/Team Leaders.</li> <li>➤ Invite external stakeholders, such as the Capabilities Officer, MCOTEA Testers, etc.</li> <li>➤ Be prepared with recommendations for issue resolutions that COMMARCORSYSCOM, professional staff, or external organizations (i.e. CD&amp;I, HQMC P&amp;R, ASN(RDA), etc.) may assist with.</li> <li>➤ Communicate any PMR process improvements and recommendations to the Director, OPS and PROG.</li> </ul>
<p><b><u>PdM / Team Leaders</u></b></p> <ul style="list-style-type: none"> <li>➤ Be prepared with recommendations for issue resolutions that COMMARCORSYSCOM, professional staff, or external organizations (i.e. CD&amp;I, HQMC P&amp;R, ASN(RDA), etc.) may assist with.</li> </ul>
<p><b><u>APfMs / APMs</u></b></p> <ul style="list-style-type: none"> <li>➤ Assist PFM/direct reporting PMs with completion of PMR briefing.</li> <li>➤ Review PMR briefings for consistency and accuracy; provide recommended changes for consideration.</li> <li>➤ Shall additionally: <ul style="list-style-type: none"> <li>○ Inform PFM / direct reporting PM of PMR schedule and adjudicate any conflicts with the OPS&amp;PROG, Programs Division.</li> <li>○ Ensure PMR briefings are submitted on time.</li> <li>○ Provide COMMARCORSYSCOM read ahead NLT two business days prior to scheduled PMR.</li> </ul> </li> </ul>
<p><b><u>OPS&amp;PROG, Programs Division</u></b></p> <ul style="list-style-type: none"> <li>➤ Provide COMMARCORSYSCOM approved PMR template to APfM / APMs for population.</li> <li>➤ Work with COMMARCORSYSCOM's staff to schedule PMR dates, times, and location.</li> <li>➤ Prepare daily PMR agenda.</li> <li>➤ Prepare invitation to external stakeholder leadership and provide to COMMARCORSYSCOM's staff for dissemination.</li> <li>➤ Develop and/or update PMR template as directed by COMMARCORSYSCOM, Deputy Commanders, or Directors.</li> <li>➤ Assist APfMs / APMs with any questions regarding PMR template, format, attendance, schedule, etc.</li> </ul>



### **5.3.4 After-Action Review (AAR)**

During the PMRs, discussions may take place that either warrant more time than allotted to the PM or has come up within two or more Program Offices. COMMARCORSYSCOM may choose to table such discussions for the PMR AAR. If an AAR is required it typically takes place within two to three to four weeks of the last PMR and is attended by the PFM/direct reporting PM, PMs, DCs, and Directors.

The focus of the AAR is to first better understand the issue and then recommend how to resolve the issue. Actions from the AAR may include additional meetings, Issue or White Papers, letters to stakeholders, etc.

### **5.3.5 Action Items**

During the PMRs, action items may be assigned to an organization. Following the conclusion of the PMRs, the OPS&PROG, Programs Division will provide a draft list of recorded Action Items to the APfM-PMs/APM-PMs for review and concurrence. Once finalized, Action Items will be loaded into the MAP by the DIR OPS&PROG. Owing organizations are responsible for ensuring the statuses of their Action Items are current. Additionally, PMs shall brief the status of their assigned Action Items at each subsequent PMR until the action has been closed out.

## **5.4 TOOLS**

- Program Management Plan (PMP) Template (optional) available on the [MAP](#)

## **5.5 REFERENCES**

- [Marine Corps Systems Command Concept of Operations, Providing MAGTF Equipment to Our Corps, November 2017](#)
- [Title 10, U.S.C., Subtitle C, Part I, Chapter 506, Headquarters, Marine Corps, 7 January 2011](#)

## Chapter 6 – ACQUISITION PLANNING

### 6.1 ACQUISITION STRATEGY

The Acquisition Strategy (AS) ([Template 6-1](#)) describes the PM’s plan to achieve program execution and programmatic goals across the entire program life cycle, summarizes the overall approach to acquiring the capability (to include the program schedule, structure, risks, funding, and the business strategy), and contains sufficient detail to allow senior leadership and the DA to assess whether the strategy makes good business sense, effectively implements laws and policies, and reflects management’s priorities. Once approved by the DA, the Acquisition Strategy provides a basis for more detailed planning. The strategy evolves over time and should continuously reflect the status and desired goals of the program.

### 6.2 ACQUISITION PLAN

The Acquisition Plan documents all cost, schedule, technical, business, management, and other considerations that will govern an acquisition program and is derived from the AS. It summarizes the acquisition planning discussions and identifies program milestones in the acquisition process. NMCARS, Part 5207, *Acquisition Planning*, requires using 1 of 5 streamlined acquisition plan (STRAP) templates listed below in *Table 6-1*.

Table 6-1 Acquisition Plan Templates

<u>NMCARS</u> <u>Annex</u>	<u>Title</u>
17	Program STRAP (PSTRAP) for supplies
18	Individual Contract STRAP (ISTRAP) for supplies
19	Program STRAP that includes services valued over the Simplified Acquisition Threshold (SAT) (PSTRAP-M)
20	Individual Contract STRAP that includes services valued over the SAT (ISTRAP-M)
21	Management and Oversight Process for the Acquisition of Services - Streamlined (MOPAS-S)

Additionally, NMCARS 5207 Table 5207-1, *STRAP/MOPAS-S Requirements and Approval*, included as **Error! Reference source not found.**, provides contract values for which STRAPs are required and STRAP approval authorities. Contract value includes all options.

### 6.3 SINGLE ACQUISITION MANAGEMENT PLAN (SAMP)

MCSCO 5000.6, *Implementation of the Marine Corps Command Single Acquisition Management Plan (SAMP)*, authorizes the use of a SAMP in MARCORSYSCOM at the DA’s discretion. The SAMP provides a streamlined approach for consolidating the AS with other programmatic planning and management documents. The SAMP may be used for ACAT IVM and below acquisition programs. It cannot be used for ACAT IVT programs, acquisition programs under Director, Operational Test and Evaluation oversight, DBS, and ACAT I and II programs. The SAMP may reference, but cannot replace any stand-alone regulatory program documents that may require signature/concurrence external of MARCORSYSCOM, PFM or direct reporting PMs. While the SAMP cannot replace a Test and Evaluation Master Plan (TEMP) for ACAT IVT programs that requires MCOTE A approval, it can include the test strategy for ACAT IVM programs. The SAMP template ([Template 6-2](#)) may be tailored by the DA.

Table 6-2 STRAP/MOPAS-S Requirements and Approvals

Acquisition Type	>SAT < \$10M	\$10M ≤ \$25M	\$25M < \$50M	\$50M < \$250M <	≥ \$250M	Reference
Development		*ISTRAP-M or PSTRAP-M	*ISTRAP-M or PSTRAP-M	*ISTRAP-M or PSTRAP-M	#ISTRAP-M or PSTRAP-M	DFARS 207.103(d)(i)(A)
Production >\$50M/program or >\$25M/FY			*ISTRAP or PSTRAP	*ISTRAP or PSTRAP	#ISTRAP or PSTRAP	DFARS 207.103(d)(i)(B)
Production >\$50M/program or >\$25M/FY with Services over the SAT			*ISTRAP-M or PSTRAP-M	*ISTRAP-M or PSTRAP-M	#ISTRAP-M or PSTRAP-M	DFARS 207.103(d)(i)(B)
Services >\$50M/program or >\$25M/FY			*ISTRAP-M or PSTRAP-M	*ISTRAP-M or PSTRAP-M	^ISTRAP-M or PSTRAP-M	DFARS 207.103(d)(i)(B)
Services	*MOPAS-S	*MOPAS-S	*MOPAS-S	*ISTRAP-M or PSTRAP-M	^ISTRAP-M or PSTRAP-M	NMCARS 5237.503
Services IAW NMCARS 5237.170-2(b)	*MOPAS-S	*MOPAS-S	*MOPAS-S	^ISTRAP-M or PSTRAP-M	^ISTRAP-M or PSTRAP-M	NMCARS 5237.170-2(b)(2)

**Approving Authority Legend:**

\* = HCA/PEO/DRPM

^ = Navy Senior Services Manager

# = DASN(AP)

**6.4 CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS)**

The FAR requires that contractor past performance information is entered into the Contractor Performance Assessment Reporting System (CPARS), the Government wide evaluation reporting tool for all past performance reports on contracts and orders. *Guidance for the Contractor Performance Assessment* identifies contract thresholds, role and responsibilities, and procedures for CPAR. It is maintained electronically on the [CPARS web site](#). CPARS ratings are extremely important to Contractors because past performance is often an evaluation factor in competitive acquisitions.

MCSC0 4335.1A, Implementation of the Contractor Performance Assessment Reporting System, provides direction on CPARS role and responsibilities at MARCORSYSCOM. In accordance with MCSC0 4335.1A, PfM and direct reporting PMs are the Reviewing Officials, and therefore, the ultimate decision authorities on CPARS ratings. This cannot be further delegated.

**6.5 PROCUREMENT MANAGEMENT TOOL (PMT)**

MARCORSYSCOM has adopted the Naval Air Systems Command's Acquisition Management System (AMS). The [Procurement Management Tool \(PMT\)](#), a module within AMS, is the only authorized tool for initiation, management and tracking of procurements at MARCORSYSCOM and affiliated PEOs. Regardless of dollar value, all procurement actions (except military standard requisitions and purchase card transactions) shall have a Procurement Initiation Document (PID) and shall be entered into PMT.

Details are contained in MCSCO 4200.2D, *The Procurement Initiation Document Process*. OPS&PROG sponsors a two-day PMT training class. Class offerings can be found on the VIPER Learning Center.

## 6.6 TIPS AND TOOLS

### 6.6.1 Tips

- [“Please Tailor your Acquisition Strategy”](#) by Brian Schultz

### 6.6.2 Tools

- Acquisition Strategy – [Template 6-1](#)
- Simplified Acquisition Management Plan – [Template 6-2](#)
- [Procurement Management Tool \(PMT\)](#)
- [VIPER Learning Center](#)

## 6.7 REFERENCES

- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, 7 January 2015 with Change 4, 31 August 2018](#)
- [Federal Acquisition Regulation Part 15, “Contracting by Negotiation,” Subpart 15.304, “Source Selection, Evaluation Factors and Significant Subfactors,” current edition](#)
- [Federal Acquisition Regulation, Part 42, “Contract Administration and Audit Services,” Subpart 42.15, “Contractor Performance Information,” current edition](#)
- [Guidance for the Contractor Performance Assessment Reporting System \(CPARS\), August 2017](#)
- [Marine Corps Systems Command Order 4200.2D, The Procurement Initiation Document Process, dated, 12 July 2017](#)
- [Marine Corps Systems Command Order 4335.1A, Implementation of the Contractor Performance Assessment Reporting System, 16 April 2018](#)
- [Marine Corps Systems Command Order 5000.6, Implementation of the Marine Corps Command Single Acquisition Management Plan \(SAMP\), 11 October 2018](#)
- [Navy Marine Corps Acquisition Supplement \(NMCARS\), 14 June 2019](#)

## Chapter 7 – PROGRAM SCHEDULING

### 7.1 INTEGRATED MASTER SCHEDULE / INTEGRATED MASTER PLAN APPLICABILITY

Planning and scheduling are fundamental program management functions that all acquisition professionals need to understand. OPS&PROG is responsible for oversight and development of these functions at MARCORSYSCOM and providing this support to the acquisition professionals in our affiliated PEOs. An Integrated Master Plan (IMP) and Integrated Master Schedule (IMS) are project management tools that enhance the management and execution of acquisition programs. All MARCORSYSCOM programs, in the DoDI 5000.02 DAS (pre-MDD through FRP Decision) should prepare, use, and regularly update an IMP and IMS. After the FRP Decision, other scheduling tools and techniques may be more appropriate to use when managing program execution.

The Integrated Program Management Team (IPMT), under the OPS&PROG Cost and Analysis Division, is developing IMS Guidebooks for each Pfm/ direct reporting PM which will provide amplifying information. Projects that are required to use Earned Value Management (EVM) are required to have a Contract IMS (C-IMS) as a recurring monthly deliverable. A C-IMS is usually recommended even when full EVM reporting is not required.

For those programs where the COMMARCORSYSCOM is the DA, and the program has not completed its final formal MS, the PM shall bring a soft copy of the IMS with a critical path view and be prepared to provide a critical path summary at each decision meeting and program review.

### 7.2 INTEGRATED MASTER SCHEDULE (IMS)

A schedule is any time-based plan of actionable and measurable events. The IMS is defined as a project management tool containing the networked, detailed tasks necessary to ensure successful project/contract execution. An IMS flows directly from the IMP, is linked to the [Work Breakdown Structure \(WBS\)](#) and is used to manage the day-to-day execution of the project. There are two IMSs that PMs should use to manage schedules, the C-IMS (or Format 6 of the Integrated Program Management Report Data Item Description and the Integrated Government Schedule (IGS)). The C-IMS and IGS are separate schedules but interrelated as explained below.

#### 7.2.1 Contractor IMS (C-IMS)

Contractors are required to provide the PM with a C-IMS for any project (contract) that meets EVM reporting thresholds, as specified in Figure 1 of the [DoD Earned Value Management Implementation Guide dated January 18, 2019](#). For projects that do not meet the EVM reporting thresholds, a C-IMS is recommended as a contract deliverable (usually monthly) for development, major modification, and LRIP efforts. Tailoring of associated Earned Value and C-IMS Contract Data Requirement List (CDRLs) (which will reference the IPMR DID) should be coordinated with your respective DA and the IPMT.

The C-IMS is traceable to the IMP, WBS, Organizational Breakdown Structure (OBS) and Statement of Work (SOW). The C-IMS is used to verify attainability of contract objectives, to evaluate progress toward meeting project objectives, and to integrate the project schedule activities with all related components. Both the C-IMS and the IGS should contain the MS, accomplishments, and discrete tasks/activities from pre-MDD efforts through FRP Decision and should answer the five W's:

- Who in the organization is doing the work?
- What work is being performed?
- When is the work starting and finishing?
- Where is the work being done?
- Why is the work being done?

In addition to the five W's, when properly constructed (networked) the IMS describes how the work is being executed. The key thing to realize is that scheduling SW determines the “when” based on how work is sequenced (logical relationships) and the expected duration of the tasks. [Technical risks](#) should be quantified, and implications reflected in the project's IMP and IMS.

### **7.2.2 Government IMS (IGS)**

PMs are recommended to establish and use an internal Government IMS that the PMO and staff elements will use to manage their programs and projects. The IGS is developed by logically networking all detailed program activities. The IGS should contain all the Government's efforts (scope) necessary to meet program MS and may contain touch points to the C-IMS, as required.

## **7.3 CRITICAL PATH**

If the provisions of the IPMR DID are followed, then the C-IMS can also be used to accurately calculate the float for each task and ultimately the critical path. Any IGSs created by the Government team should also follow applicable sections of the IPMR DID. This is to ensure that the IGS will provide accurate projections of key program dates. IPMT Schedule Analysts are trained to work with PMOs and contractors to ensure that C-IMSs comply with the IPMR DID and provide meaningful and accurate information. The following concepts are provided to assist the PM in developing realistic IMSs.

- Float: The amount of time a task can be delayed without impacting other tasks; it is calculated by scheduling SW.
- Total Float: The amount of time that a task can be delayed before the end of the project is delayed; it is calculated by scheduling SW.

## **7.4 IMS BUILDING BLOCKS**

The common building blocks of constructing an IMS, along with responsibilities and the process for creating an IGS are shown and described below. The process for creating a C-IMS will vary by contractor but the major steps and inputs shown in *Figure 7-1* are common to most processes.

### **7.4.1 Determine Project Objectives**

The objectives for a C-IMS are primarily derived from the SOW provided by MARCORSYSCOM. In contrast, the objectives for an IGS are typically derived from regulations and policies (DoDI 5000.02, SECNAVINST 5000.2F), requirements document and other internal and external stakeholder requirements; for example, the POM process, PMRs, MS Decision Reviews, etc.

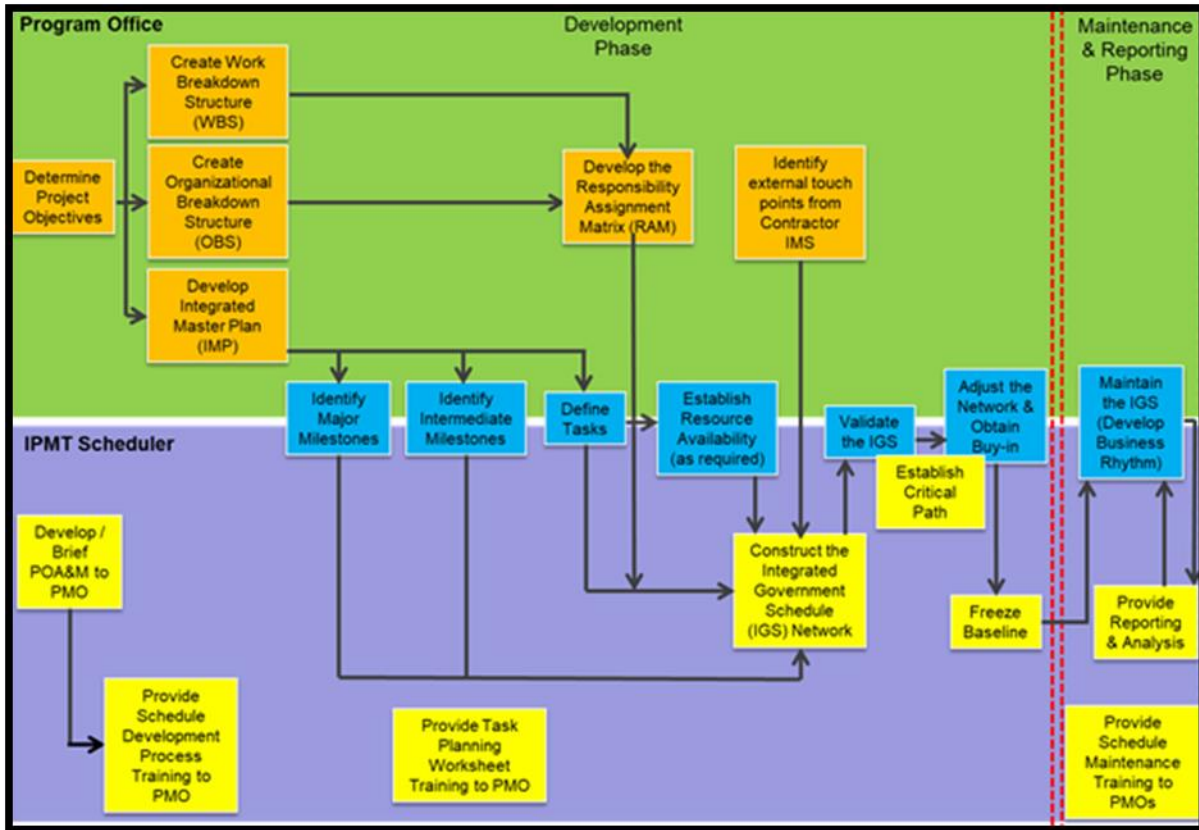


Figure 7-1 IGS Development Process and Responsibilities

## 7.5 WORK BREAKDOWN STRUCTURE (WBS)

The WBS is a hierarchal grouping of the project’s discrete work elements into a product-oriented structure used to organize and define the total work scope. There are two interrelated WBSs, the Program WBS and Contract WBS per MIL-STD-881D, Work Breakdown Structures for Defense Materiel Items.

### 7.5.1 Program WBS

Developed by the PM, provides a framework for specifying program objectives in a hierarchical decomposition of phases, deliverables and work packages.

### 7.5.2 Contract WBS

Developed by the contractor, is the Government approved WBS for project reporting purposes and includes all project elements, which are the contractor’s responsibility, in accordance with SOW.

### 7.5.3 Organizational Breakdown Structure (OBS)

The OBS is a diagram which represents the various levels of responsibility within a project. PMs should use their respective Organizational Chart along with any support staff, or locations. Contractors should use the assembled team to execute the contract displayed at a sufficient level of detail so that a responsible person can be determined for each task in the IMS.

### 7.5.4 Integrated Master Plan (IMP)

The IMP is an event-based, top-level plan consisting of a hierarchy of program events. Each event is supported by specific accomplishments and each accomplishment is associated with specific criteria for its completion. The IMP is ultimately used to develop a time-based IMS that shows a networked schedule depicting all the detailed tasks required to accomplish the work effort contained in the IMP as shown in Figure 7-2.

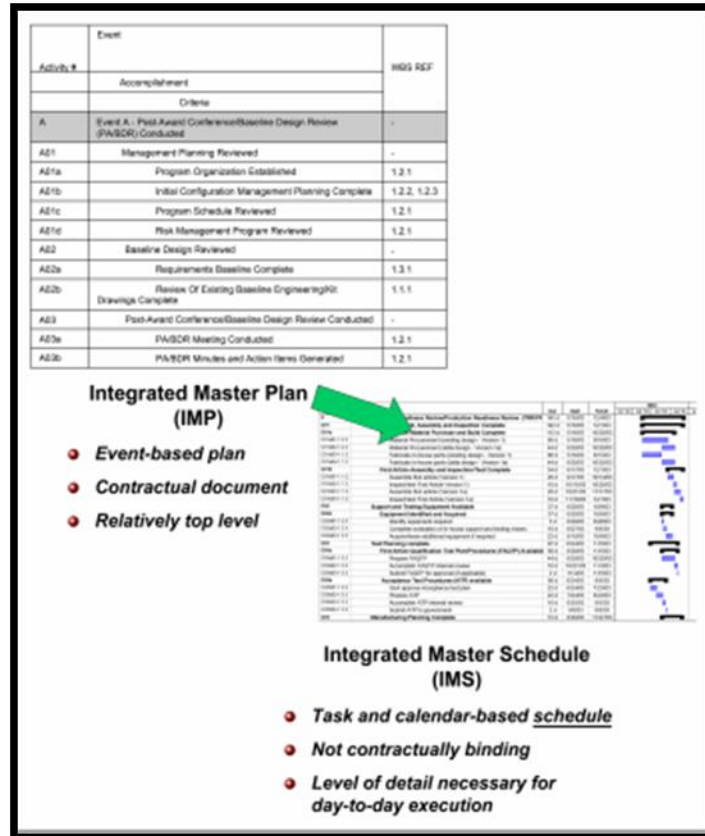


Figure 7-2. IMP & IMS Relationship

### 7.5.5 Integrated Master Schedule (IMS)

A schedule is any time-based plan of actionable and measurable events. The IMS is defined as a project management tool containing the networked, detailed tasks necessary to ensure successful project/contract execution. An IMS flows directly from the IMP, is linked to the WBS, and is used to manage the day-to-day execution of the project. There are two IMSs that PMs should use to manage schedules, the C-IMS (or Format 6 of the Integrated Program Management Report Data Item Description (IPMR DID) ([DI-MGMT-81861](#))) and the IGS. The C-IMS and IGS are separate schedules but interrelated as explained below. More information can be found in the DoD Standard Practice WBS for Defense Materiel Items directive.

### 7.6 INTEGRATED PROGRAM MANAGEMENT TEAM (IPMT)

The IPMT is part of the Cost and Analysis Branch, which falls under the DIR OPS&PROG. It is composed of a combination of Program Analysts/Master Schedulers (0343s) and Operations Research Systems Analysts (1515s) who are trained in Schedule Analysis, Earned Value Analysis and/or Scheduling. One of the roles of the IPMT is to support PMs and IPTs to improve the schedule



management and contractor oversight of their programs/projects. This is done in a variety of ways to include assistance with IPMR CDRL development, evaluation of C-IMSs for source selection efforts, monthly C-IMS analysis, IGS development support, and training in any of the areas covered in this section.

## **7.7 TRAINING OPPORTUNITIES**

MARCORSYSCOM periodically offers on-site training courses to provide the foundational knowledge to interpret and understand the network schedules that are required by DoD policy.

Acquisition professionals will become familiar with basic scheduling concepts, and how they can use Integrated Master Schedules to effectively manage their projects. Individuals interested in attending IMS 101 - Fundamentals of Scheduling can do so by accessing the MARCORSYSCOM Learning Center via VIPER.

## **7.8 REFERENCES**

- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, 7 January 2015 with Change 4, 31 August 2018](#)
- [MIL-STD-881D, Work Breakdown Structures for Defense Materiel Items, 9 April 2018](#)

## **Chapter 8 – ACQUISITION PROGRAM BASELINE**

### **8.1 OVERVIEW**

The Acquisition Program Baseline (APB) is a contract between the PM and the acquisition chain of command to the DA documenting the cost, schedule and performance (C/S/P) parameters to which the PM will manage the program. An approved APB is required prior to all MS decisions for all ACAT programs beginning at program initiation (typically MS B or MS C) and through FOC. A draft APB ([Template 8-1](#)) is required prior to release of a development request for proposal. The APB shall be reviewed for relevance at each DA program review or decision point.

The APB requires three signatures. The PM prepares the content and proposes the APB to the applicable requirements organization for their signature. This is usually MCCDC/CD&I Division. After concurrence is obtained from MCCDC, the DA approves the APB.

SECNAVINST 5000.2F, Enclosure (3), paragraph 9 assigns responsibility to SYSCOM Commanders for developing policy for AAPs. The SECNAVINST does not require APBs for AAPs. A draft MCSCO is in-work that will provide policy on program documentation required for AAPs, including the APB.

### **8.2 OBJECTIVE AND THRESHOLD VALUES**

Each C/S/P goal must have an associated objective and threshold value.

- Threshold values are the minimum acceptable standard which meets the user's needs.
- The objective value is that value desired by the user for which the PM is contracting or otherwise attempting to obtain. The objective value could represent an operationally meaningful, time critical, and cost-effective increment above the threshold for each program parameter. If no objective is otherwise indicated, the threshold value will serve as the objective value, and vice-versa.

### **8.3 PERFORMANCE PARAMETERS**

At a minimum, the KPPs contained within the requirements document will be included in the APB. For each performance parameter, if no objective is specified, the threshold value will serve as the objective value, and vice-versa.

### **8.4 SCHEDULE PARAMETERS**

Events depicted in the Section B (Schedule) portion of the APB should reflect the major MS events or other Decision Points scheduled for the program through the acquisition process. At a minimum, the APB shall include program MS:

- MS (B, C, LRIP, FRP)
- IOC
- FOC

If no threshold value is specified in the requirements document for IOC or FOC, the default threshold value is the objective value schedule date plus six months. However, the PM may propose an alternative default threshold value to optimize program trade space, subject to DA approval.

Program achievement of events depicted in Section B (Schedule) portion of the APB require documentation supporting and demonstrating their completion. For MS decisions and acquisition decision points, an ADM is issued by the DA communicating the approval/disapproval of the MS decision being sought. It is important to remember that any schedule event included in the APB will require some form of documentation from the DA, or Technical Authority (if Testing and/or Technical Review Events are included) to prove completion of the event. IOC and FOC declarations should be concurred by MCCDC to the PM to indicate that the defined IOC/FOC objectives have been met.

## **8.5 COST PARAMETERS**

Cost parameters are based on the program's life cycle cost estimate. The APB contains cost parameters (objectives and thresholds) for program life cycle costs and total ownership cost. This includes total quantity, Research, Development, Test and Evaluation (RDT&E), Military Construction (MILCON), Procurement, Marine Corps (PMC), O&M and:

- Average Procurement Unit Cost (APUC) – total procurement cost divided by total procurement quantity. (Does not typically apply to IT programs).
- Program Acquisition Unit Cost (PAUC) – total of all acquisition-related appropriations divided by the total quantity of fully configured end items. (Does not typically apply to IT programs).

The objective cost parameters are shown in both base year (BY) and then year (TY) dollars. The threshold parameters for cost are shown in BY dollars. The BY is the year of program initiation (typically MS B or C).

## **8.6 REVISIONS**

The APB is revised at MS decisions, and at the FRP decision (Full Deployment decision for IT programs). Revising the APB at these events enables the PM to update cost and schedule parameters based on the additional knowledge acquired during each phase.

Other than the above events, APBs may be revised only because of:

- A major program restructure which is fully funded and approved by the DA.
- A program deviation (breach).

A record of all revisions will be shown on the APB to provide the DA with a historical record of all revisions and the corresponding change in C/S/P values. The determination of whether to revise the APB rests with the DA.

## **8.7 DEVIATIONS (ALSO CALLED “BREACHES”)**

A program deviation occurs as soon as the PM has reason to believe that the current estimate of an approved APB C/S/P parameter will breach the threshold value. Deviations are specified default thresholds for schedule and cost of: (1) Objective schedule value plus 6 months; (2) Objective cost value plus ten percent. Deviations also include (3) A current estimate of performance parameters that breaches the threshold value in the APB.

In case of an anticipated breach following the guidance below:

- The PM shall immediately notify the DA. For programs for which COMMARCORSSYSCOM is the DA (usually ACAT III and above), the PM should immediately notify the DA via Dir, OPS&PROG. All notifications shall include an initial root cause analysis and corrective actions conducted by the PM ([Template 8-2](#)). The DA may approve the recommended strategy and timelines therein. Alternatively, the PM may submit a robust root cause and corrective action analysis, or the DA may require the PM to conduct further root cause and corrective action analysis with or without the support of the Deviation Review Board (DRB) within 30 days from the initial deviation notification.
- The PM shall prepare a Program Deviation Report (PDR) ([Template 8-3](#)) within 30 days from the initial deviation notification if the initial notification did not provide adequate root cause or corrective action analysis to facilitate a DA decision. The PM may be assisted with PDR development by advisors or a formal DRB.
- Within 90 days of the deviation, the program will be back within APB program parameters or the PM shall submit a revised APB for DA approval. The APB updates shall be limited to only the breached parameter and those parameters directly affected by the breached parameter.

The DA will consider the recommendations and determine the program path forward which may include: (1) Program cancellation; (2) Program restructure (substantive change to schedule, quantity, affordability targets, or performance parameters), (3) Modified status quo (non-substantive change to program). The DA will decide, after considering the recommendation resulting from the PM or DRB, whether it is appropriate to approve a revision to the APB.

### 8.8 PM ADVISORS (INCLUDING THE DEVIATION REVIEW BOARD (DRB))

The PM will list the recommended participants by name and organization (**Table 8-1**). For a DRB, the PM may propose that he/she leads the analysis with the support of advisors including MARCORSSYSCOM Principal Staff, Combat Development and Integration (CD&I), and key stakeholders. The DA may determine the chairperson or other members other than those listed below.

**Table 8-1. Deviation Review Board**

Deviation Review Board <u>OR</u> PM Advisors		
Organization	Name	Title
Chair Person (Mandatory, may be the PM)		
PM (Mandatory)		
CD&I (Mandatory)		
Principal Staff (Mandatory)		
OPS&PROG (Mandatory)		
Program Sponsor (Mandatory)		
MCOTEA		
Key Stakeholders		
Other members as directed by the DA or PM		

## 8.9 TIPS AND TOOLS

### 8.9.1 Tips

- An APB revision is not intended to be a management tool for the program. The PM should strive to maintain the APB C/S/P objectives unless a deviation is justified by program events that could not have been avoided.
- Changes to Required Timeframe – The 30-day timeframe for submission of the program deviation report and 90-day limit for submission of revised APB are regulatory requirements per DoDI 5000.02. However, the PM may request that the DA modify either or both timeframes, by including the proposed target date(s) and supporting rationale in the initial DA notification.

### 8.9.2 Tools

The following templates are provided on the MAP:

- APB – [Template 8-1](#)
- Notification of Program Deviation – [Template 8-2](#)
- Program Deviation Report – [Template 8-3](#)

## 8.10 REFERENCES

- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, 7 January 2015 with Change 4, Paragraph 4a, 31 August 2018](#)
- [Secretary of the Navy Instruction 5000.2F, Defense Acquisition System and Joint Capabilities Integration and Development System Implementation, 26 March 2019](#)

## Chapter 9 – PATHWAY SELECTION

### 9.1 PATHWAY SELECTION GUIDANCE

PMs will develop an acquisition strategy for MDA approval that aligns with the acquisition pathway processes, reviews, documents, and metrics to the character and risk of the capability being acquired. Additional pathway selection guidance is available on the [DAU website](#) for the AAF.

#### 9.1.1 Urgent Capabilities

The purpose of the Urgent Capability Acquisition (UCA) pathway is to field capabilities to fulfill urgent existing and/or emerging operational needs or quick reactions in less than 2 years.

#### 9.1.2 Middle Tier

To rapidly develop fieldable prototypes within an acquisition program to demonstrate new capabilities and/or rapidly field production quantities of systems with proven technologies that require minimal development.

#### 9.1.3 Major Capabilities

To acquire and modernize military unique programs that provide enduring capability.

#### 9.1.4 Software

To facilitate rapid and iterative delivery of software capability (e.g., software-intensive systems and/or software-intensive components or sub-systems) to the user.

#### 9.1.5 Business Systems

To acquire information systems that support DoD business operations. This pathway: Applies to defense business capabilities and their supporting business systems, including those with “as-a-service” solutions to include: Financial and financial data feeder; Contracting; Logistics; Planning and budgeting; Installations management; Human resources management; Training and readiness systems; and may also be used to acquire non-developmental, software intensive programs that are not business systems.

#### 9.1.6 Services

To acquire services from the private sector including knowledge-based, construction, electronics and communications, equipment, facilities, product support, logistics, medical, research and development, and transportation services.

### 9.2 COMBINING, TAILORING, TRANSITIONING PATHWAYS

PMs will develop an acquisition strategy for MDA approval that matches the acquisition pathway processes, reviews, documents, and metrics to the character and risk of the capability being acquired. With the approval of the MDA, PMs may leverage a combination of acquisition pathways to provide value not otherwise available through use of a single pathway. The use of multiple pathways does not affect the application of statutory thresholds otherwise applicable to the program as a whole. PMs employing multiple pathways will:

1. Define the transition points from one pathway to another pathway.
2. Anticipate, develop, and coordinate the information requirements required at the new pathway entry point.

3. “Tailor in” the regulatory information requirements that will be used to describe the management of the program. In this context, “tailoring-in” means that the PM will identify, and recommend for MDA/DA approval, the regulatory information that will be employed to document program plans and how that information will be formatted and provided for review by the decision authority.

Additional “tailoring in” guidance can be found on the [DAU Tailoring page](#).

### 9.3 FUNCTIONAL AREAS

In addition to the six (6) acquisition pathways laid out in [DoDI 5000.02: Operation of the Adaptive Acquisition Framework](#), a series of supporting Functional Area DoDI policies have been created, updated, or are in the process of being developed that may cut across any of the 6 pathways. DAU identifies twelve (12) functional areas in particular. DoDIs include: (Areas with no number do not yet have a published DoDI)

Engineering	Mission Engineering	Technology and Program Protection <b>5000.83</b>	Rapid Fulfillment of UONs <b>5000.71</b>
Test and Evaluation	Cost Analysis Guidance and Procedures <b>5000.73</b>	Acquisition of Information Technology <b>5000.82</b>	Human Systems Integration
Cybersecurity	Intellectual Property <b>5010.44</b>	Acquisition Intelligence	Analysis of Alternatives <b>5000.84</b>

While not separate pathways, relevant functional areas should be considered while making or tailoring pathway selection and appropriate DoD and Navy policy must be followed.

### 9.4 TOOLS

- [DAU Pathway Selection Tool](#)

### 9.5 REFERENCES

- [DAU Adaptive Acquisition Framework Portal](#)

# Chapter 10 – URGENT CAPABILITY ACQUISITION

## 10.1 PATHWAY CHARACTERISTICS



Figure 10-1 Urgent Capability Acquisition

Urgent Operational Needs (UONs) and other quick reaction capabilities are identified and approved for resolution by designated authorities. The estimated cost of any single solution must not exceed \$525 million in research, development, and test and evaluation; or \$3.065 billion procurement in Fiscal Year 2020 constant dollars. The acquisition; product support and sustainment processes; reviews; and documents are aggressively streamlined due to operational urgency. The goal is to plan for the capability in a few weeks, with development and production measured in months. The imperative is to quickly deliver useful capability to the warfighter in a timely fashion.

## 10.2 TYPES OF UONS

UONs – Capability requirements identified as impacting an ongoing or anticipated contingency operation. If left unfulfilled, UONs result in capability gaps potentially resulting in loss of life or critical mission failure. When validated by a single DoD component, these are known as DoD component UONs. DoD components, in their own terminology, may use a different name for a UON.

Joint Emergent Operational Need (JEON) – UONs that are identified by a CCMD, CJCS, or VCJCS as inherently joint and impacting an anticipated contingency operation.

Joint Urgent Operational Need (JUON) – UONs that are identified by a CCMD, CJCS, or VCJCS as inherently joint and impacting an ongoing contingency operation.



### 10.3 ACQUISITION PHASE & MILESTONES

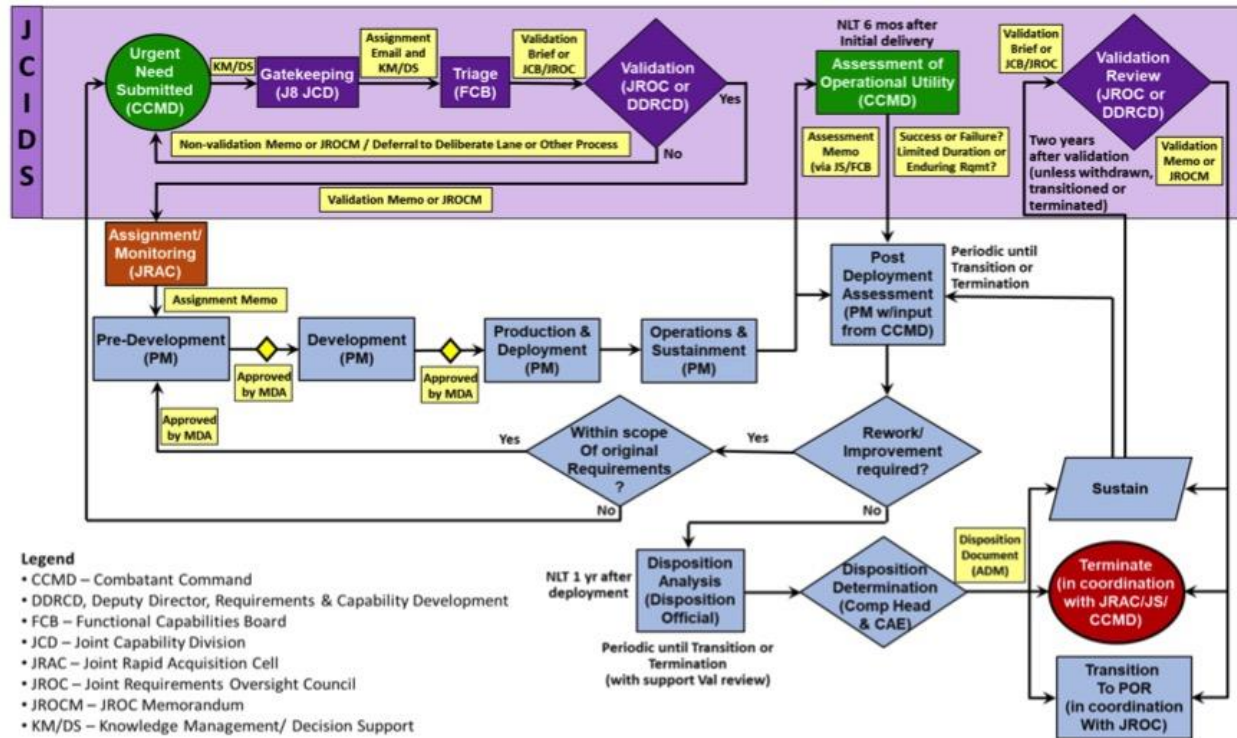


Figure 10-2. Flow of JUONs and JEONs

#### 10.3.1 Pre-Development

Assess and select a course or courses of action (COA or COAs) to field a quick reaction capability and to develop an acquisition approach.

PM, in collaboration with user and requirements validation authority:

- Assesses the required capability and non-materiel options
- Determines performance thresholds; ensures they are testable
- Performs an analysis of potential courses of action, if not already performed, that considers:
  - The range of feasible capabilities, near, mid, and long term, to include consideration of an existing domestic or foreign-made capability.
  - The acquisition risk (cost, schedule, and performance) and the operational risk of each solution.
  - The operational risk to the requesting commander if an effective solution is not deployed in the time specified by the commander.
- Assesses and documents safety and supportability risks.
- Presents recommended COA to MDA and requirement validation authority

PM develops draft acquisition strategy (must include planning for O&S) and APB for each COA. A streamlined, highly-tailored strategy consistent with the urgency of the need will be employed.

Regulatory requirements will be tailored or waived, as appropriate.

The tailored acquisition strategy should be brief and contain only essential information, such as resourcing needs and sources; key deliverables; performance parameters; key risks and mitigation

approaches; a production schedule; a fielding schedule; contracting methodology and key terms; and preliminary plans for performance assessment of the capability and its supportability, to include software.

### **10.3.2 Development**

Entry into development is approved by the MDA.

The PM provides: Acquisition Strategy and APB to include program requirements, schedule, activities, program funding, the assessment approach and intermediate decision points and criteria.

The MDA will:

- Determine feasibility of fielding capability within required timelines to include consideration of the technical maturity of the preferred solution(s). If the MDA determines that the fielding of the capability cannot be accomplished in the required timelines, then the MDA may direct partial or interim solutions that can be fielded more rapidly, or may direct that the program will be managed under a different authority.
- Approve Acquisition Strategy and APB.
- Approve initial quantities to be produced and assessed, to include required assessment and training articles.
- Decide if RAA should be requested from SECDEF or DEPSECDEF to expedite the fielding.
- Approve the planned testing approach. A normal test and evaluation master plan (TEMP) is generally not necessary.
- TEMPs are usually not appropriate for efforts using urgent capability acquisition procedures when there is minimal development work and minimal development work and minimal test and evaluation to execute. Some test planning is usually required, however, in collaboration with the supporting developmental or operational test organization. The MDA may require a highly-tailored and abbreviated test plan. The abbreviated test plan will describe a performance assessment approach that will include schedule, test types and environment, and assets required.
- A TEMP is also not normally required if the urgent capability acquisition effort is under DOT&E oversight. The PM, in collaboration with the supporting operational test organization, should prepare operational and live fire test plans for DOT&E approval, however. An operational test plan for the required pre-deployment performance assessment is generally adequate.
- Approve any waivers to statute or regulation.
- Authorize release of RFPs.
- Document decisions in an ADM.

### **10.3.3 Production & Deployment**

The PM will:

- Summarizes results of development activities, pre-deployment performance, and the program assessment
- Presents plan to transport, deploy, and sustain the capability, and to conduct post-deployment assessments, and to train maintenance and operating personnel

MDA, in consultation with the supporting DT and OT and/or live fire test organization, with concurrence of DOT&E for programs under DOT&E oversight, determines:

- Whether the capability has been adequately reviewed, performs satisfactorily, is supportable, and is ready for production and deployment.
- When assessments of fielded capabilities are required.
- Whether to produce and, in coordination with the requester/user, field the system capability.

- Approves the updated acquisition strategy (which will include the sustainment plan and program baseline).
- Documents the production decision in an ADM.

#### **10.3.4 Operations & Support**

PM executes a supportability strategy that meets materiel readiness and operational support performance requirements, is safe, and sustains the capability in the most cost-effective manner.

Capability is operated and supported consistent with MDA approved sustainment plan.

PM or user may propose urgently needed improvements – may be acquired using rapid acquisition procedures.

Post-deployment assessment conducted.

Post-deployment assessment approaches for all programs under DOT&E oversight will be independently reviewed and approved by DOT&E.

#### **10.3.5 Disposition**

As part of the pre-development activities, the team must consider the post-deployment arrangements. This is known as the “disposition” of the capability. No later than 1 year after the program enters O&S (or earlier if directed by the DoD Component), the DoD Component will appoint an official to conduct a disposition analysis. The disposition analysis will consider the performance of the fielded capability, mishap data, long term operational needs, and the relationship of the capability to the component’s current and planned inventory of equipment.

The analysis will also consider the continuation of non-materiel initiatives, the extension of science and technology developments related to the fielded capability, and the completion of MDA-approved and funded materiel improvements.

Disposition official will recommend one of the following options:

##### **Termination: Demilitarization or Disposal**

The capability will be demilitarized and disposed of in accordance with all legal and regulatory requirements and policy related to safety (including explosive safety) and the environment. The recommendation will be coordinated with the DoD Component or, for JUONs and JEONs, the Combatant Commands.

##### **Sustainment for Current Contingency**

Operation and sustainment of the capability will continue for the current contingency. Multiple sustainment decisions may be made should the capability require operations and support longer than two years; however, such sustainment decisions will be made and re-documented at least every two years. The sustained capability will continue to receive the same priority of action as the original acquisition program. This recommendation will be coordinated with the requirements validation authority.

##### **Transition to Program of Record (POR)**

If the capability serves an enduring purpose, it may be transitioned to a POR, once funded in the component’s budget. Supportability and sustainment planning should include interim contract support and contract logistics support until the capability’s formal programmed funding is established.

The disposition official will recommend to the CAE the acquisition point of entry into the defense acquisition system, and whether the MDA should retain program authority or whether it should transition elsewhere.

The requirements validation authority will specify the capability requirements documents required to support transition to a new or existing program of record.

## Chapter 11 – MIDDLE TIER OF ACQUISITION

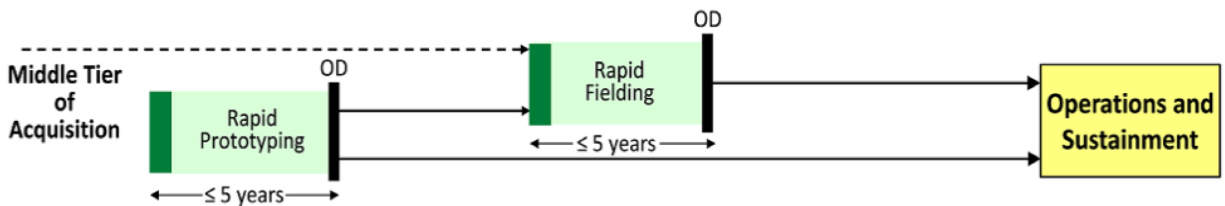


Figure 11-1. Middle Tier of Acquisition

### 11.1 PATHWAY CHARACTERISTICS

The Middle Tier of Acquisition pathway is used to rapidly develop fieldable prototypes within an acquisition program to demonstrate new capabilities; and/or rapidly field production quantities of systems with proven technologies that require minimal development. The MTA pathway includes rapid prototyping and rapid fielding activities. The objective of rapid prototyping is to field a prototype that meets defined requirements that can be demonstrated in an operational environment and provide for residual operational capability within 5 years of the MTA program start date. The objective of rapid fielding is to begin production within 6 months and complete fielding within 5 years of the MTA program start date. These activities will not be subject to the Joint Capabilities Integration and Development System or the procedures outlined in [DoDD 5000.01](#), except to the extent specifically provided in the guidance.

PMs will “tailor-in” reviews, assessments, and relevant documentation that results in an acquisition strategy customized to the unique characteristics and risks of their program. PMs will ensure operational, technical, and security risks are identified and reduced so that fielded systems are capable, effective, and resilient. PMs will comply with statutory requirements unless waived in accordance with a relevant provision.

### 11.2 FAST LANE PLAYBOOK

MCSC developed the Fast Lane Playbook (FLP) to focus on available approaches, nontraditional tools, and technology transfer mechanisms, to streamline the acquisition process and accelerate delivery of operational capabilities to the warfighter. Specific tools, policies and additional resources relevant to the MTA pathway may be found in the FLP. The Fast Lane Playbook can be found on the [MAP](#).

### 11.3 REFERENCES

- [DoDI 5000.80 Operation of the Middle Tier of Acquisition \(MTA\), 30 Dec 2019](#)

## Chapter 12 – MAJOR CAPABILITY ACQUISITION

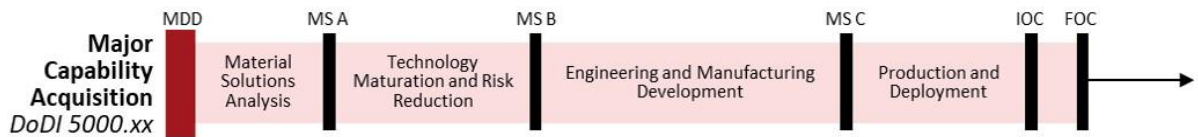


Figure 12-1: Major Capability Acquisition Pathway

### 12.1 PATHWAY CHARACTERISTICS

These acquisitions typically follow a structured analyze, design, develop, integrate, test, evaluate, produce, and support approach. This process is designed to support major defense acquisition programs, major systems, and other complex acquisitions. Acquisition and product support processes, reviews, and documentation will be tailored based on the program size, complexity, risk, urgency, and other factors as outlined in [DoDI 5000.85](#). Software-intensive components may be acquired via the software acquisition pathway, with the outputs and dependencies integrated with the overall major capability pathway. *Figure 12-1* illustrates the major capability acquisition pathway.

### 12.2 ABBREVIATED ACQUISITION PROGRAMS (AAPS)

AAPs are programs that do not meet the criteria for ACAT IV and do not require OT&E as concurred in writing by MCOTEA. SECNAVINST 5000.2F authorizes COMMARCORSYSCOM to develop policies for managing AAPs within MARCORSYSCOM. Therefore, AAP policy is included within this document. Further, MCSCO 5000.7, 14 November 2019, provides MARCORSYSCOM policy to minimize program management/oversight, program milestones and program documentation requirements for AAPs.

### 12.3 NON-DEPLOYMENT PROGRAM

A non-deployment program is defined in SECNAVINST 5000.2F as a Research, Development, Test and Evaluation (RDT&E) funded effort that does not require a validated capabilities document and will not directly result in the acquisition of a weapon, weapon system, or Information Technology (IT) system for operational deployment. The previous term was “non-acquisition program.” Currently, there are no non-deployment programs at MARCORSYSCOM.

### 12.4 CAPABILITY MODIFICATION

A capability modification is a hardware or software change to the product configuration of a system made for the *purpose of acquiring new or improved capability* (e.g., Engineering Change Proposals (ECPs), pre-planned product improvements, upgrades, or technology enhancements) regardless of cost or test requirements. In determining the course of action for capability modifications, the PM should ask: Does the modification breach an existing ACAT I-IV or AAP threshold?

- Yes – the PM will prepare a notification of deviation/program deviation report (refer to [Chapter 8.7](#) of this MAG).
- Yes - the PM will notify COMMARCORSYSCOM through the DA and Dir, OPS&PROG. COMMARCORSYSCOM may authorize the modification to be managed as a separate program. If COMMARCORSYSCOM decides a capability modification will be managed under the active

ACAT I-IV program or AAP, the PM will ensure that the APB and other program documents are revised, if needed, to cover the modification.

- No - but the modification causes an increase in program cost to within 10% of the threshold for the next higher ACAT. The PM will notify COMMARCORSSYSCOM through the DA and Dir, OPS&PROG immediately.

A new or improved capability will:

- Be acquired only in response to a validated requirements document.
- Not be acquired under an inactive program.
- May or may not be managed as a separate program with its own approved ACAT or AAP designation (as determined by the DA)

Additional quantities – no new capability – can be procured within an inactive program. The APB will be revised.

A modification that is defined as any change, addition, enhancement, or improvement to a weapon or weapon system which adds, changes, or *enhances effects of injuring, damaging, destroying, or disabling personnel or property* shall be reviewed by the Judge Advocate General to ensure the intended weapon's use is consistent with domestic and international law.

SECNAVINST 5000.02F, Enclosure 3, 15. *Capability Modifications*, and MCSCO 5000.4A, *Modification to Systems*, provide guidance for implementation and documentation of weapon system and IT system modifications.

## **12.5 PROGRAM RECLASSIFICATION**

- (1) The CAE will notify the DAE when an increase or estimated increase in program cost or a change in acquisition strategy will result in a possible reclassification of a formerly lower ACAT program as an ACAT I or IA program. ACAT changes will be reported as soon as the DoD Component anticipates that the program's cost is within 10 percent of the minimum cost threshold of the next ACAT level. ACAT reclassification will occur upon designation by the DAE.
- (2) The CAE may request reclassification of an ACAT I or IA program to a lower category. The request will identify the reasons for the reduction in category level. The category reduction will become effective upon approval of the request by the DAE.

## **12.6 MAJOR CAPABILITY ACQUISITION PHASES AND MILESTONE/DECISION REVIEWS**

### **12.6.1 Acquisition Phases and Decision Points**

A program may enter the DAS at any program phase/decision point based on technology maturity and the acquisition strategy. The program initiation process described herein is extracted from DoDI 5000.02, which is written from the standpoint of ACAT I and IA programs. For many lower ACAT programs, particularly ACAT III and IV programs, a formal Materiel Solution Analysis and Technology Maturity and Risk Reduction (TMRR) phase may not be necessary if the required technology already exists. For many such programs entry into the acquisition life cycle begins at MS B. For [Commercial Off the Shelf \(COTS\)](#) procurement, where no additional development effort is required, entry into the life cycle can

begin at MS C. An example of a hardware-dominant acquisition program which includes software development is provided in **Error! Reference source not found.**

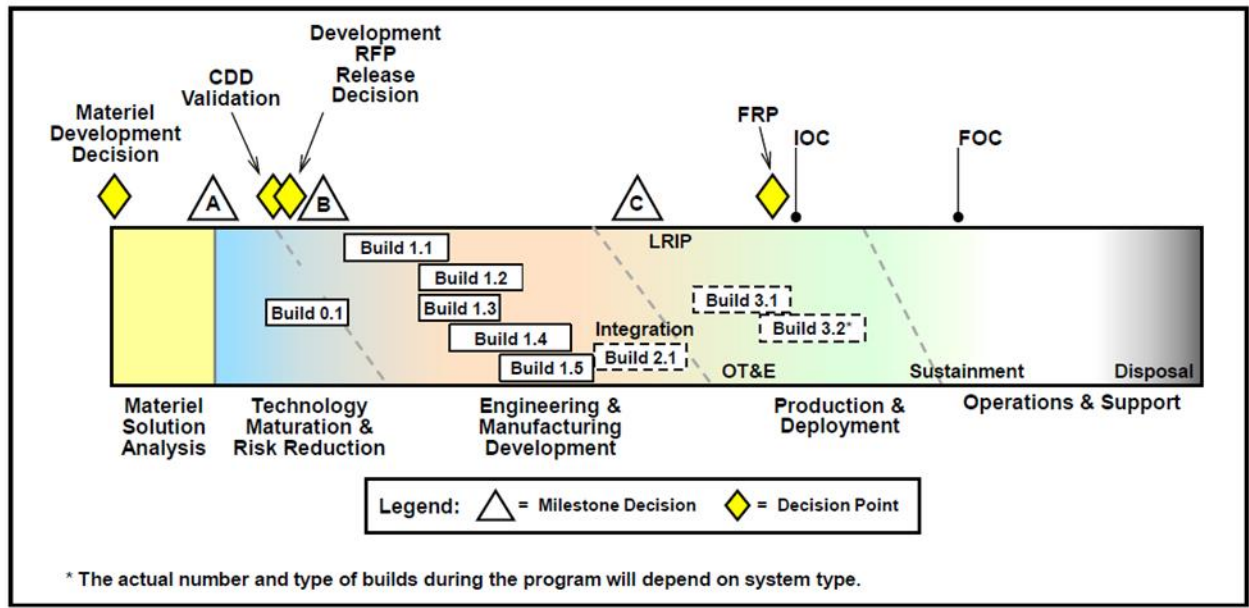


Figure 12-2 Hardware Dominant Program (DoDI 5000.02 Figure 7 Model 5)

12.6.1.1 Material Development Decision (MDD)

The Marine Corps engages in systems acquisition based upon a concept, or a required capability. The identification of the required capability is the result of analyses of a potential enemy's capabilities in relation to our own current capabilities. It is important to note that the Marine Corps does not automatically begin acquiring new weaponry to counter a threat. Deputy Commandant, Combat Development and Integration (DC CD&I) first ascertains whether changes in terms of DOTMLPF-P are sufficient to counter threats. Because a new weapon is usually the costliest means to meet a requirement, a new hardware acquisition will be pursued only after examining potential changes to other parts of DOTMLPF-P and determining that they are insufficient. When it is determined that a materiel solution is necessary, DC CD&I works in coordination with the MARCORSYSCOM Requirements Transition Team (RTT) to ensure the capability requirements are sufficiently defined before MARCORSYSCOM accepts the program. Details are contained in Chapter 4 of this document.

The DA will ensure that there is a valid capability need (e.g., a Requirements Memorandum (RM), Urgent Universal Need Statement (U-UNS), ICD, etc.) validated by the Requirement Transition Process (RTP). The DA will also ensure:

- There is an understanding of the maturity of the technology and what must be done to develop the system.
- There is sufficient funding and certified staff with which to conduct the next acquisition phase Materiel Solution Analysis (MSA).
- There is formal guidance and a plan for conducting the evaluation of alternatives, to include sustainment issues and affordability.
- There has been a determination on the need for OT&E.



MDD within MARCORSYSCOM follows the process in *Figure 12-2*. At the MDD, COMMARCORSYSCOM will sign an ADM granting approval, or disapproval to proceed to the next program phase. If the MDD is approved, COMMARCORSYSCOM will designate the DA; determine the acquisition phase of entry; and identify the initial review MS or key acquisition event and give other guidance as appropriate. An example of the memoranda following the process is provided as [Enclosure 3-1](#). An MDD is not required for AAPs.

#### *12.6.1.2 Material Solution Analysis (MSA)*

During this phase, an Analysis of Alternatives (AoA) will identify and analyze alternative solutions for fulfilling the program requirement. An AoA compares alternative solutions, using defined measures of effectiveness (MOEs), against the backdrop of cost, schedule and performance. The complexity of an AoA ranges from a desktop analysis for a simple system, to a formal study conducted by the Operations Analysis Division within DC CD&I for a complex and/or expensive system. Based upon the AoA, the PM must narrow options to a single concept. The PM will likely provide a formal briefing to the DA and other principal participants in the process. This decision point is known as MS A for a developmental program. If development is not required, the program may enter the acquisition process at MS B or MS C. The DA reviews the program in conjunction with designated advisors, such as a MAT. They review program accomplishments and the MS documents that the PM prepares and presents.

At the completion of the MS review, the DA signs an ADM granting approval (or disapproval) for entry into the appropriate acquisition phase. This ADM defines the actions that must be accomplished during this acquisition phase (often called “exit criteria”) and provides any other guidance that the DA deems appropriate.

In conjunction with the MS A phase, one alternative that a PM must be sure to consider within the AoA is whether, or not, to enter a joint program. The Marine Corps frequently leverages other Service's development efforts. If the Marine Corps is participating in a joint program led by another Service, the Marine Corps PM would be an active participant within that Service's acquisition organization. Marine Corps unique requirements would be represented and implemented, but USMC unique requirements will be funded by the USMC. The other-Service PM would prepare all the documents required for presentation at MS decisions. The Marine Corps would be responsible for preparing any Marine Corps-unique documentation and for developing a position (i.e., recommend approval or disapproval) for presentation at the other-Service MS.

#### *10.6.1.3 Technology Maturation and Risk Reduction (TMRR)*

Once the AoA is approved during the previous phase (MS A phase), DC CD&I begins to document the preferred alternative in a CDD that will ultimately be approved either by the MROC or by the Joint Staff, depending on dollar amount and joint interest. The CDD describes the required system in performance terms to the minimum level of detail required for development and testing of the system.

The purpose of the TMRR Phase is to reduce technology risk and to determine the appropriate set of technologies required to implement the CDD. The PM focuses on activities to mature those critical technologies that are necessary for developing the final product. The program will use technology and capability demonstrations to evaluate progress, maturity, and risk. These demonstrations should reduce risk for component and subsystem development, and they should ultimately lead to testing in an environment that is relevant to Marine Corps usage. A PM will often have competing contractors during the TMRR phase to more fully explore potential technical solutions, with testing and demonstrations taking place with prototypes that are developed and built.

Demonstrations and testing should be based upon validated requirements that are achievable, testable, and affordable. Accordingly, the CDD must be completed and formally validated prior to completing the TMRR phase. Also, for major developmental programs it is typical to establish a developmental contract to perform the next acquisition phase. In this case, the Request for Proposal (RFP) that will define the developmental contract must be reviewed and approved prior to MS B and advancing to the next phase of the acquisition process.

Upon completion of the MS review, the DA signs an ADM granting approval, or disapproval for entry into the Engineering and Manufacturing Development Phase.

#### *12.6.1.4 Engineering and Manufacturing Development (E&MD)*

The purpose of the E&MD phase is to define system functionality and interfaces, complete detailed design, and reduce system-level risk.

EM&D Phase accomplishes some or all of the following:

- Develop a system or increment of capability
- Protect critical program information
- Implement human systems integration
- Complete full system integration
- Develop an affordable and executable manufacturing process
- Design for producibility
- Ensure operational supportability
- Ensure affordability
- Demonstrate system integration, interoperability, safety and utility

The phase concludes with a demonstration of the system's ability to operate in an effective and suitable manner, consistent with the system capability requirements. To the degree possible, testing should be conducted in a realistic environment. Concurrent with this phase, the CDD may be revised to reflect the production attributes of the system, or system increment. Meanwhile, the PM ensures system production can be supported through demonstrated manufacturing processes.

Upon completing the necessary criteria, the PM will request a MS review and may be required to provide a formal briefing to the DA and other principal participants in the process. At the completion of the MS review, the DA will sign an ADM granting approval, or disapproval for entry into the Production and Deployment Phase. The ADM provides the exit criteria for this phase and other guidance from the DA. In the acquisition process we call this decision MS C.

If the Marine Corps is participating in a joint or participative program led by another Service, the other service PM prepares the documents required for presentation at MS C to the DA who would be from that other Service.

#### *12.6.1.5 Production and Deployment*

The purpose of the Production and Deployment phase is to achieve a fielded operational system that satisfies the required capability. It is during this phase of the program when configuration is known; that much of the life cycle logistics functions are accomplished, to include development of training,

provisioning, cataloging of parts, technical data preparation, validated operator and maintenance manuals; and formal fielding with training of the operational forces takes place.

#### *12.6.1.6 Low-Rate Initial Production (LRIP)*

Depending upon the nature of the program, testing and evaluation requirements, and the maturity of the prime vendor's production capability, the program may request DA approval to enter LRIP prior to RFP release in the E&MD Phase. The purpose of LRIP is to complete manufacturing development; produce minimum quantities for Initial Operational Test and Evaluation (IOT&E), establish initial production base, and to permit orderly ramp-up to Full-Rate Production (FRP). The LRIP decision point is when the program starts production of a limited number of systems to ensure adequate and efficient manufacturing capability, and to provide production representative articles for OT&E, by MCOTEA.

The use of LRIP should be part of the original program strategic planning accomplished by the PM and not a last-minute decision presented to the DA. As an alternative to this sequence, if the production process is mature and can produce sufficient test items, then MCOTEA may conduct IOT&E prior to the MS C decision using production representative E&MD assets. A general rule of thumb is that LRIP is 10% or less of the Approved Acquisition Objective (AAO) for the program. Quantities greater than 10% require DA approval (refer Title 10 2400, *Low Rate Initial Production of New Systems*).

Note that: LRIP is statutory for ACAT I and II programs. It is regulatory for other programs. LRIP is not applicable to ACAT IVM programs.

#### *12.6.1.7 Initial Operational Test and Evaluation (IOT&E)*

MCOTEA conducts IOT&E on production representative system(s) to determine if the system is operationally effective and suitable under operational/field conditions for ACAT IVT and above programs. MCOTEA reports test results in an independent evaluation report to the Assistant Commandant of the Marine Corps (ACMC) that becomes a basis for further decisions. For ACAT IVM and AAPs, a letter from MCOTEA is required prior to waiving Operational Testing.

After IOT&E, the DA will review the report prepared by MCOTEA and LRIP results. An unfavorable independent evaluation report may cause the PM to return to the E&MD Phase or to develop and execute a corrective action plan for Follow-on OT&E (FOT&E) accomplishment later in the Production and Deployment Phase.

#### *12.6.1.8 Full-Rate Production (FRP) Decision*

Upon completion of successful IOT&E and/or FOT&E, and validation of any critical production processes (if the program is managing them), the DA will sign an ADM granting approval, or disapproval for FRP. The ADM provides the criteria for a follow-on fielding decision, if not part of FRP.

FRP authorizes the delivery of the fully funded quantity of systems or capability as well as supporting material and services. Prior to the FRP decision, programs must demonstrate control of the manufacturing process, acceptable reliability, and control of other critical processes. In addition, test results must demonstrate all open deficiencies have been resolved, the system requirements have been met, and the system is safe and ready for fielding.

The FRP ADM will provide guidance to the PM relative to the conduct, timing, and exit criteria for the fielding decision and Post Implementation Review (PIR). The PIR plan is presented to the DA at the FRP

Decision Review, and the PIR Report is presented to the DA during the Operations and Support (O&S) phase, typically after attainment of Initial Operational Capability (IOC) and before Full Operational Capability (FOC) is achieved. The DA will specify the timeframe for review of the PIR Report in the FRP ADM.

In addition, declaration of IOC and/or FOC, will occur after the FRP decision. The requirements officer typically prepares the PIR Report, with full participation from the PM. In addition, it is imperative all stakeholders and competencies to include MCOTEA are involved in the planning and conduct of the PIR.

#### *12.6.1.9 Fielding/Fielding Decision*

Fielding is the process of initially deploying and transferring systems, capabilities, and equipment from the acquisition organization to the operating forces and supporting establishments. Programs just prior to MS C are directed by MCSCO 4105.10, *Marine Corps Systems Command Fielding Decision Process for All Marine Corps Systems Command Acquisition Programs*, to use the fielding process to ensure using units are ready to accept the weapon system. The process includes the development of a formal fielding plan and an examination by both the acquisition and operational communities to ensure the systems are ready to be fielded, that they can be logistically supported, that the operators have been trained, and that the operational forces are prepared to receive the additional items.

The term “fielding decision” refers to the authorization for delivering a hardware system to the warfighter. The PM will present the program’s status and readiness to field - including final plans for conducting in-service management assessments during the O&S Phase to the In-Service Authority (ISA). For most programs the ISA will be the PM. Once the DA is satisfied that all the logistics support is in place, the DA will authorize fielding. For a joint program led by another Service, the Marine Corps will make its own fielding decision. The MARCORSYSCOM Fielding Decision Process is described in MCSCO 4105.10 and the MARCORSYSCOM Fielding Process Handbook located in the Acquisition Logistics and Product Support (ALPS) knowledge center in VIPER. The latter includes templates for a Fielding Plan and Request for Fielding Memorandum, as well as a fielding process flow chart. A Fielding Decision is a mandatory program milestone for AAPs, and a Fielding Plan is required for an AAP if it is fielding a product per MCSCO 5000.7.

The fielding process for Information Technology (IT) programs is tailored to reflect the unique characteristics of IT. In many IT programs, a capability and/or Software (SW) is delivered instead of a physical item. The peripherals and SW which are often delivered under IT acquisitions are subject to continuous refresh cycles. The Integrated Logistics Assessment (ILA) chair will advise the PM regarding the development of a fielding strategy tailored to address the unique characteristics of IT programs. Guidance can be provided by the ILA chair or Assistant Program Manager for Life Cycle Logistics (APM-LCL).

#### *12.6.1.10 Initial Operational Capability (IOC) / Full Operational Capability (FOC)*

IOC and FOC are specifically defined for each program in the applicable requirements document. Attainment of IOC and FOC is tracked in the program’s APB. The APB will specify objective (best case) and threshold (minimum acceptable) dates for attainment of IOC and FOC. Generally, IOC is attained when some of the end users scheduled to receive a system or capability 1) have received it and 2) can employ and maintain it. FOC is attained when all the end users scheduled to receive a system or capability 1) have received it and 2) can employ and maintain it. An example of an IOC declaration is contained as [Enclosure 3-3](#).

Per SECNAVINST 4105.1D, *Independent Logistics Assessment and Certification*, an integrated Logistics Assessment (ILA) and ILA certification will be conducted not later than two years after FOC and every 5 years throughout the program’s life cycle for ACAT I and II programs. ILAs following FOC are not required for ACAT III and IV programs.

#### *12.6.1.11 Deployment Decision*

For software-intensive systems, deployment decisions are typically granted in lieu of fielding decisions. Also, DoDI 5000.2 defines tailored program models that formally define an approach for utilizing “limited deployment” decisions to expedite new and incremental capabilities to the warfighter.

#### *12.6.1.12 Operations and Support (O&S)*

Once fielding is complete, the PM’s emphasis shifts from development, production, and delivery to support of the fielded system. Test and evaluation of the system may continue as users tend to identify operational and support problems and potential improvements with fielded equipment.

The PM is still responsible for the system after fielding and should budget resources (personnel, funding) to proactively collect and monitor system performance data, evaluate the data, identify courses of action if required, and execute a selected course of action.

Within the acquisition system during the O&S Phase, the PM assesses the system to ensure that it maintains an elevated level of readiness and operational capability, applying corrective actions when necessary. The PM may also modify or upgrade hardware and/or SW. The process for modification of systems both in and out of production is found in MCSCSO, 5000.4, *Modifications to Systems*, 26 September 2017.

Life cycle sustainment typically occurs after IOC/FOC has been achieved. The PM/Team Leader/APM for Life Cycle Logistics (LCL) shall conduct continuing reviews of logistics strategies and make required adjustments to meet performance targets. The DA performs on-going reviews of program status during this phase which are established at the FRP ADM and updated at each subsequent review. The Life Cycle Sustainment Plan (LCSP) is the program’s primary management tool to satisfy the warfighter’s sustainment requirements through the delivery of a product support package. SECNAVINST 5000.2F (Enclosure 3, 14.c) requires that the LCSP be updated when there are changes to the product support strategy, or every five years, whichever occurs first. The Systems Engineering and Acquisition Logistics principal staff maintains a knowledge center on VIPER that should be accessed for life cycle activities.

#### *12.6.1.13 Disposal*

Disposal occurs at the end of a useful life of a system. At this point, a system must be demilitarized, and disposed of in accordance with all legal and regulatory requirements. This includes complying with policies relating to safety, security, and the environment. Defense Logistics Agency (DLA) Disposition Services specializes in the disposal and reuse of weapon systems when it comes time for disposal. Planning for disposal is addressed within the [Integrated Logistics Support Assessment](#). The PM must consider the full range of disposal options; FMS, Equipment Exchange, etc., prior to disposing of the system through DLA Disposition Services. The APM- LCL can provide additional information.

### **12.6.2 Navy Two Pass/SEVEN Gate Governance (Optional)**

The Marine Corps is no longer bound to use the formal DoN Two Pass/Seven Gate process; however, Program Managers may find the certain stage/Gate program review documentation and templates useful

when completing Milestones A, B, and C. The objective of the Two Pass/Seven Gate Process (*Error! Reference source not found.*) is to provide a disciplined system for requirements and acquisition decision making with the Navy/Marine Corps at key points within the JCIDS and the DAS. This process applies to

- Programs, regardless of ACAT designation, which have capability requirement documents with anticipated or assigned Joint Staffing designators of JCB or JROC interest
- Pre- MDAPs, MDAPs (ACAT I), pre- MAIS, and MAIS (ACAT IA) programs; and
- ACAT II and III programs that ASN(RDA) determines in writing shall be subject to this process based on special interest.

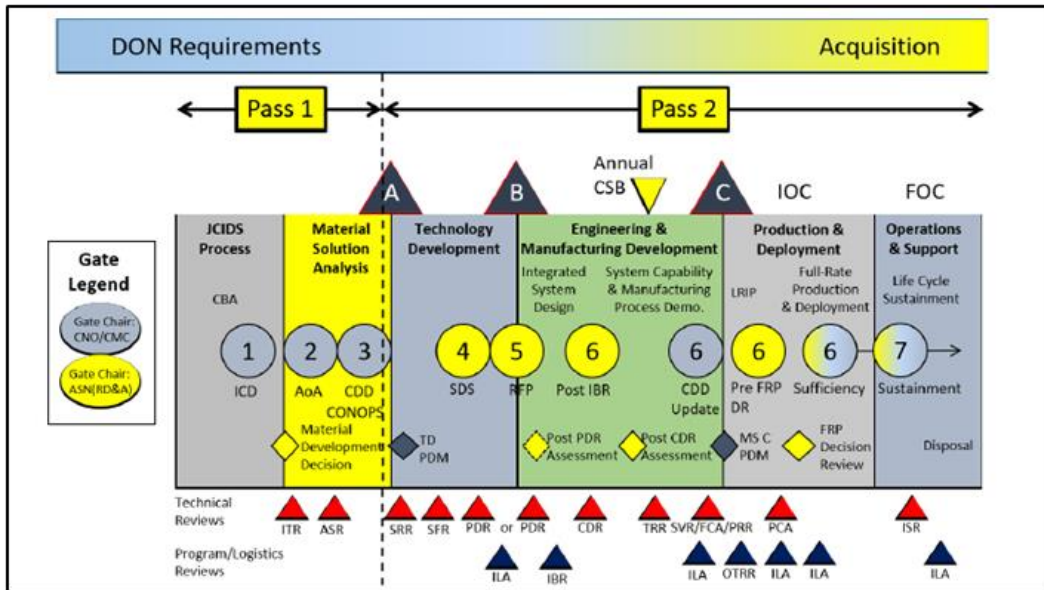


Figure 12-3. DoN Requirements/Acquisition Two-Pass/Seven-Gate Process

The Chairpersons, entrance criteria, objectives and briefing content for each gate are identified in SECNAVINST 5000.2F, Enclosure 9, Table E9T1. The entrance criteria and briefing content requirements for Gates shall not be tailored except as jointly agreed to by Chief of Naval Operations (CNO) / Commandant of the Marine Corps (CMC) and ASN (RD&A), or their designated representatives. For Gate 7 sustainment reviews, results and recommendations for corrective actions of the most recent ILA shall be reviewed. Gate reviews shall not be combined unless approved by the CNO and/or ASN(RDA).

### 12.6.3 Milestone Assessment Team (MAT)

For ACAT III and IV programs, a MAT will be used to advise the DA prior to making a determination to proceed to the next program phase. The APfM-PM serves as the staff focal point non-delegated programs for which COMMARCORSYSCOM has elected to retain DA. In the case of direct reporting PMs, the APM-PM is the focal point. APfMs/direct reporting PMs may conduct internal MATs for program for which they are the DA. A Step-by-Step MAT Process can be found in [Enclosure 12-1](#).

### 12.6.4 COMMARCORSYSCOM Decision Reviews

The APM-PM will contact the MARCORSYSCOM Command Suite Administrative Assistant to schedule all briefings with COMMARCORSYSCOM and the Executive Director (ED) at least 30 days prior to the desired meeting date.

The APfM-PM/APM-PM shall ensure:

- Attendees include representatives from all competencies and key stakeholders.
- All required pre-briefs have been conducted.
- All associated products, such as an ADM, criteria questions, etc. have been reviewed by the Competency Directors/MAT/PM as applicable.
- A pre-briefing with the ED is scheduled at least 14 days prior to any proposed briefing to COMMARCORSYSCOM.
- Distribution of the read ahead to the Command Group and all attendees at least 3 working days prior to each scheduled briefing.

## 12.7 MILESTONE DOCUMENTATION

### 12.7.1 ACAT Programs

Specific documentation is required to support MS and decision reviews consistent with the program's phase of the life cycle and ACAT. Documents required for ACATs I, II and III are contained in Table 2 of DoDI 5000.02. This table includes statutory and regulatory requirements and approval authorities for documentation. Statutory and Regulatory Information Requirements for ACATS I, IA, II, III, IV are contained in Table E3T2 of SECNAVINST 5000.02F. Additionally, the Defense Acquisition University has developed a Milestone Documentation Identification Tool (MDID) that can be used to sort data needed by ACAT and program phase.

In consultation with the appropriate stakeholders, PMs may propose for DA approval, development of regulatory program information to present only the minimum information necessary to establish the program baseline, describe program plans, and make informed decisions. IPTs shall facilitate the management and exchange of program information. DAs will document all information tailoring decisions. When there is a logical relationship between required documents, e.g., the Acquisition Strategy and the LCSP; and consequent coordination can be streamlined, the DA may approve combining requirements. The use of a Single Acquisition Management Plan (SAMP) for ACAT IVM and below acquisition programs should be considered (see [Chapter 6.3](#)). Approval authority for program documents will be delegated to the lowest levels appropriate, consistent with fulfilling oversight requirements.

### 12.7.2 AAPs

PMs for AAPs will prepare the following program documents as a minimum (in accordance with SECNAVINST 5000.2F, Enclosure 3, 9.c. and MCSCO 5000.7). Tailoring of this minimum documentation is encouraged where appropriate. Any additional documentation requires DA approval.

- Cost Analysis Requirements Description (CARD);
- Program Life Cycle Cost Estimate;
- Tailored Manpower, Personnel, and Training analysis;
- Tailored Acquisition Strategy (The Single Acquisition Management Plan may fulfill the requirement for a tailored acquisition strategy);
- Test and Evaluation Plan;
- Tailored system safety program to identify Environment, Safety, and Occupational Health (ESOH) hazards, per MIL-STD-882E, *DoD Standard Practice System Safety*; and, if applicable;
- Tailored analysis of the system's ability to operate in the intended electromagnetic environment per MIL-STD-464C, *DoD Interface Standard, Electromagnetic Environmental Effects Requirements for Systems*.

- A Fielding Plan if the AAP is fielding a product.
- Refer to Chapter 24 IMD to determine if a Life Cycle Mission Data Plan is required.

PMs for AAPs that acquire information technology (IT) will comply with any applicable cybersecurity, IT registration, and Clinger-Cohen Act requirements.

## 12.8 TIPS AND TOOLS

### 12.8.1 Tips

- There are few "absolutes" in systems acquisition. There are many ways to determine what is required and many ways to actually acquire it. The challenge to all those involved in systems acquisition is to acquire the essential capability that will satisfy the user's need in the most effective way. In order to be viable, a program must accomplish this within established cost, schedule, performance, and affordability constraints—while smartly implementing acquisition in a tailored manner that is consistent with the governing statutes and regulations.
- Determination of program phases/MS usually occurs at program initiation. Planning for program MS should be timely, allowing enough time to develop required documentation and route for approval prior to the MS.
- A document should not be developed just to “check the box” if it is not applicable to the program's strategy. Documents that are regulatory can be tailored out as approved by the DA.
- A Plan of Action and Milestones (POA&M) for a program MS is highly beneficial. Consider that outside stakeholders do not prioritize one program over the other, and therefore the POA&M should include sufficient time for stakeholder coordination and review of program documentation as applicable.

### 12.8.2 Tools

- Example of an ADM – [Enclosure 3-1](#)
- Example of an IOC declaration – [Enclosure 3-3](#)
- MAT Process – [Enclosure 12-1](#)
- [Defense Acquisition Lifecycle Wall Chart](#) – This chart illustrates decision points, MS, and phases which are standard elements of the DAS; however, DAs, with PM input, have full latitude to tailor programs in the most effective and efficient structure possible, unless constrained by statute. An interactive version of this chart is also available which provides additional layers of information.



- [Interactive Defense Acquisition Life Cycle Wall Chart](#) – The Interactive Defense Acquisition Life Cycle Chart provides activities and documentation required for each program phase by competency areas. In addition to detailed definitions of the chart components, this tool also provides links to more in-depth information on each topic area including references and templates. THIS IS A VERY VALUABLE, ONE STOP SHOP TOOL SHOWING WHAT IS NEEDED BY PROGRAM PHASE.
- [Milestone Documentation Identification Tool \(MDID\)](#) – filters statutory and regulatory documentation requirements by MS of decision point and program ACAT level.
- [Defense Acquisition Guidebook](#) – includes activities per program competency and acquisition phases. This is a “how to” implement the requirements contained in DoDI 5000.02.
- [Milestone Requirements Matrix](#) – provides a list of program documentation per program MS/ACAT with links providing detailed information for each document.
- [Marine Corps Systems Command Fielding Process Handbook](#) (including the [Fielding Plan](#))

## 12.9 REFERENCES

- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, 7 January 2015 with Change 4, 31 August 2018](#)
- [Department of Defense Instruction 5000.85, Major Capability Acquisition, 06 August 2020](#)
- [Marine Corps Systems Command Order 4105.10, Marine Corps Systems Command Fielding Decision Process for All Marine Corps Systems Command Acquisition Programs, 1 May 2014](#)
- [Marine Corps Systems Command Order 5000.4, Modification to Systems, 26 September 2017](#)
- [Marine Corps Systems Command Order 5000.7, Abbreviated Acquisition Program Management, 14 November 2019](#)
- [MIL-STD-464C, DoD Interface Standard, Electromagnetic Environmental Effects Requirements for Systems, 1 December 2010](#)
- [MIL-STD-882E, DoD Standard Practice System Safety, 11 May 2012](#)
- [Secretary of the Navy Instruction 4105.1D, Independent Logistics Assessment and Certification, March 2018](#)
- [Secretary of the Navy Instruction 5000.2F, Defense Acquisition System and Joint Capabilities Integration and Development System Implementation, 26 March 2019](#)
- [Title 10 2400, Low Rate Initial Production of New Systems, 3 January 2012](#)

## Chapter 13 – SOFTWARE ACQUISITION

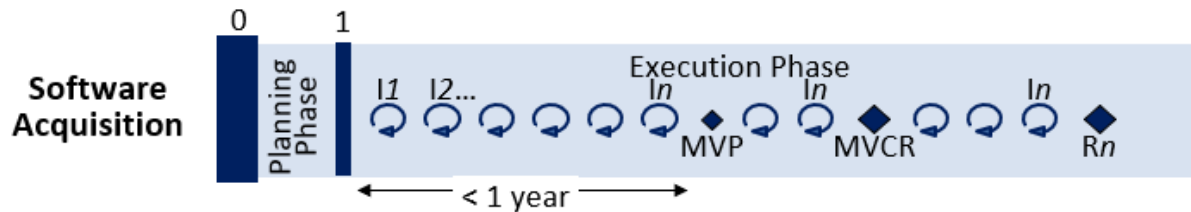


Figure 13-1. Software Acquisition

### 13.1 PATHWAY CHARACTERISTICS

This pathway is designed for software-intensive systems. The pathway objective is to facilitate rapid and iterative delivery of software capability to the user. This pathway integrates modern software development practice such as Agile Software Development, DevSecOps, and Lean Practices. Capitalizing on active user engagement and leveraging enterprise services, working software is rapidly and iteratively delivered to meet the highest priority user needs. Tightly coupled mission-focused government-industry software teams leverage automated tools for development, integration, testing and certification to iteratively deploy software capabilities to the operational environment. While a DoDI for Software Acquisition has not yet been promulgated, OSD has published the [Software Acquisition Pathway Interim Policy and Procedures](#).

### 13.2 ACQUISITION PHASES

The phases listed in *Figure 13-2* come directly from the Interim policy, reference that document for a full and complete description.

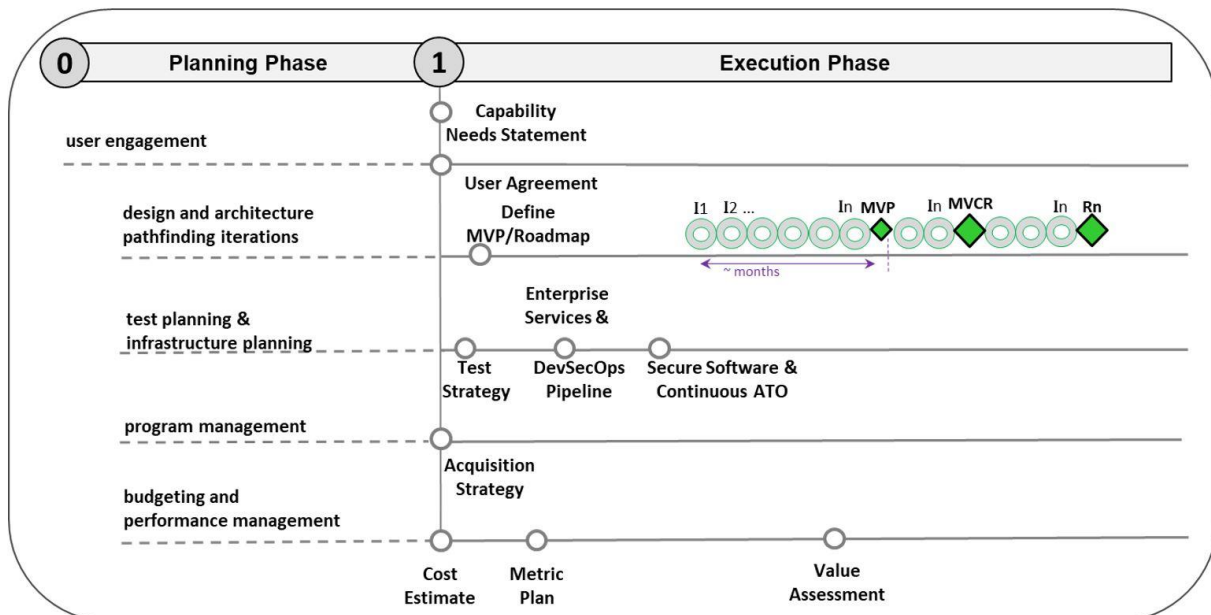


Figure 13-2. Software Acquisition Phases

### **13.2.1 Planning Phase**

The planning phase focuses on understanding the users’/systems’ needs and planning the approach to deliver capabilities to meet those needs. This requires active engagement with the users to understand their concepts of operations, environment, external systems with which the required capability must interface, interoperability requirements, threats, existing capabilities, and other specific needs. The software development team shall begin to plan the software design and architecture, leveraging enterprise services to the maximum extent possible. The chosen software development methodology shall incorporate security as a persistent requirement and include a risk-based life cycle management approach to address software vulnerabilities through secure development, secure capabilities, and secure life cycle.

The program office will develop strategies for acquisition, funding, contracting, Intellectual Property (IP), test and evaluation, systems engineering, software security, and sustainment in a single or minimum set of tailored documents. The team will estimate costs, identify funding, and develop metrics and value assessment plans. These planning efforts should be tightly aligned but can occur independently to support individual business decisions.

### **13.2.2 Execution Phase**

The execution phase focuses on scoping, developing, and deploying a Minimum Viable Product (MVP) and Minimum Viable Capability Release to the Warfighter/end user as quickly as possible. MVPs provide users with working software to demonstrate initial capabilities, test external interfaces as needed, accelerate learning, and shape needs/requirements, designs, and future iterations. While time to MVP is of high importance, utility of the functionality is diminished if quality control, testing, and user engagement are not integrated into the software development process.

Development efforts leverage enterprise software development services to the maximum extent possible to accelerate deliveries, reduce costs, and improve security and interoperability. The team works with key stakeholders to achieve a continuous authority to operate or an aggressively streamlined approval process for each software delivery. The PM tracks metrics to manage the software teams’ progress and convey insights to key stakeholders.

Following delivery of the MVP, the software development team will iteratively design, develop, test, and deliver capabilities that meet the users’ and/or systems’ highest priorities. Users should be involved in the planning of each iteration and evaluation of the software at the end of each iteration if possible. Program and development teams should assess themselves at every iteration to ensure the strategic goals have not changed and are being met, and to remain responsive to emergent and changing requirements by delivering more frequent and timely releases to end users.

Depending on the software practices used by the team, subsequent deliveries could be continuously integrated and delivered when ready. Active user engagement is critical throughout development, delivery, and capability release to shape priorities and provide insights into operations, feedback on early capability iterations, design mock-ups, and previous developments to ensure rapid delivery of capabilities that will have an impact on the mission.

## **13.3 REFERENCES**

- [Software Acquisition Pathway Interim Policy and Procedures](#)
- [Software Acquisition Pathway Interim Policy and Procedures Training Presentation](#)
- [Software Pathway Community of Interest](#)
- [DAU Software Acquisition Page](#)

## Chapter 14 – DEFENSE BUSINESS SYSTEMS

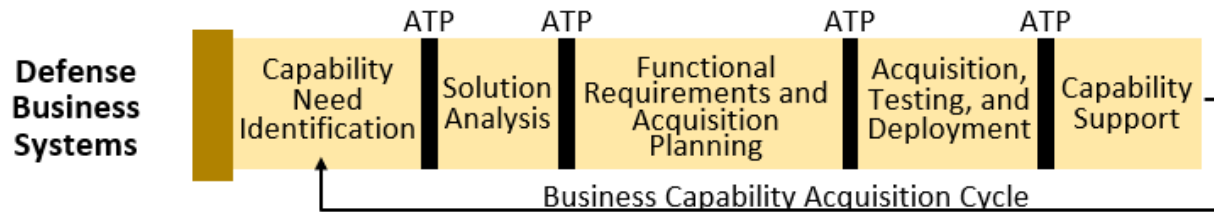


Figure 14-1. Defense Business Systems

This pathway is used to acquire information systems that support DoD business operations. This pathway applies to defense business capabilities and their supporting business systems, including those with “as-a-service” solutions to include: financial and financial data feeder; contracting; logistics; planning and budgeting; installations management; human resources management; training and readiness systems; and may also be used to acquire non-developmental, software intensive programs that are not business systems.

### 14.1 PATHWAY CHARACTERISTICS

To acquire information systems that support DoD business operations. This pathway:

Applies to defense business capabilities and their supporting business systems, including those with “as-a-service” solutions to include: Financial and financial data feeder; Contracting; Logistics; Planning and budgeting; Installations management; Human resources management; Training and readiness systems. May also be used to acquire non-developmental, software intensive programs that are not business systems.

This pathway assesses the business environment and identifies existing commercial or government solutions that could be adopted to satisfy DoD needs. The DoD reviews its business processes and revises them to align more closely with commercial or government information technology (IT) best practices. Customization of a selected information technology (IT) solution is minimal. The DoD reduces risk and maximizes benefits by using commercial-off-the-shelf software that has been successfully demonstrated in the commercial marketplace.

Business Systems support DoD business activities such as acquisition, financial management, contracting, logistics, strategic planning and budgeting, installations and environment, and human resource management. They do not follow the IT Box and do not generally utilize IT Box or traditional JCIDS process documentation. Instead, business systems follow processes governed by Title 10 U.S.C. section 2222 and the DoDI 5000.75, “Business Systems Requirements and Acquisition”, which depicts a process model called the Business Capability Acquisition Cycle, or “BCAC”. BCAC has five phases and is intended to be cyclical and flexible with steps repeating as necessary in order to drive rapid achievement of intended business outcome(s) based on a validated capability need. BCAC implements a unique business systems governance and management structure; assigns responsibilities to the functional and acquisition communities; provides direction for the identification of business needs and for the development of capability requirements and their supporting IT; and emphasizes continuous process improvement as part of ongoing business capability support.

[DoDI 5000.75](#) establishes policies and provides procedures for the DBS Acquisition pathway.

## 14.2 ACQUISITION PHASES & MILESTONES

BCAC has five phases and is intended to be cyclical and flexible with steps repeating as necessary in order to drive rapid achievement of intended business outcome(s) based on a validated capability need. BCAC implements a unique business systems governance and management structure; assigns responsibilities to the functional and acquisition communities; provides direction for the identification of business needs and for the development of capability requirements and their supporting IT; and emphasizes continuous process improvement as part of ongoing business capability support.

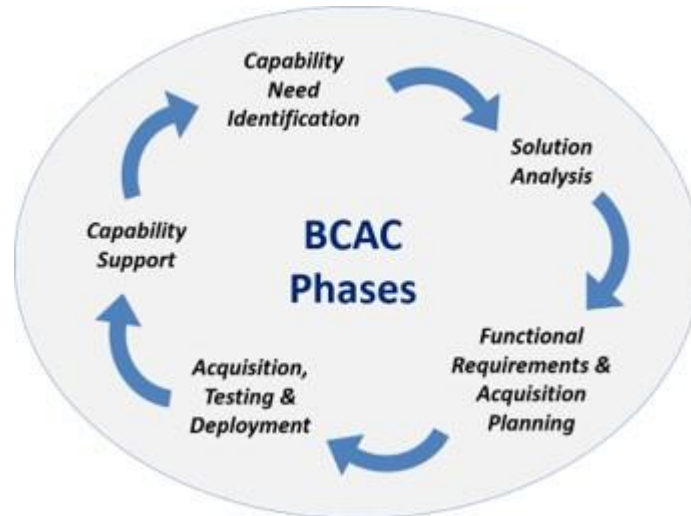


Figure 14-2. BCAC Phases

Refer to [MARCORSYSCOM Interim BCAC Guidebook](#) for specific policies and procedures.

## 14.3 REFERENCES

- [MARCORSYSCOM Interim BCAC Guidebook](#)
- [Department of Defense Instruction 5000.75, Change 2 Business Systems Requirements and Acquisition, 24 January 2020](#)
- [Business Systems Community of Practice](#)
- [DoD INSTRUCTION 5000.75: Business Systems Requirements and Acquisition](#)
- DON BCAC Interim Implementation Guidance

## Chapter 15 – ACQUISITION OF SERVICES

Acquisition of Services	Acquisition Strategy						
	PLAN			DEVELOP		EXECUTE	
	1 Form the Team	2 Review Current Strategy	3 Perform Market Research	4 Define Requirements	5 Develop Acquisition Strategy	6 Execute Strategy	7 Manage Performance

Figure 15-1. Acquisition of Services

### 15.1 PATHWAY CHARACTERISTICS & SEVEN STEP PROCESS (3 PHASES)

This pathway is intended to identify the required services, research the potential contractors, contract for the services, and manage performance. The pathway activities are broken into three phases: planning, developing, and executing. The seven steps ensure the use of proven, repeatable processes and procedures contributing to successful service acquisitions.

The acquisition of services is based on the Seven Steps to the Service Acquisition Process as laid out in [DoDI 5000.74](#) and the [DAU Service Acquisition Mall \(SAM\)](#). SAM is intended provide usable tools and templates to create performance-based service acquisition requirements. SAM provides a working level understanding of the Seven Steps to Services Acquisitions, a brief summary of which is provided below. SAM's structured content helps develop the fundamentals of your contract, including Performance Work Statement (PWS), Statement of Objectives (SOO), and Quality Assurance Surveillance Plan (QASP).

### 15.2 ACQUISITION PHASES

#### 15.2.1 Planning Phase

##### *Form the Team*

The acquisition team should be a customer-focused, multi-functional team (MFT) that plans and manages the service requirement throughout its life cycle. The requirement may be for a single function or for multiple functions. Service acquisition requires a team effort. It is essential that all stakeholders be involved throughout the service acquisition life cycle, from the planning and development phase through the execution phase.

##### *Review Current Strategy*

The MFT is responsible for assessing the health of the current service acquisition, if one exists. To accomplish this assessment, the MFT will interview the stakeholders and key customers and capture their concerns, priorities, and projected requirements which will impact how the acquisition is developed.

Based on the stakeholders' consolidated input, the MFT categorizes the input into performance results (outcomes). The performance results are reviewed and validated by all stakeholders, including key customers, to ensure the mission needs have been captured accurately. The MFT also reviews the current contract terms and conditions and ensures the most current regulatory and statutory requirements are applied to the new services acquisition contract.

### **15.2.1.1 Market Research**

The purpose of Step Three is to gather and analyze information about the capabilities within the market to satisfy the agency needs. This step is vital for accomplishing the next two steps, Define Requirements and Develop Acquisition Strategy. The requirements owner within the MFT is responsible for conducting the initial market research. The purpose of conducting market research is to discover if the services required for an acquisition are available in the marketplace, how the marketplace is implementing the capabilities needed, and whether or not any existing contract vehicles are available to execute the requirement.

### **15.2.2 Development Phase**

#### *Requirements Definition*

Requirements definition is the most important and most difficult part of services acquisitions. A good quality requirements document makes procuring and managing the service easier. With a properly developed requirements document, the team determines: What is important about the service; if an industry day or contractor one-on-one's are necessary; how the Quality Assurance Surveillance Plan (QASP) will be developed; whether more than one Contracting Officer's Representative is required; and the best contract type to utilize.

#### *Acquisition Strategy*

The acquisition strategy describes the FSM's plan to achieve the execution of goals set within the service acquisition life cycle. The team summarizes the overall approach to acquiring services (to include the schedule, structure, risks, funding, and business strategy). The acquisition strategy document contains sufficient detail to allow senior leadership to assess whether the strategy makes good business sense, effectively implements laws and policies, and reflects management's priorities, including affordability.

### **15.2.3 Execution Phase**

#### *Execute Strategy*

This Step delivers the performance results stakeholders need to successfully support their mission. Engagement with contractor and stakeholders will often cover several years. There are two key elements to this step. First are the basic functions of administering the contract such as validating contractor invoices, tracking cost data when required, managing change as it occurs and making sure the contractor is getting paid on a timely basis. The second key function is managing the relationship and expectations between three key groups; customers, stakeholders and the contractor.

#### *Performance Management*

As new contract performance starts the team shifts from acquisition to performance management. This means focusing on ensuring that the performance results contained in the contract are delivered. The two key responsible parties are the contracting officer and the COR. Contracting officers have specific responsibilities that can't be delegated or assumed by the other members of the team. The contracting officer relies on the COR to be his/her eyes and ears for providing an accurate assessment of contractor performance.

The duties and responsibilities of the COR are contained in a designation letter signed by the contracting officer. The COR must know the performance requirements and standards in depth and understand the assessment strategies contained in the QASP.

## **15.3 REFERENCES**

- [DAU Acquisition of Services](#)
- [Service Acquisition Mall](#)

- [DoDI 5000.74](#)



## Chapter 16 – PARTICIPATION IN OTHER SERVICE PROGRAMS

### 16.1 AUTHORITY TO PARTICIPATE IN ANOTHER SERVICE'S PROGRAM

Per MCSCO 5000.8, *Authority to Participate in Another Service's Program of Record*, PMs may request authority to participate (ATP) in another Service's program based on the Lead Service's material solution meeting a validated Marine Corps requirement. The decision to participate must be approved by COMMARCORSYSCOM for programs for which funding provided to the Lead Service falls within ACAT IV dollar threshold and above; or by the PfM or direct reporting PM for AAPs and below. PfMs are authorized to further delegate DA to the PM; however, direct reporting PMs are not authorized to further delegate DA. Approval of the ATP will be provided via a DA ADM.

To begin the process of obtaining approval for participation, the PM should execute the following steps.

1. PM draft a Request for ATP per the sample ([Template 16-1](#)). The ATP will be coordinated with MCOTEA regarding any requiring MCOTEA involvement prior to fielding. Funding shown will be the funding amounts to be provided by MARCORSYSCOM to the Lead Service; not the funding that is reported by the Lead Service for the respective POR.
2. PM submit the Request for ATP to the appropriate DA.
3. The DA will prepare an ADM authorizing the participation. An example is provided as [Enclosure 16-1](#).

Upon receipt of the ADM, MARCORSYSCOM PM and the Lead Service PM will collaboratively develop a Memorandum of Agreement (MOA) outlining the roles and responsibilities of each Service is required for participation in another service's programs. Details on MOAs are provided in the Joint Program Management (JPM) Handbook (Chapter 2). An example is provided as [Enclosure 16-2](#). A MOA is not required if another Service is designated as the Lead Standardization Agent for the commodity (SD-1), and all Services are required to procure the standard configuration. In this case, MARCORSYSCOM would request ATP with the other Service. The PM is not authorized to send funds to the other Service until the MOA is signed by both Services. The MOA must be coordinated with MCOTEA for programs that require operational testing and this testing must be satisfactorily completed prior to fielding.

The only program documentation required for an ATP to be posted in TOPIC is as follows:

- ADM Authorizing Participation
- ADM Authorizing Procurement
- ADM Authorizing Fielding

The DA, may at their discretion, require additional documents. Additionally, MCOTEA may require a TEMP. Fielding of a physical product will require a Fielding Plan coordinated with the operational forces. Any additional documents should also be posted in TOPIC."

### 16.2 JOINT PROGRAMS

Joint programs involve the satisfaction of validated capability requirements from multiple DoD Components and/or international partners and are funded by more than one Component or partner during any phase of the acquisition process. A lead Component (Lead Service) will be designated to manage the acquisition process and act as the acquisition agent for the participating DoD Components. The

participating Components, those with a requirement for the program’s products, support and participate with the lead DoD Component in the acquisition process. The lead Service acts as the program milestone decision authority.

The use of joint programs is one the preferred acquisition approaches. Joint programs increase interoperability and avoid duplication of development, test, production and support costs.

Programs may be identified as joint at program initiation as a result of the JCIDS process.

## **16.3 TIPS AND TOOLS**

### **16.3.1 Tips**

- The MARCORSSYSCOM PM should review the other Services’ requirements documentation, program MS, contract vehicles (specifications, delivery requirements, period of performance, and contract ceilings for both funding and quantities), and test plans (if applicable) to determine if they meet MARCORSSYSCOM requirements. Programs that require testing must be coordinated with MCOTEA as part of the ATP process.
- If authorized to participate in another Service’s program, the MARCORSSYSCOM PM (not the Lead service) is responsible to ensure that the items procured will be delivered on time and will meet MARCORSSYSCOM requirements. The MOA should specify MARCORSSYSCOM needs.

### **16.3.2 Tools**

- Example of a Request for Authority to Participate – [Enclosure 16-1](#)
- Example of a MOA – [Enclosure 16-2](#)
- Request for Authority to Participate Template – [Template 16-1](#)
- [Defense Acquisition University Joint Program Management Handbook](#) (Third edition) dated July 2004
- [SD-1](#) – The Standardization Directory provides a list of all DoD Standardization Management Activities (SMA), and civilian agency standardization offices. Assignments of Lead Standardization Activities and Participating Activities by FSC and Standardization Area.

## **16.4 REFERENCES**

- [Chairman Joint Chiefs of Staff Instruction \(CJCSI\) 5123.01H, Charter of the JROC and Implementation of the Joint Capabilities Integration and Development System \(JCIDS\), 31 August 2018](#)
- [Joint Program Management Handbook, Third Edition, July 2004](#)
- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, January 7, 2015, Incorporating Change 4, August 3, 2018; Enclosure \(2\), 5.b.](#)

- [Marine Corps Systems Command Order 5000.8, Authority to Participate in Another Service's Program of Record, 05 November 2019](#)
- [Defense Acquisition Guidebook](#), Chapter 1, Section 4.2.9 Joint Acquisition Programs

## **Chapter 17 – EQUIPMENT EXCHANGE PROCESS AND COMMODITY ACQUISITION MANAGEMENT**

### **17.1 EQUIPMENT EXCHANGE PROCESS**

MCSCO 4540, *Procedures for Equipment Exchange Program*, authorizes exchange of equipment for related items as an acceptable strategy within the hierarchy of material acquisition alternatives. In alignment with this strategy, when PMs have personal property that is wearing out or obsolete and must be replaced, PMs shall consider exchanging similar, non-excess property and using the exchange allowance to offset the cost of the replacement personal property.

PMs may exchange similar, non-excess property if the following conditions are met:

- The property exchanged is comparable to the property acquired and is required for an approved MARCORSSYSCOM acquisition program. These records are maintained, and considered to be sufficient to substantiate that the items of which were acquired, were like the items exchanged
- The property exchanged is not excess or surplus and there is a continuing need for similar property that will perform substantially all the functions of the item being exchanged.
- The property exchanged was not acquired for the principal purpose of exchange.
- When replacing personal property, the exchange allowance or sales proceeds from the disposition of property may only be used to offset the cost of the replacement property, not services; and the basic facts associated with each exchange transaction shall be fully documented using the MARCORSSYSCOM Equipment Exchange Process, which can be found in [Enclosure 17-1](#).

### **17.2 COMMODITY ACQUISITION MANAGEMENT**

Frequently, the procurement of one Principle End Item (PEI), such as a weapon or a command and control system, requires the procurement of one or more other PEIs as either a Component Item (CI), Support Equipment (SE) or as a Support Item (SI) to that system. The acquisition of PEIs has a well-known, established process. However, this is not the case for managing the acquisition interdependencies where the requirement(s) of a PEI cross a Program Management Office's (PMO) requirement(s). The Commodity Acquisition Management (CAM) process identifies how MARCORSSYSCOM PMs shall coordinate acquisition efforts between the PMOs responsible for system PEIs and the PMOs responsible for the PEIs that accompany a system as a CI, SE, and SI, referred to here as Commodity PMOs. The CAM process ([Enclosure 17-2](#)) is defined as the collaboration among Commodity PMOs, System PMOs, and competency area specialists to procure common equipment across the Marine Corps enterprise portfolio.

### **17.3 TOOLS**

- Equipment Exchange Process – [Enclosure 17-1](#)
- Commodity Acquisition Management Process – [Enclosure 17-2](#)

## 17.4 REFERENCES

- [Marine Corps Systems Command Order 4540, Procedures for Equipment Exchange Program, 27 January 2017](#)

## Chapter 18 – COMMERCIAL ITEMS AND NON-DEVELOPMENTAL ITEMS

### 18.1 INTRODUCTION

Simply stated, a [commercial item \(CI\)](#) is any item that is of a type customarily used by the general public for purposes other than Governmental purposes, which has been or will be sold or offered for sale, leased, or licensed to the general public. CIs also include items that are not yet available in the commercial marketplace but will be available in the commercial marketplace in time to satisfy the delivery requirements under a Federal Government solicitation. (Refer Title 41, part 103). A [non-developmental item \(NDI\)](#) is any previously developed item used exclusively for governmental purposes; and an item that requires only minor modifications to meet the requirements of the Government. A commercial-off-the-shelf item is a CI that is sold to the Government in the same form that it is sold in the commercial marketplace (Refer Title 41, Part 104).

Another type of NDI, not explicitly addressed in the FAR, is a unique system created by integrating NDI subsystems and components. Some development, such as SW necessary for subsystems and components to work together, may be involved to ensure that the unique system functions as required. Any development required for integration should be documented in an acquisition strategy.

Access to CIs and commercial practices brings significant benefit to MARCORSYSCOM including: rapid pace of innovation by private industry and integration of new technology into MARCORSYSCOM programs; greater product availability and reliability; reduced time to develop and field new technologies; lower life cycle costs; increased competition, and an expanded pool of innovative and non-traditional contractors that seek to do business with DoD. The use of NDI provides similar benefits of reduced acquisition cycle times and lower development costs.

### 18.2 STATUTORY AND REGULATORY REQUIREMENTS

Public Law has directed a preference for CI procurement since the early 1990s. FAR Part 12 implements the statutory preference for the acquisition of CIs. Requirements must be defined in terms that enable offerors to determine whether their CIs or NDIs are suitable to meet the agency's needs. To the maximum extent practicable (TMEP) acquisition officials must state requirements in terms of: (1) functions to be performed; (2) performance required; or (3) essential physical characteristics.

The law requires that procurement officials TMEP:

- Acquire CIs or NDI to meet the needs of the agency TMEP;
- Require prime contractors and subcontractors to incorporate CIs or NDI as components of items supplied to the agency;
- Modify requirements in appropriate cases to ensure that the requirements can be met by CIs or NDIs to the extent that CIs suitable to meet the agency's needs are not currently available;
- For solicitations, state specifications in terms that enable and encourage bidders and offerors to supply comparable CIs or NDIs to the extent that CIs suitable to totally meet the agency's needs are not currently available.
- Use commercial or non-Government specifications and standards in lieu of military specification and standards unless no practical alternative exists to meet user requirements. This includes new systems, major modifications, upgrades to current systems, NDI and commercial items and all ACATs

### 18.3 DEFENSE COMMERCIAL SOLUTIONS

The Under-Secretary of Defense for Acquisition and Sustainment (USD(A&S)) issued a memorandum to DASN authorizing the acquisition of innovative CIs, technologies, or services using a competitive procedure called Defense Commercial Solutions (CSO). Under a CSO, DoD may competitively select proposals received in response to general solicitation similar to a [Broad Agency Announcement \(BAA\)](#) based on a review of proposals by scientific, technological, or other SMEs. A CSO may be used to fulfill requirements for research and development, ranging from advanced component development through operational systems development. Contracts in excess of \$100 million require a written determination from USD(A&S) or the ASN(RDA) of the efficacy of the effort to meet mission needs.

### 18.4 TESTING

The amount and type of testing required for an NDI or CI depends on how the item will be used, whether any modifications are needed, and the availability of previous test results.

- If the item will be used in the same environment for which it was originally designed, developmental testing is usually not necessary. However, OT may be required if the item will be maintained by the Government.
- If the item will be used in a different environment than that for which it was originally designed, some developmental testing may be required to ensure the item meets specifications or make sure the manufacturing process is effective. OT, including early operational assessment (EOA) and operational assessment (OA), may be required to verify effectiveness and suitability.
- If the item will be integrated into a system, developmental testing will be required on a test sample before the item is integrated into the system. Pre-production testing of the complete system, including both hardware and SW, may be conducted. OT of the complete system may also be required.
- If the item will be modified, both developmental testing and OT may be conducted to ensure the modification meets all the requirements.

### 18.5 LIFE CYCLE SUPPORT

The use of NDI and CIs may raise long-term supportability issues. For example, the vendor may change the product line or discontinue making replacement parts. In addition, there may be problems with design interface and the interoperability of parts with the overall system. Furthermore, service unique logistics capability needs may be difficult to meet with CIs and NDIs.

**Figure 18-1** portrays the decision process to use commercial or NDI item. Additionally, consideration must be given to how best to support the system once it is fielded; i.e., whether to use organic support: using military personnel; or to contract out logistics support. Both options have their merits and drawbacks, and determining these can be done by considering the following circumstances:

- How much modification is required to make the item fully operational? If significant changes are required before the item is used by the military, then government (organic) logistics support might be the best approach.
- How or where will the item be used? If the environment will be hostile or austere, it could affect the contractor's ability to support the item due to safety concerns, and government (organic) logistics support might be the best approach.

- What is the projected service life? For short-term items, contractor logistics support is often more appropriate.
- How stable is the design or configuration? If constantly changing configurations are inevitable, especially due to advances in technology, then contractor logistics support is likely to be the better option.

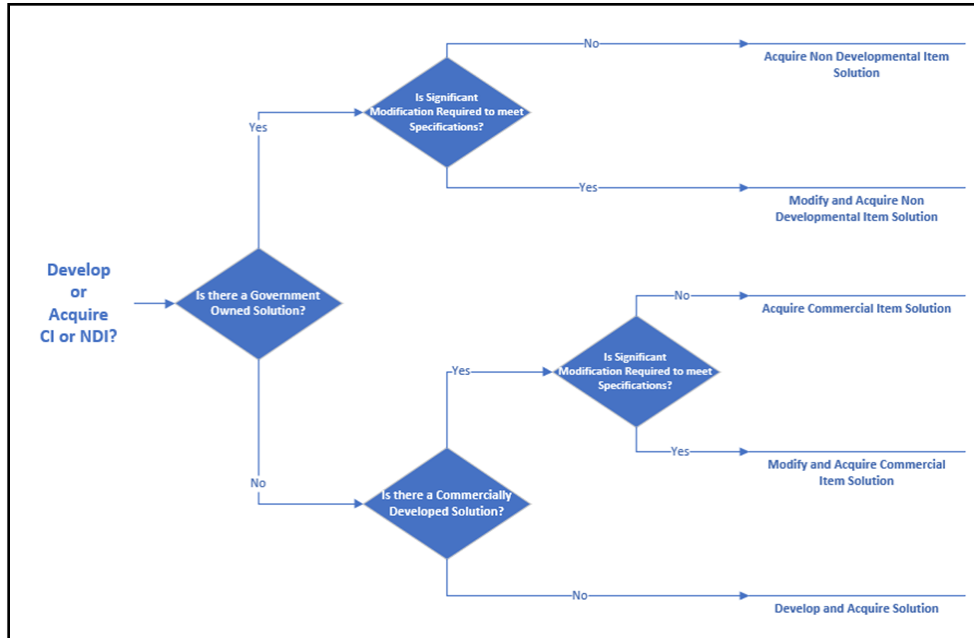


Figure 18-1. Deciding Between a CI or NDI

## 18.6 TIPS AND TOOLS

### 18.6.1 Tips

- There can be drawbacks to using NDI and commercial products: Difficulty in integrating components; long-term logistics support problems; and lack of engineering and test data.
- DoD, General Services Administration and the National Aeronautics and Space Administration are proposing to amend the FAR to change the definition of CI to conform with statutory changes made by section 847 of the FY 2018 NDAA, P.L. 115-91, enacted December 12, 2017. Section 847 amends the definition of “commercial item” at 41 U.S.C. 103(8) to expand NDIs that qualify as CI to include items sold in substantial quantities on a competitive basis to multiple foreign governments. Refer: Federal Register / Vol. 84, No. 91 / Friday, May 10, 2019 / Proposed Rules

### 18.6.2 Tools

- [Office of the Secretary of Defense \(OSD\) AT&L, Commercial Item Handbook version 1.0, November 2001.](#) This guidebook is heavily focused on processes such as pricing, contracting, and administration.



- [SD-2, DoD Acquisitions: Buying Commercial Items and Non-Developmental Items \(NDI\), November 2018](#). This document focuses on in-depth treatment of earlier acquisition processes such as acquisition strategy, market research, quality assurance, test and evaluation, and life cycle support planning. Additionally, this document offers guidance on acquisitions involving all types of commercial and non-developmental items: systems, subsystems, assemblies, parts, and items of supply. Commercial services are also addressed.
- [OSD AT&L \(Acquisition Initiatives\) DoD Guidebook for Acquiring Commercial Items, Part A Commercial Item Determination, January 2018](#). This guide addresses the question, “Is it commercial?”
- [OSD AT&L \(Acquisition Initiatives\) DoD Guidebook for Acquiring Commercial Items, Part B Pricing Commercial Items, January 2018](#). This guide of this Guide addresses the question, “How do I price this product or service?”

## 18.7 REFERENCES

- [Defense Federal Acquisition Regulation Supplement, Part 12 – Acquisition of Commercial Items, 28 June 2018](#)
- [OSD A&S Memo for Deputy Assistant Secretary of the Navy \(Acquisition and Procurement\), Subj: Class Deviation – Defense Commercial Solutions Opening Pilot Program, 26 June 2018](#)
- [OSD AT&L \(Acquisition Initiatives\) DoD Guidebook for Acquiring Commercial Items, Part A Commercial Item Determination, January 2018](#)
- [OSD AT&L \(Acquisition Initiatives\) DoD Guidebook for Acquiring Commercial Items, Part B Pricing Commercial Items, January 2018](#)
- [P.L. 114-328: NDAA for FY 2017, 23 December 2016](#)
- [P.L. 115-91: NDAA for FY 2018, 12 December 2017](#)
- [Title 10 United States Code 2377, Preference for Acquisition of Commercial Items, 3 January 2016](#)
- [Title 41 United States Code 3307, Preference for Commercial Items, 12 January 2018](#)

## **Chapter 19 – SHOULD COST AND WILL COST MANAGEMENT**

### **19.1 OVERVIEW**

Should Cost management and Will Cost management are a transparent, two-tiered cost, funding, and management approach using two separate estimates, a Will Cost estimate to inform the program/budget process and a Should Cost Management target for program management and execution.

Will Cost estimates and Should Cost targets are required for all ACAT I-IV MS decisions.

### **19.2 SHOULD COST MANAGEMENT (SCM)**

SCM was initiated as part of the Better Buying Power Initiative in 2010. SCM is a strategy for PMs to seek out and eliminate low value-added elements of program cost. SCM applies to all ACATs, life cycle phases, or appropriations.

PMs of all ACAT programs are tasked with identifying Should Cost Initiatives (SCIs). Initiatives can be developed by identifying cost drivers and challenging assumptions and "business as usual" processes, pursuing opportunities for efficiencies; and development of innovative methods to achieve cost savings or cost avoidance. SCIs must be specific, discrete, and measurable in achieving savings to the Will Cost estimate. Should Cost savings (projected or realized) represent the sum of savings generated by each SCI.

### **19.3 SHOULD COST REPORTING**

SCM data is reported in RDAIS and during programmatic reviews. ACAT I-IV programs must update should cost data at minimum in each quarterly RDAIS submission. Each RDAIS update should include a review of SCI status to report realized savings. An SCM status slide is included in the Gate Review template. Programs that have reinvested Should Cost savings within the program should address how these savings were used. Any updates to SCIs or savings in a Gate Review must also be updated in RDAIS to ensure consistency.

### **19.4 WILL COST**

The Will Cost estimate reflects the program of record estimate and informs the budget baseline in order to execute the program under normal conditions, encountering appropriate levels of technical, schedule, and programmatic risk. The Will Cost estimate is developed by using a Cost Analysis Requirements Description (CARD). Programs are expected to actively manage the budget baseline using current Will Cost estimates for all acquisition, budget, and programming decisions. Will Cost estimates will be approved by the appropriate SYSCOM cost estimating organizations for ACAT II and III programs.

### **19.5 TIPS**

- SCIs are expected to have specific actionable content associated with the reductions. Unspecified cost reductions (e.g. broad-based dollar/ percent reductions) against the Will Cost estimate are not valid SCIs.

- Items that require significant up-front investment or a significant change to the program of record (e.g. economic production rates) should not be included as a SCI but should be presented as separate but important excursions for consideration by the DA.
- The Should Cost target is an internal management tool for incentivizing performance to target, and is, therefore, not to be used for budgeting, programming, or reporting outside the department. Thus, Should Cost target documentation must be marked and treated as For Official Use Only.
- Examples of SCIs:
  - Identify items or services contracted through a second- or third-party vehicle. Eliminate unnecessary pass-through costs by considering other contracting options
  - Identify an alternative technology/material that can potentially reduce development or life cycle costs (independent research and development/Lab, etc.) for a program. Ensure the prime product contract includes the development of this technology/ material at the right time
  - Reconstruct the program (government and contractor) team to be more streamlined and efficient
  - Take full advantage of integrated DT and OT to reduce overall cost of testing
  - Integrate modeling and simulation into the test construct to reduce overall costs and ensure full use of National test facilities and ranges
  - Identify opportunities to breakout Government Furnished Equipment versus prime contractor provided items
  - Promote Supply Chain Management to encourage competition at lower tiers
  - Incentivize your contractor to identify and create cost reductions.

## 19.6 REFERENCES

- [ASN\(RDA\) Memo, Subj: Implementation of Should-Cost Management, 19 July 2011](#)
- [ASN\(RDA\) Memo, Subj: Should Cost Management Policy, 10 October 2018](#)

# Chapter 20 – PLANNING, PROGRAMMING, BUDGETING AND EXECUTION

## 20.1 OVERVIEW

The purpose of the Planning, Programming, Budgeting and Execution (PPBE) process is to allocate and manage resources within DoD. Foundational principles that have endured since the adoption of PPBE in the 1960s include:

- Decisions should be based on explicit criteria of national interest, not on compromises among institutional forces;
- Needs and costs should be considered simultaneously;
- Major decisions should be made by choices among explicit, balanced, feasible alternatives;
- SECDEF should have an active analytic staff to provide relevant data and unbiased perspectives;
- A multiyear force and financial plan should project the future consequences of current decisions; and,
- Open and explicit analysis, available to all parties, should be the basis for major decisions.

It is important that PM's and their staffs be aware of the nature and timing of each of the events in the PPBE process as they may be called upon to provide information critical to program funding and success. The USMC planning and programming process is contained in **Figure 20-1**.

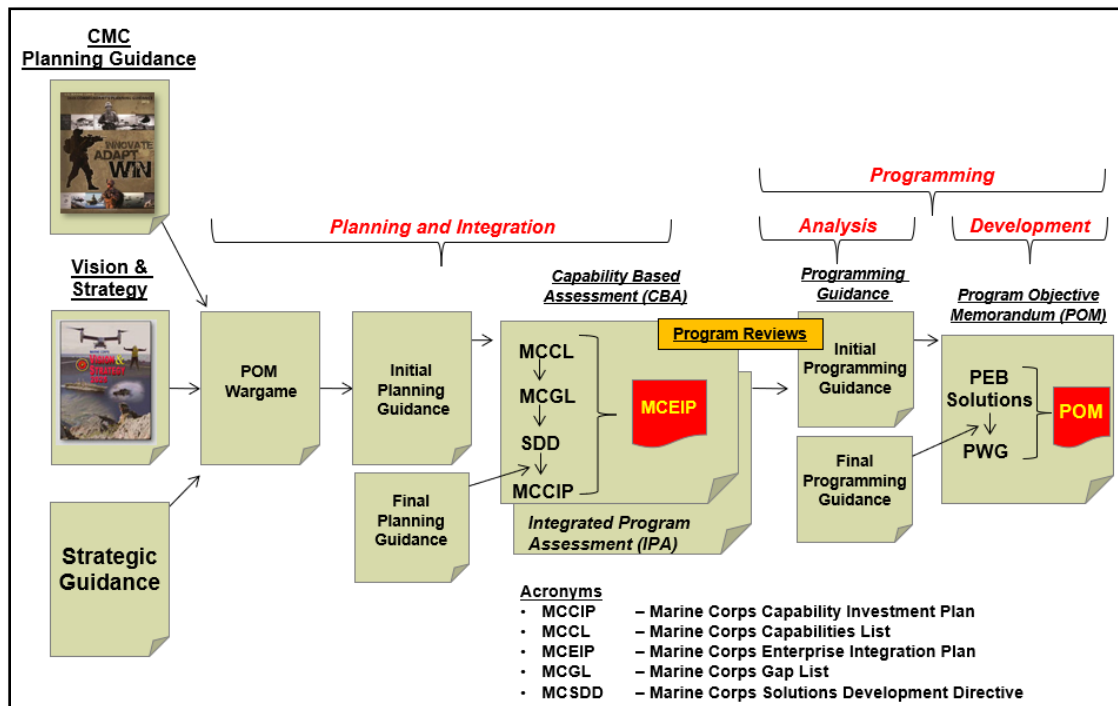


Figure 20-1. USMC Planning and Programming Process

## **20.2 PPBE PHASES**

The PPBE process consists of four distinct but overlapping phases:

### **20.2.1 Planning**

The Planning phase of PPBE is a collaborative effort by the OSD, the Joint Staff, and the DoD components. In this phase, national defense policies, objectives and strategy are defined as a benchmark to assess military capabilities. Planning culminates with issuance of the Defense Planning Guidance (DPG) to shape planning and decisions at the military service level.

DC CD&I executes PPBE Planning for the Marine Corps within the Capability Based Assessment (CBA) process. The Marine Corps Enterprise Integration Plan (MCEIP) is the culminating document of the annual process and informs the programming phase.

### **20.2.2 Programming**

The Programming phase begins with the development of a POM by each military service with the Marine Corps POM rolled into the DoN submit. The Marine Corps POM is a balanced set of programs that responds to OSD, DoN and CMC guidance and priorities. It takes the output from the planning phase published as the Marine Corps Capabilities Investment Plan (Chapter VIII of the MCEIP) and adjusts for executability, fact of life changes, and Final Programming Guidance. When completed, the POM provides a description of the proposed programs, including a time-phased allocation of resources (forces, funding, and manpower) projected five years into the future. Additionally, the military services may have the opportunity to describe important programs not fully funded (or not funded at all), and assess the risks associated with the shortfalls.

After review within the DoN, the Marine Corps POM is incorporated into the DoN POM submit and reviewed by the senior leadership in OSD, the Joint Staff, and the Combatant Commands for adjustment and integration into the overall defense program that will transition to a budget request. These same external stakeholders can nominate issues with the Component POMs that are vetted through issue teams and may propose resource adjustments. If approved, these adjustments are documented in the Program Decision Memorandum (PDM).

The Program Development Branch within the Deputy Commandant for Programs and Resources leads service POM Development through a network of 3-star PEBs and the POM Working Group (PWG). MARCORSYSCOM has representation on the PEBs and PWG. Eighty-eight percent of MARCORSYSCOM resources are worked within the Warfighting PEB with the remaining equity spread across the Training, Sustaining, Installations, Manning and Headquarters PEBs.

### **20.2.3 Budgeting**

The Budgeting phase of PPBE occurs concurrently with the programming review; each DoD Component submits its proposed Budget Estimate Submission (BES) simultaneously with the POM. The budget translates the programmatic view into the format of the congressional appropriation structure, along with associated budget justification documents. The budget is focused on one year, but with considerably more financial details than the POM. Upon submission, each budget estimate is reviewed by analysts from the office of the Under Secretary of Defense (Comptroller) and OMB.

Their review ensures that programs are funded in accordance with current financial policies and are properly and reasonably priced. Proposed budget changes are presented to leadership for review and issued as Resource Management Decisions (RMD). DoD Component BES requests are adjusted to

conform with the RMDs and incorporated into the DoD Future Years Defense Program (FYDP) and BES and submitted to the OMB for inclusion in the President’s Budget request to Congress.

#### **20.2.4 Execution**

The Execution phase is the real-world application of the PPBE process. The execution review occurs simultaneously with program and budget reviews. The execution review provides feedback to the senior leadership concerning the effectiveness of current and prior resource allocations. Over time, metrics are being developed to support the execution review that will measure actual output versus planned performance for defense programs. To the extent performance goals of an existing program are not being met, the execution review may lead to recommendations to adjust resources and/or restructure programs to achieve desired performance goals.

Administering offices, operating budget and sub allocation holders, and fund administrators execute the budget through the signing of contracts, projects orders, work requests, and other funding documents. During execution, program, competency, and comptroller personnel receive and analyze execution data to determine the need for an upward or downward reprogramming of resources to properly align program requirements and resources in accordance with changes in timing, program emphasis, pricing or other determinants of financial requirements.

#### **20.2.5 Audit**

### **20.3 USMC APPROPRIATIONS**

USMC appropriations include the following:

- Military Manpower
  - Military Personnel Marine Corps (MPMC)
  - Reserve Personnel Marine Corps (RPMC)
  - Defense Health (DHAMC/R)
- Investment
  - Procurement Marine Corps (PMC)
  - Research Development Test & Evaluation (RD TEN – USMC executes ground; Navy executes Aviation programs; ONR executes S&T)
  - Procurement Ammunition Navy and Marine Corps (PANMC)
  - Procurement Aviation (APN – Navy executes USMC programs)
  - Weapons Procurement (WPN – Navy executes USMC programs)
- Operation & Maintenance
  - Operation & Maintenance Marine Corps (OMMC)
  - Operation & Maintenance Marine Corps Reserve (OMMCR)
  - Operation & Maintenance Navy (USMC executes flying hours/depot by Navy)
  - Operation & Maintenance Navy Reserve (USMC executes flying hours/depot by Navy)
- Infrastructure (MILCON/Family Housing)
  - Military Construction Navy & Marine Corps (MCON)
  - Military Construction Navy Reserve (MCNR)
  - Family Housing Construction (FHCON)
  - Family Housing Operations (FHOPS)

## 20.4 TOOLS

- [Funds Management Platinum Card – January 2019](#). Provides charts depicting the resource allocation process, life cycle cost components, Congressional budget enactment timetable, appropriation life cycle and below threshold reprogramming.
- Presentation: [Navy Budget PPBE System](#)
- Tutorial: [PPBE Overview](#)

## Chapter 21 – MARCORSYSCOM TOOLS AND GUIDANCE

### 21.1 OVERVIEW

Numerous tools exist to assist the acquisition professional in the performance of their duties. Individual competencies and program offices within MARCORSYSCOM use various tools they find beneficial in the execution of programs, which are not mandated for use. The MAP and the MAG provide guidance on processes and procedures that are unique to MARCORSYSCOM’s implementation of the defense acquisition system. The following tools are mandatory for use on all MARCORSYSCOM programs.

### 21.2 THE ONLINE PROGRAM INFORMATION CENTER (TOPIC)

TOPIC is an authoritative centralized listing and repository that provides accountability and insight into MARCORSYSCOM acquisition programs. It houses information on each program’s mission, ACAT/acquisition phase, program baseline, MS events, technical reviews, tests, and certifications. TOPIC is intended to provide consistent data throughout the chain of command (CoC) and is the primary tool used for responding to inquiries external to MARCORSYSCOM. Details are contained in Chapter 22.

### 21.3 TOOLS MANDATORY FOR USE BUT NOT UNIQUE TO MARCORSYSCOM

**Table 21-1** describes tools that are mandatory for use at MARCORSYSCOM but are also used by other entities.

**Table 21-1. Mandatory Tools**

<u>Tool</u>	<u>Required by:</u>
Procurement Management Tool	MCSCO 4200.2D, “The Procurement Initiation Document Process,” dated 12 July 2017
Contractor Performance Assessment Reporting System (CPARS)	MCSCO 5335.1, “Implementation of the Contractor Performance Assessment Reporting System (CPARS),” dated 16 April 2018
DoN Application and Database Management System (DADMS) and the DoN variant of the Department of Defense (DoD) IT Portfolio Repository (DITPR-DoN)	SECNAVINST 5230.15, “Information Management/Information Technology Policy for Fielding of Commercial Off the Shelf Software,” 10 April 2009  DoN CIO Web site <a href="http://www.DoNcio.navy.mil/TagResults.aspx?ID=22">http://www.DoNcio.navy.mil/TagResults.aspx?ID=22</a>
ASN(RDA) Information System (RDAIS)	SECNAVINST 5000.2F, Enclosure 3, 13  ASN(RDA) memo, “Updated Policy for Input of Programmatic Information into RDAIS,” dated 27 September 2016  ASN (RD&A) memo, “Updated Policy for Input of Programmatic Information into the RDAIS,” dated 27 August 2014.  Refer to the Chapter 22, Program Reporting, for details.
Clinger-Cohen Act (CCA) Compliance E-Tool	DoDI 5000.2, with change 3, “Operation of the Defense Acquisition System”, dated 10 August 2017



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Services Requirement Review Board	Title 10 Section 2330 a ASN RDA Memo, “Service Requirements Review Board Guidance”, dated 13 April 2012
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## 21.4 REFERENCES

- [ASN \(RD&A\) Memo, Service Requirements Review Board Guidance, 13 April 2012](#)
- [ASN \(RD&A\) Memo, Updated Policy for Input of Programmatic Information into the RDAIS, 27 August 2014](#)
- [ASN\(RDA\) Memo, Updated Policy for Input of Programmatic Information into RDAIS, 27 September 2016](#)
- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, 7 January 2015 with Change 4, 31 August 2018](#)
- [DoDI 5000.02, w/ch3, Operation of the Defense Acquisition System, 10 August 2017](#)
- [Marine Corps Systems Command Order 4200.2D, The Procurement Initiation Document Process, 12 July 2017](#)
- [Marine Corps Systems Command Order 5000.3B, Implementation of MARCORSYSCOM Acquisition Tools, 14 August 2015](#)
- [Marine Corps Systems Command Order 5335.1, Implementation of the Contractor Performance Assessment Reporting System \(CPARS\), 16 April 2018](#)
- [Secretary of the Navy Instruction 5000.2F, Defense Acquisition System and Joint Capabilities Integration and Development System Implementation, 26 March 2019](#)

## Chapter 22 – PROGRAM REPORTING

### 22.1 THE ON-LINE PROGRAM INFORMATION CENTER (TOPIC)

TOPIC is the authoritative data source for MARCORSYSCOM acquisition program information and serves as the authoritative centralized acquisition program information database within the Command. TOPIC is a web-enabled repository of approved acquisition and program management data. The information in TOPIC is used to generate reports and status information for COMMARCORSYSCOM and higher and adjacent Commands. This information also serves as a consolidated Command reporting tool for PMs, Competency Leaders, Command Executives, and other Commands/Headquarters that require insight into specific program information.

All programs shall be entered into TOPIC as directed by MCSCO 5000.3B. A major goal of TOPIC is to ease the burdensome reporting requirements that PMs will continue to encounter. As such, it is imperative the following data in is accurate and current in TOPIC:

**Table 22-1. TOPIC Program Management Content**

<b>Program Management</b>			
Program Name	Lead Service	Universal Need Statement	Portfolio Manager
Program Acronym	Milestone Decision Authority (MDA)	Acquisition Decision Memos	Program Manager
ACAT Level	Program Decision Authority (PDA)	Milestone	Team Lead
Acquisition Phase	Organization	Title	Marine Corps Program Code
Description	Date of Last LCCE	Date approved	Table of Authorized Material Control Number

Note: Information in this section is maintained by the program office. When populating the required information in this section of TOPIC. Notify OPS&PROG, Operations Division if a Table of Authorized Materiel Control Number (TAMCN), or name for PM, Team Leader, or Project Officer cannot be found. This information will be added to the drop-down menu. However, no TAMCN should be added to TOPIC that has not been formally established in the Total Force Structure Management System (TFSMS) database.

#### 22.1.1 MS Events / Approved APBs

The MS Events section and corresponding APBs supporting the exhibit is maintained and updated by the OPS&PROG, Operations Division based upon their receipt of signed/approved APBs and correlating ADMs demonstrating completion of the events depicted in the APB. To upload an approved APB, use the link “Submit a signed ADM or APB” located on the front page of TOPIC.

Note: APBs are required for ALL acquisition programs by the time the program has reached MS B until the program has entered O&S Phase. APBs are to be updated for each MS review.

### **22.1.2 Engineering**

The Engineering section within TOPIC is jointly maintained between the Deputy Commandant for Systems Engineering and Logistics (DC SEAL) and the Program Office Staff and includes the following information:

- Systems/Applications Information
- Technical Review Events
- Safety Related Events
- Authority-to-Operate (ATO) Events
- Joint Interoperability Certification (JIC) Events
- Test & Evaluation Events
- Integrated Logistics Assessments (ILAs)
- Production Schedules

### **22.1.3 Contracting and Procurement**

This section should identify the major contract efforts that support the acquisition program. In most cases this will entail the identification of Prime contractors, or major contributing contracts that are critical for program performance success / accomplishment. This section is maintained by the Program Office and includes the following information:

- PIID (Procurement Instrument Identification)
- Description
- Program
- CPARS Complete
- Contract Type
- CPARS Date
- Prime Contractor

### **22.1.4 Editing Rights**

When a new project officer is assigned to a program, or a new program is stood up, it is imperative that the project office contact OPS&PROG, Operations Division immediately to be given editing rights to their appropriate programs. TOPIC is readable by all in the command, but editing is strictly controlled. APM-PMs and Team Leads should be involved in the discussion to see if they should also be listed for editing rights.

## **22.2 ASSISTANT SECRETARY OF THE NAVY (ASN) RESEARCH DEVELOPMENT & ACQUISITION INFORMATION SYSTEM (RDAIS)**

### **22.2.1 Overview**

RDAIS serves as the authoritative source for programmatic information for all DoN managed ACAT I-IV programs and AAPs (Service Category programs excluded) in an active status. RDAIS is designed to streamline both data collection and exposure by providing a consistent interface throughout the DoN, to include Program Offices, Systems Commands, Program Executive Offices, Deputy ASNs and ASN (RDA) staff, and stakeholders.

### **22.2.2 Applicability and Reporting Requirements**

Upon approval of the initial ACAT I-IV or AAP designation, a program enters into an active status and will be subject to RDAIS reporting requirements. The program remains active under the following conditions:

- The program has NOT achieved FOC and has NOT delivered greater than 90% of its total quantity.
- The program has NOT expended greater than 90% of total program cost as defined in the APB.

The Program Manager for any ACAT I-IV program or AAP will ensure that DASN (M&B) is notified in writing of:

- The ACAT or AAP designation (or redesignation) within 10 working days after its approval;
- The program's entry into the acquisition process within 10 working days after the DA authorizes it.

The APfM-PM or APM-PM may request a program cease reporting when the program becomes inactive i.e., following conditions have been met:

- The program has achieved FOC and delivered greater than 90% of its total quantity.
- The program has expended greater than 90% of total program cost as defined in the APB.

See the RDAIS Guidebook on VIPER for additional information. Any questions regarding the process and policy for RDAIS reporting at MARCORSYSCOM should be directed to OPS&PROG, Programs Division.

### **22.3 TOOLS**

- [TOPIC User Guide](#) – Available on the MAP

### **22.4 REFERENCES**

- [ASN \(RD&A\) Memo, Updated Policy for Input of Programmatic Information into the RDAIS, 27 August 2014](#)
- [ASN \(RD&A\) Memo, Updated Policy for Input of Programmatic Information into RDAIS, 27 September 2016](#)
- [Marine Corps Systems Command Order 5000.3B, Implementation of MARCORSYSCOM Acquisition Tools, 14 August 2015](#)
- [Secretary of the Navy Instruction 5000.2F, Defense Acquisition System and Joint Capabilities Integration and Development System Implementation, Enclosure 3, Paragraph 13 26 March 2019](#)

## **Chapter 23 – ACQUISITION SECURITY**

### **23.1 OVERVIEW**

Acquisition Security (ACQSEC) is a major consideration when achieving comprehensive program and system protection within the constraints of cost, schedule, and performance. PMs and other acquisition personnel must weigh these competing priorities while maintaining an acceptable level of risk. Unlike other Technology Protection (TP) or system security, ACQSEC unifies disparate protection efforts within MARCORSYSCOM to assist acquisition programs in delivering capabilities, technologies and weapon systems uncompromised by our adversaries and secure from conception to demilitarization.

PMs are responsible for ensuring that program capabilities “arrive uncompromised” to the warfighter.

ACQSEC takes a holistic approach to protecting the warfighter’s advantage by focusing on:

- Protecting Classified Military Information, Controlled Unclassified Information (CUI), and other critical information from public release (Operations Security);
- Identification and documentation of original classified program information (Security Classification Guide (SCG));
- Identifying specific threats to each system that supports an accurate risk assessment (Threat Assessment);
- Identification of Critical Program Information (CPI), components and functions (Criticality Analysis);
- Assisting with the identification of FAR and DFAR security specific verbiage for each program’s statement of work (Supply Chain Risk Management);
- Providing guidance on the development of the DoD Contract Security Classification Specification (DD Form 254) for all classified contracts (Industrial Security);
- Assist the Program Office Protection Lead (POPL) in the development of the Program Protection Plan (PPP) used by PMs in the management of risks to their programs (Program Protection Planning); and
- Implementation of security best practices in daily operations.

### **23.2 OPERATIONS SECURITY (OPSEC)**

OPSEC focuses on keeping program information to include CUI controlled technical information and other critical information protected. Good OPSEC procedures make it more difficult for our adversaries to easily gain access to program information. An OPSEC plan identifies what program information should be protected, and how best to protect it.

Often the protection of sensitive information is an afterthought and only addressed later in the life cycle process, but normally not before some critical program information has been published, often on websites or in social media. The development of an OPSEC plan that focuses on the protection of sensitive program information should be considered from the point of program inception and must be included as an appendix in the PPP.

The Critical Information List (CIL) identifies unclassified information which requires safeguarding and is a key component of any successful OPSEC Plan. The MARCORSYSCOM CIL is heavily weighted towards current and emerging technology and retaining a competitive advantage in materials and equipment systems.

### **23.3 SECURITY CLASSIFICATION GUIDE (SCG)**

An SCG is the written record of an original classification decision or series of decisions made by the Original Classification Authority (COMMARCORSYSCOM) regarding a system, plan, program, project, or mission. SCGs should be updated as appropriate. However, a review every five (5) years is mandatory. The program office is responsible for establishing and promulgating security classification guidance to the Government and contractor teams. SCG reviews and updates should occur as early as possible and throughout the life cycle of the program if the program creates classified information under the cognizance of COMMARCORSYSCOM or significant program changes are made.

### **23.4 THREAT ASSESSMENT**

Understanding the threats posed by adversaries is an important part in the overall risk assessment to your program(s). Your security representative and the intelligence community can provide tailored threat pictures to better help your PM and program personnel in understanding the capabilities and intent of adversaries and near-peers. Threat assessments can come in the form of a program specific VOLT report and as a briefing to your program's personnel. These products can provide insight and enhance the ability of the program to make informed decisions which can positively impact the direction of the program.

### **23.5 CRITICALITY ANALYSIS**

Criticality analysis is the means by which programs identify, protect, and monitor CPI and Critical Components and/or Functions (CC/CF). This analysis should be conducted early and reassessed throughout the life cycle of the program. The criticality analysis for CPI and CC/CF are two separate and distinctly different processes, but both are designed to achieve the same result – that is to identify those capabilities that are necessary for U.S. technological superiority.

At MARCORSYSCOM, CPI and CC/CF identification is conducted by the CPI Integrated Product Team Working Group, chaired by the program POPL, utilizing the Technology Protection (TP) tool listed below in the Tools section of this chapter.

#### **23.5.1 Critical Program Information (CPI) Identification**

CPI identification is conducted to determine if organic CPI (CPI owned by your program) and/or inherited CPI (CPI owned by another organization but incorporated into your program/system) exists in the current system or will exist in the operational/deployed system.

An ACQSEC Best Practice, when trying to determine if your program has CPI, ask yourself the following questions, "If compromised could it:

- Cause significant degradation in mission effectiveness;
- Shorten the expected combat-effective life of the system;
- Reduce technological advantage;
- Significantly alter program direction; or
- Enable an adversary to defeat, counter, copy, or reverse engineer the technology or capability."

An affirmative answer to any of the above questions qualifies that element/component as CPI.

### **23.5.2 Critical Components and/or Functions (CC/CF) Identification**

Determining CC/CF is done through the decomposition of mission(s) derived from the ICD into critical function(s); the mapping of those critical function(s) to supporting the component(s); and then correlating the impact of the component(s) failure to the critical function(s) and assigning a criticality level. The four criticality levels are:

**Level 1 (Failure)**: function/component failure results in total compromise of mission capability

**Level 2 (Critical)**: function/component failure results in unacceptable compromise of mission capability or significant mission degradation

**Level 3 (Marginal)**: function/component failure results in partial compromise of mission capability or partial mission degradation

**Level 4 (Negligible)**: function/component failure results in little or no compromise of mission capability

## **23.6 SUPPLY CHAIN RISK MANAGEMENT**

Supply Chain Risk Management (SCRM) is a systematic process for managing supply chain risk by identifying susceptibilities, vulnerabilities and threats throughout the supply chain. PMs can manage this risk by developing mitigation strategies and countermeasures that reduce the likelihood of malicious insertion or counterfeit components to their program(s). Preventing unwanted parts from entering the supply chain can reduce the overall cost and avoid negative impacts to program schedule and performance.

## **23.7 INDUSTRIAL SECURITY**

The National Industrial Security Program, established by Executive Order 12829, ensures that the cleared U.S. defense industry safeguards the information (both classified and unclassified) in their possession while performing work on contracts, programs, bids, or research and development efforts. Programs utilize a DD Form 254 to identify the security requirements for the work to be performed during a contract. Failure to correctly identify security requirements in the Performance Work Statements (PWS), SOW, and DD Form 254 can negatively impact a program's acquisition security, cost, schedule, and performance during the period of the contract. By developing an accurate PWS, SOW and DD Form 254 early on, these negative impacts can be minimized.

## **23.8 PROGRAM PROTECTION PLANNING**

Program Protection Planning consists of more than simply creating a Program Protection Plan (PPP). While programs should work to develop a PPP to document current and ongoing program protection efforts, the process must not stop until demilitarization. Protection planning involves continuously monitoring and assessing a program throughout its life cycle in order to adequately: determine criticality; assess new and emerging threats; identify vulnerabilities; and implement countermeasures in order to reduce risk and maintain the technological advantage of the warfighter. ACQSEC can support

MARCORSYSCOM program(s) in achieving these objectives by focusing on two basic principles-(1) keeping bad things out (Supply Chain Risk Management), and (2) keeping good things in (OPSEC, SCG).

### **23.8.1 Program Protection Plan (PPP)**

SECNAVINST 5000.2F directs that all PMs will employ system security engineering practices and prepare a PPP to guide their efforts and the actions of others to manage the risks to critical program information and mission-critical functions (CF) and components associated with the program. The PPP will be submitted for DA approval at each program MS review. The PPP is a regulatory document.

### **23.8.2 Scope**

DoDI 5000.02; 7 Jan 2015, Enclosure 3, Section 13.b states a PPP covers the product life cycle, including design, development, DT and OT, operations, sustainment, and disposal. Although many MARCORSYSCOM programs fielded systems before the PPP requirement, or while Abbreviated PPPs (APPPs) were authorized, programs should consider the benefits of developing a PPP. There may be threats to programs which should still be identified.

The MARCORSYSCOM TP process utilizes the POPL to work through the completion of the PPP. The process uses the TP tool, the latest of which can be downloaded from the TP process support folder at the link below in the tools section along with PPP templates and references. POPLs are assigned at the PM/Team Leader level, depending on the PMM structure. A list of each PM/Team Leader POPL can be found there as well.

### **23.8.3 Program Protection Plan Requirements**

The PPP should be started 3-12 months before a program milestone, depending on the size and complexity of the program. Below is an overview of the sections and appendixes of a PPP and what is required to complete each.

- Sections 1.0 & 2.0

These sections include system description, responsibilities, and schedule. The schedule should include TP events such as CPI identification and PPP completion. It can be written with existing program information and should be completed early and updated as required.

- Section 3.0. Critical Program Information (CPI) and CC.

After completion of the CPI identification process and Criticality Analysis, this section identifies CPI whether developed by the program or inherited from another. The CPI process must be conducted with support from SEAL TP and utilizes the TP tool. All programs must identify CPI and reassess throughout per DoDI 5200.39; 28 May 2015. The CPI identification process could take between 1-6 months, depending on the size and complexity of the program. The Criticality Analysis is conducted after the CPI identification is determined. The Criticality Analysis tables are included in Appendix C of the PPP.

- Sections 4.0 through 11.0

Most of the information in these sections can only be completed after the CPI identification and Criticality Analysis processes. The identified CPI and CC, if any, drive the rest of the Program Protection Plan requirements.

- Appendix A: Security Classification Guide (SCG)



Inclusion of current program SCG or reference to which SCGs the program falls under. The SCG process is supported by the MARCORSYSCOM security office.

- Appendix B: Counterintelligence Support Plan (CISP)

Most MARCORSYSCOM programs do not require an individual CISP, however, that determination is made by NCIS.

- Appendix C: Criticality Analysis (CA)

Programs that are considered a National Security System are required to conduct a Criticality Analysis (CA). As a general rule, if your program passes information over networks, a CA is required. The CA is part of the TP tool and can be completed quickly in less than a month. Results of the CA feed Section 3 of the PPP and Level I/II components are sent to DIA for a threat analysis request. The threat analysis can take up to a year to complete but will not hold up the PPP. The PPP can be updated once any threats from DIA are identified.

- Appendix D: Anti-Tamper Plan

If your program requires an Anti-Tamper plan it will have to be approved by the DoN Anti-Tamper Technical Authority at Naval Air Systems Command (NAVAIR). Although only a handful of MARCORSYSCOM programs require an Anti-Tamper plan, this decision is made after the CPI identification process in conjunction with SEAL TP. As a general rule, if your program is not developing new technology, it will not require an Anti-Tamper plan approved by NAVAIR.

- Appendix E: Acquisition Information Assurance (IA) Strategy (Cybersecurity)

This document is a standalone statutory requirement and is supported by the SEAL Cyber Team.

## **23.9 CYBERSECURITY**

Beginning at MS A, the TEMP will document a strategy and resources for cybersecurity T&E. At a minimum, SW in all systems will be assessed for vulnerabilities. Mission critical systems or mission CFs and components will also require penetration testing from an emulated threat in an operationally realistic environment during OT&E.

Beginning at MS B, appropriate measures will be included in the TEMP and used to evaluate operational capability to protect, detect, react, and restore to sustain continuity of operation. The TEMP will document the threats to be used, which should be selected based on the best current information available from the intelligence community. The PM, T&E SMEs, and applicable certification stakeholders will assist the user in writing testable measures for cybersecurity and interoperability.

The PM and OTA will conduct periodic cybersecurity risk assessments to determine the appropriate Blue/Green/Red Team, and operational impact test events in alignment with the overall test strategy for evaluating the program for real world effects. DBS' will undergo Theft/Fraud operational impact testing.

In April 2015, DC, CD&I established the Marine Corps Cyber Task Force (MCCTF) to overhaul the Marine Corps' approach to Cyber warfare. The MCCTF directed Marine Corps Cyber stakeholders to

seek disruptive improvements, and it specifically tasked MARCORSYSCOM to improve Cyber acquisition responsiveness. COMMARCORSYSCOM issued a decision memorandum dated, 15 September 2015, which identified specific tasks to accomplish this objective. One of the tasks was to create a rapid Cyber response acquisition process with necessary authorities and adequate resources to address validated Emergency and Urgent Cyber requirements. For specific guidance on MARCORSYSCOM specific Rapid Cyber Acquisition Process and Flowchart reference ([Enclosure 23-1](#)).

## 23.10 TIPS AND TOOLS

### 23.10.1 Tips

- Security Best Practices. With acquisitions focusing on streamlining processes in an effort to field gear to the warfighter at an accelerated pace, there is a stigma that implementing security and enhanced protection controls will negatively impact a program’s cost and schedule. While PMs may view security concerns as a speed bump or an unnecessary hurdle they must overcome, the intent is to support the PM by putting measures in place to allow your program to reach initial operational capability and “arrive uncompromised.” By planning and thinking proactively, PMs can successfully integrate additional protections into their program(s) with minimal impact on cost and schedule. These decisions made early in the life cycle can radically enhance the security posture throughout a program’s maturity.
- The overall security of a program can be improved with minimal impacts on staffing resources; program cost; and schedule by implementing any of the recommended best practices listed below:
  - Consulting security when entering into the source selection process. Security can reference the Defense Security Service (DSS) Industrial Security Facility Databases to determine if the vendor(s) being considered have the appropriate Facility Clearance Level (FCL) to conduct the work that they are bidding on. This simple check can avoid having to wait up to 12 months for the vendor to receive their FCL accreditation through DSS before commencing any contracted work.
  - Inserting contract language into contracts that require contractors and their subcontractors to use only gear purchased directly from Original Equipment Manufacturers (OEMs). This can negate the likelihood of counterfeit or gray market items from being inserted into program(s).
  - Requesting that transportation security (i.e. tamper tape, serialized tags, etc.) be used when shipping or transporting program equipment or gear. This is a low-cost, yet highly effective way of maintaining integrity of program items in transit. Transportation security can be requested by the program office as a deliverable on the SOW.
  - Require vendors provide a breakout of their supply chain as a deliverable in the PWS or SOW. It should be requested that the breakout be updated annually or as suppliers change. This can further support the program engineer’s Configuration Control Board (CCB) effort.
  - Use blind buys to contract for CC.

- Encourage CORs and Contracting Officers (KOs) to document security compliance and issues during the performance of a contract. It is important to future government efforts that security issues are input into the CPARS.
- Avoid using integrated circuits or microelectronics that are obsolete or have a forecasted likelihood of obsolescence during the program’s life cycle. The likelihood of an aftermarket integrated circuit or microelectronic being counterfeited is substantial and highly targetable.
- Utilize encryption techniques to protect sensitive information, both data at rest and in-transit over unclassified networks. Encrypt all e-mail messages containing critical information (e.g. items identified on the MARCORSYSCOM CIL, CUI that provides indications of limitations, technological advances, gaps, or shortfalls, etc.)

### 23.10.2 Tools

- [Technology Protection \(TP\) Tool Version 2.5, December 2018](#)

### 23.11 REFERENCES

- [Defense Acquisition Guidebook – Chapter 8.4.6, 2 November 2017](#)
- [Department of Defense Instruction 5000.02, Operation of the Defense Acquisition System, 7 January 2015 with Change 4, 31 August 2018](#)
- [Department of Defense Instruction 5200.01, DoD Info Security Program and Protection of Sensitive Compartmented Information, 9 October 2008](#)
- [Department of Defense Instruction 5200.39, CPI Identification and Protection within RDT&E, 17 November 2017](#)
- [Department of Defense 5200.1-M, Acquisition Systems Protection Program, 16 March 1994](#)
- [Department of Defense 5200.1ph, DoD Guide to Marking Classified Documents, April 1997](#)
- [Department of Defense 5200.1-r, Information Security Program, January 1997](#)
- [Marine Corps Intelligence Activity \(MCIA\) Intel Guide, June 2016](#)
- [Program Protection Plan Outline and Guidance, July 2011](#)

## Chapter 24 – INTELLIGENCE MISSION DATA DEPENDENCY

### 24.1 SCOPE AND APPLICABILITY

Intelligence Mission Data (IMD) dependency screening is required for all programs (to include all ACATS, AAPs, legacy programs and modifications to existing programs) at all milestones. This shall be documented in the acquisition strategy/acquisition plan and captured in TOPIC.

### 24.2 IMD DEPENDENCY

In general, a program is IMD dependent if it uses software and its sensor or information system relies on intelligence data used for the design, development, testing of sensors or models, and can test autonomously without "a man in the loop". DoD Directive 5250.1, Management of Intelligence Mission Data (IMD) in DoD Acquisition, 22 January 2013, establishes requirements for management of IMD in DoD acquisition. It defines an IMD-dependent program as: *“Any acquisition program that will require IMD (e.g., programs that carry out combat identification, intelligence, surveillance, and reconnaissance, and targeting using, but not limited to, signatures, electronic warfare integrated reprogramming, order of battle, characteristics and performance and geospatial intelligence.)”*

The following questions will assist programs in determining IMD dependency. If the Program Manager provides a 'Yes' response to any of the below questions further evaluation is needed to determine if a program is IMD dependent. In this case, contact the Intelligence Mission Data Center (IMDC) ([imcd\\_lmdp\\_support@dodis.mil](mailto:imcd_lmdp_support@dodis.mil)) or contact the Intelligence Liaison Officer (ILO) for assistance.

1. Does the Program/System/Subsystem require software to perform its designated functions within the platform, system and/or support equipment?
2. Does the software enable automated functionality without human interface?
3. Does the Program/System/Subsystem require modeling and simulation of threat systems to develop, test, train or maintain the system?
4. Does the Program/System/Subsystem training requirements use real world threat systems or geographic locations?
5. Has the Program Office identified developmental testing (DT) or operational testing (OT) requirements to be carried out in a simulated operationally representative environment?

### 24.3 LIFE CYCLE MISSION DATA PLAN (LMDP)

DoD Directive 5250.1 requires development of a LMDP for programs determined to be IMD dependent. The LMDP replaces what was formerly known as the Life Cycle Signature Support Plan (LSSP). The LMDP documents program intelligence data needs across the program life cycle and enable the MDA to make risk informed decisions based on cost and availability of IMD. It also enables the Intelligence Communities to prioritize and allocate resources. The LMDP Guidebook and Templates is available on the MAP.

Defense Acquisition Guidebook (DAG) Chapter 4.3.18.12, Chapter 8 Intelligence Analysis Support and DIA IMDC SharePoint site provide additional information on IMD and LMDP.

#### **24.4 INTELLIGENCE LIASON OFFICER (ILO)**

The ILO was established in 2018 and provides direct support to the Command, Staff, and program offices with intelligence support to acquisition programs. The ILO can help support the coordination and facilitation on intelligence information exchanges with the Intelligence Communities.

#### **24.5 TOOLS**

Life Cycle Mission Data Plan Guidebook and Templates, Version 2.0, 25 April 2013

#### **24.6 REFERENCES**

[DoD Directive 5250.1, Management of Intelligence Mission Data \(IMD\) in DoD Acquisition, 22 January 2013](#)

## Chapter 25 – RISK AND OPPORTUNITY MANAGEMENT

### 25.1 RISKS, ISSUES AND OPPORTUNITIES

Risk management is a fundamental project management function. Effective risk management requires the regular participation of all competencies and stakeholders. It is a best practice that the PM develop a Risk Management Plan (RMP) and charter a [Risk Management Board \(RMB\)](#) to execute the five phases of risk management. Further guidance can be found in MCSCO 5000.3, *Naval SYSCOM Risk Management Policy*. provides an overview of potential sources of risks, issues, and opportunities.

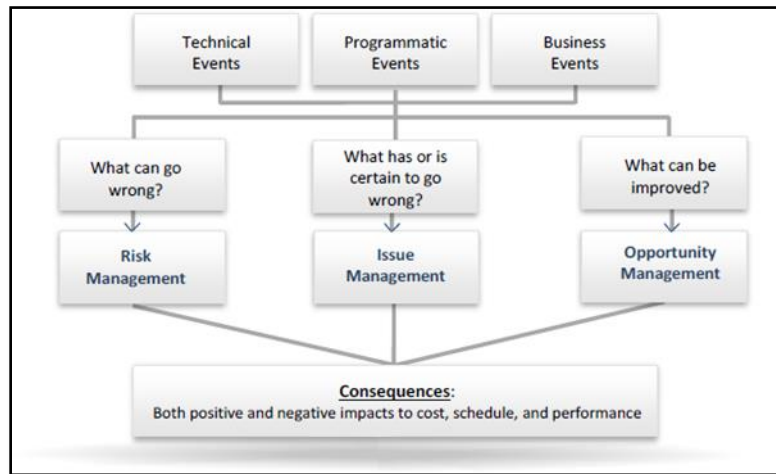


Figure 25-1. Overview of Potential Sources of Risks, Issues and Opportunities

#### 25.1.1 Risks

Program risks are future uncertainties relating to achieving program deliverables within program cost, schedule, and technical performance constraints. Risk is defined by a two-part, if-then statement: If some event or condition occurs, then a specific negative impact or consequence to program objectives will result. For example, “If the 90 percent of target power level achieved by the existing ram air turbine design during the TMRR phase cannot be improved, then reduced jammer effectiveness may result.”

Risks have three components:

- A future root cause (yet to happen), which, if eliminated or corrected, would prevent a potential consequence from occurring,
- A probability (or likelihood) assessed at the present time of that future root cause occurring, and
- The consequence (or effect) of that future occurrence.

A future root cause is the most basic reason for the presence of a risk. Accordingly, risks should be tied to future root causes and their effects.

is a risk reporting matrix that is generally developed capturing all program risk likelihoods and consequences.

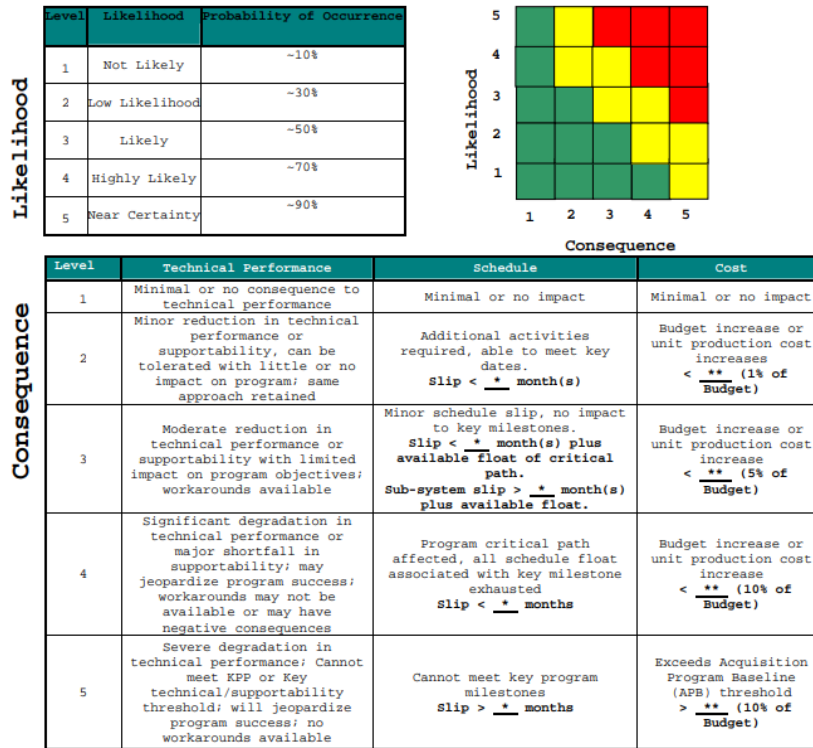


Figure 25-2. Risk Reporting Matrix and Criteria

### 25.1.2 Issues

Issues are events or conditions with negative effect that have occurred (such as realized risks) or are certain to occur that should be addressed.

### 25.1.3 Opportunities

Opportunities have potential future benefits to the program’s cost, schedule, and/or performance baseline. Risk and opportunity management support Better Buying Power (BBP) initiatives to achieve should-cost objectives. Sources of opportunities include system and program changes that yield reductions in total ownership cost. For example, adherence to a modular open systems approach or securing appropriate government rights to a technical data package can offer opportunities in sparing and competition for modifications. These cost reductions can be in research, development, test, and evaluation (RDT&E), production, and operations and maintenance (O&M) dollars throughout the life cycle. Short-term gains with long-term negative consequences are usually not opportunities or appropriate should-cost initiatives.

## 25.2 TIPS AND TOOLS

### 25.2.1 Tips

- Risk activities should be included in the program IMP and IMS and resourced appropriately in the IMS.
- For PMRs and MS/Decision Points, a Risk Reporting Matrix and Risk Burn Down charts are required.

- PMs should consider contracting for value management (e.g., Value Engineering Change Proposals) and incentives to encourage pursuit of opportunities. PMs should also encourage opportunities with small improvements that can be obtained with minor effort and without program disruption. Aggregation of multiple smaller benefits may accrue to a larger program benefit. Programs should consider ways to create incentives for vendors to recognize and pursue or recommend opportunities. MCSCO 3912, “*Value Engineering*,” dated 14 April 2009 provides additional information

### 25.2.2 Tools

- [Project Recon](#) - A web-based tool owned by the US Army Tank Automotive Research Development and Engineering Center (TARDEC) that enables DoD organizations to capture, manage, and link project/program Risks, Issues, and Opportunities in a centralized database. The tool provides a consistent approach to managing data with security features built in to guarantee confidentiality of information.
  - Project Recon is designed to be used by all PMOs, Integrated Project Teams and any other groups performing risk management and is available for use via the OPS&PROG, Operations Division.

### 25.3 REFERENCES

- [Department of Defense Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs, January 2017](#) (provides details on risk activities per program phase)
- [Marine Corps Systems Command Order 3912, Value Engineering, 14 April 2009](#)
- [Marine Corps Systems Command Order 5000.3, Naval SYSCOM Risk Management Policy, 6 June 2008](#)



## **Chapter 26 – ADDITIVE MANUFACTURING**

### **26.1 OVERVIEW**

There are several definitions of Additive Manufacturing (AM), and several different technologies that can implement it. Basically, AM--also known as 3D printing--uses data computer-aided-design (CAD) software or 3D object scanners to direct hardware to slowly deposit polymers, strands, powders, liquids, and other feedstock in precise geometric shapes at a granular or even molecular level and to, layer by layer, build up a part, component, or item. This is in contrast to traditional subtractive manufacturing process where material is removed from a base structure to create a finished product. As such, AM can create end products that would be impossible to make using traditional manufacturing.

The Marine Corps has made a significant investment in AM over the past few years, to include conducting construction robotic proof of concept demonstrations, establishing Programs of Record (Tactical Fabrication and Expeditionary Fabrication), creating AM Training Centers and Marine Maker Innovation Labs at various installations, and establishing standardized training levels for AM. The desired end state is to leverage AM to the maximum extent to reduce maintenance cycle times, supply chain backlogs, and place manufacturing capabilities at or near the point of need.

Regardless of where a program is in its acquisition life cycle, AM can help PMs address weapon system performance and readiness issues, supply chain disruptions, and DMSMS for legacy systems. PMs should consider AM when developing an acquisition strategy, contracting strategy, and sustainment strategy for all programs. See the MARCORSSYSCOM Additive Manufacturing Guide for more detailed information and suggestions for use of AM by PMOs.

### **26.2 TIP AND TOOLS**

#### **26.2.1 Tips**

- In systems acquisition there are few "absolutes". This statement holds true when considering AM in an acquisition – “it depends”.
- Data are key in AM and obtaining the data requires a sound business decision and legal considerations.
- AM is relevant to new acquisitions and sustainment of fielded capabilities.
  
- Be aware of AM advantages and disadvantages.
- Be cognizant of intellectual property and data rights – when in doubt consult legal.
- AM - make a business case.
- Need a better understanding of AM, contact the Advanced Manufacturing Operations Cell (AMOC) located within OPSPROG G-3.

### 26.2.2 Tools

- For additional AM information on specific topics, contact the AMOC located within OPSPROG G-3.
- The below references provide more in-depth details on AM across the life cycle.

### 26.3 REFERENCES

- [MCO 4700.4 Additive Manufacturing Policy](#)
- [MARCORSYSCOM Additive Manufacturing Guide](#)
- [DoN AM Contracting and Acquisition Guide](#)
- [SIAT-HDBK-001, MCSC Systems Engineering Technical Reviews \(SETR\) Handbook, 6 Aug 2014](#)

## **Chapter 27 – BIRTH RECORD ACCOUNTABILITY**

### **27.1 – OVERVIEW**

All General Equipment (GE) accepted by the Command must be accounted for in one of two approved Accountable Property System of Records (APSRs); Global Combat Support System Marine Corps (GCSS-MC) or Defense Property Accountability System (DPAS). The Management Control Activity (MCA) maintains oversight to ensure policies, processes, procedures and internal controls pertaining to property acquired by MARCORSYSCOM, and supported PEOs are followed.

Property accountability is divided into two primary categories; Capital Asset - General Equipment whose acquisition/procurement cost is equal to or greater than \$100K, Non-Capital Asset - General Equipment whose acquisition/procurement cost is less than \$100K.

There are seven birthing processes that establishes the initial accountability record of equipment:

- New Capital Asset Entry
- Non-Capital Assets
- Using Unit Equipment Off Property
- Using Unit Serial Number Discrepancy
- Depot Modification
- Using Unit Integration/Modification
- Temporary Storage Project

Adherence to the processes is essential to ensure the initial induction of equipment into a Marine Corps APSR is accomplished. The processes are illustrated in flow charts in Appendix E, Enclosures 1-7 of the MARCORSYSCOM Birth Record Accountability Guide located on VIPER. The processes provide PMs with general knowledge of process inputs and outputs, and actions to effectively birth equipment prior to fielding. Additionally, Enclosure 8, Capital Asset Modification Form, will be used to capture modified or integrated activities that change the National Item Identification Number or serial number of previously birthed GE preventing errant birthing as a new acquisition.

The MARCORSYSCOM and Affiliated PEOs Key Supporting Document (KSD) Guidebook for General Equipment, located on VIPER, provides KSD and reporting requirements associated with the receipt/ acceptance and birthing of new GE to ensure Financial Improvement Audit Readiness compliance.

### **27.2 TIP AND TOOLS**

#### **27.2.1 Tips**

- See the MARCORSYSCOM Birth Record Accountability Guide (website pending release) for more detailed information and guidance in selecting the appropriate APSR.
- If you have any questions, please contact the AC/S G-4/ Enterprise Property (EP) via the Property Accountability Shared Mailbox (MCSC\_MCA\_PA@usmc.mil).

#### **27.2.2 Tools**

- The below references provide more in-depth details on equipment birthing, accountability, and guidance in selecting the appropriate APSR.

### 27.3 REFERENCES

- [MARCORSYSCOM 4400.201, 17 July 2017](#)
- MARCORSYSCOM Birth Record Accountability Guide (final version in development by MCSC MCA)
- Key Supporting Document Guidebook for General Equipment, 31 January 2020

## APPENDIX A – LIST OF ACRONYMS

A list of additional acronyms and terms may be found in the [DAU Glossary](#)

AAF	Adaptive Acquisition Framework
AAO	Approved Acquisition Objective
AAR	After-Action Review
ACAT	Acquisition Category
ACE	Aviation Combat Element
ACMC	Assistant Commandant of the Marine Corps
ACQSEC	Acquisition Security
ADM	Acquisition Decision Memorandum
ALPS	Acquisition Logistics and Product Support
AM	Additive Manufacturing
AMOC	Advanced Manufacturing Operations Cell
AoA	Analysis of Alternatives
APB	Abbreviated Acquisition Program
APfM-PM	Assistant Portfolio Manager for Program Management
APM-LCL	Assistant Program Manager for Life Cycle Logistics
APM-PM	Assistant Program Manager for Program Management
APN	Procurement Aviation
APPP	Abbreviated Program Protection Plan
APSR	Accountable Property System of Record
APUC	Average Procurement Unit Cost
ASN (RD&A)	Assistant Secretary of the Navy (Research Development & Acquisition)
ATO	Authority to Operate
BCAC	Business Capability Acquisition Cycle
BES	Budget Estimate Submission
BY	Base Year
C/S/P	Cost/Schedule/Performance
C4	Command, Control, Communications, and Computers
CAD	Computer-Aided-Design
CARD	Cost Analysis Requirements Description
CBA	Capability Based Assessment
BCRD	Business Capability Requirements Documents
CBRN	Chemical, Biological, Radiological and Nuclear
CC	Critical Components
CCA	Clinger-Cohen Act
CCB	Configuration Control Board
CD&I	Combat Development and Integration
CDCBul	Combat Development Command Bulletin
CDD	Capability Development Document
CDRL	Contract Data Requirements List
CE	Command Element
CF	Critical Functions
CI	Commercial Item
CIL	Critical Information List
C-IMS	Contractor-Integrated Master Schedule

Appendix A – List of Acronyms

CISP	Counterintelligence Support Plan
CJCSI	Chairman Joint Chief of Staff Instruction
CMC	Commandant of the Marine Corps
CNO	Chief of Naval Operations
CoC	Chain of Command
COMMARCORSYSCOM	Commander of Marine Corps Systems Command
CONOPS	Concept of Operations
COTS	Commercial of the Shelf
CPARS	Contractor Performance Assessment Reporting System
CPD	Capability Production Document
CPI	Critical Program Information
CRC	Capabilities Requirement Change
CSO	Commercial Solutions
CT	Contracts
CUI	Controlled Unclassified Information
D&F	Determination and Finding
DA	Decision Authority
DAG	Defense Acquisition Guidebook
DARPA	Defense Advanced Research Projects Agency
DASN (AP)	Deputy Assistant of the Secretary of the Navy (Acquisition Policy)
DAU	Defense Acquisition University
DBS	Defense Business System
DC CD&I	Deputy Commandant for Combat Development and Integration
DC RM/DFM	Deputy Commandant for Resource Management/Director of Financial Management
DC SEAL	Deputy Commandant for Systems Engineering and Logistics
DC PPO GCE	Deputy Commandant Plans, Policies and Operations Ground Combat Element
DCR	DOTMLPF-P Change Recommendation
DFAR	Defense Federal Acquisition Regulation
DFM	Director of Financial Management
DID	Data Item Description
DIR CDD	Director, Capability Development Directorate
DIR OPS&PROG	Director, Operations and Programs
DLA	Defense Logistics Agency
DoDD	Department of Defense Directive
DoDI	Department of Defense Instruction
DoN	Department of the Navy
DOTMLPF-P	Joint Doctrine, Organizations, Training, Materiel, Leadership and Education, Personnel, Facilities, and Policy
DPAS	Defense Property Accountability System
DPG	Defense Planning Guidance
Direct Reporting PM	Direct Reporting Program Manager
DSS	Defense Security Service
DT	Developmental Testing
ECP	Engineering Change Proposal

## Appendix A – List of Acronyms

E&MD	Engineering and Manufacturing Development
EOA	Early Operational Assessment
EVM	Earned Value Management
FAR	Federal Acquisition Regulation
FCL	Facility Clearance Level
FHCON	Family Housing Construction
FHOPS	Family Housing Operations
FM	Financial Management
FOC	Full Operational Capability
FOT&E	Follow-On Operational Test and Evaluation
FRP	Full-Rate Production
FY	Fiscal Year
FYDP	Future Years Defense Program
GCE	Ground Combat Element
GE	General Equipment
HQMC	Headquarters of the Marine Corps
I&L	Installations and Logistics
IA	Information Assurance
ICD	Initial Capabilities Document
IGS	Integrated Government Schedule
ILA	Integrated Logistics Assessment
IMP	Integrated Master Plan
IMS	Integrates Master Schedule
IOC	Initial Operational Capability
IOT&E	Initial Operational Testing and Evaluation
IPMT	Integrated Program Management Team
IPPD	Integrated Product and Process Development
ISA	In-Service Authority
IS-CDD	Information Systems Capability Development Document
IS-ICD	Information Systems Initial Capabilities Document
ISTRAP	Individual Streamlined Acquisition Plan
ISTRAP-M	Individual Streamlined Acquisition Plan that includes services above SAT
JCA	Joint Capability Area
JCIDS	Joint Capabilities and Development System
JEON	Joint Emergent Operational Need
JIC	Joint Interoperability Certification
JPM P	Joint Program Manager Protection
JROC	Joint Requirements Oversight Council
JUON	Joint Urgent Operational Need
KSD	Key Supporting Document
KO	Contracting Officer
KPP	Key Performance Parameter
LCCE	Life Cycle Cost Estimate
LCE	Logistics Combat Element
LCL	Life Cycle Logistics
LCSP	Life Cycle Sustainment Plan
LOC	Letter of Clarification

## Appendix A – List of Acronyms

LOS	Letter of Suspension
LOT	Letter of Termination
LRIP	Low-Rate Initial Production
MAG	Marine Acquisition Guidebook
MAGTF	Marine Air-Ground Task Force
MAIS	Major Automated Information System
MAP	Marine Corps Systems Command Acquisition Portal
MARCORSYSCOM	Marine Corps Systems Command
MAT	Milestone Assessment Team
MCA	Management Control Activity
MCCIP	Marine Corps Capability Investment Plan
MCCL	Marine Corps Capabilities List
MCEIP	Marine Corps Enterprise Integration Plan
MCGL	Marine Corps Gap List
MCIA	Marine Corps Intelligence Activity
MCNR	Military Construction Navy Reserve
MCON	Military Construction Navy & Marine Corps
MCOTEA	Marine Corps Test and Evaluation Activity
MCPC	Marine Corps Product Code
MCRCO	Marine Corps Rapid Capabilities Office
MCSCO	Marine Corps Systems Command Order
MCSDD	Marine Corps Solutions Development Directive
MCWL	Marine Corps Warfighting Laboratory
MDA	Milestone Decision Authority
MDAP	Major Defense Acquisition Program
MDD	Materiel Development Decision
MFR	Memorandum for Record
MILCON	Military Construction
MNS	Mission Needs Statement
MOA	Memorandum of Agreement
MOC	Marine Corps Operating Concept
MOE	Measure of Effectiveness
MOPAS	Management and Oversight Process for the Acquisition of Services
MOPAS-S	Management and Oversight Process for the Acquisition of Services -Streamlined
MPMC	Military Personnel Marine Corps
MROC	Marine Corps Requirements Oversight Council
MS	Milestone
MSA	Materiel Solution Analysis
NAVAIR	Naval Air Systems Command
NDAA	National Defense Authorization Act
NDI	Non-Developmental Items
NMCARS	Navy Marine Corps Acquisition Regulation Supplement
O&M	Operations and Maintenance
O&S	Operations and Support
OAG	Operational Advocate Group
OBS	Organizational Breakdown Structure



Appendix A – List of Acronyms

OEM	Original Equipment Manufacturer
OMMC	Operations & Maintenance Marine Corps
OMMCR	Operations & Maintenance Marine Corps Reserve
OPSEC	Operations Security
ORD	Operational Requirements Document
OSD	Office of the Secretary of Defense
OT	Operational Testing
OT&E	Operational Test & Evaluation
P&R	Programs and Resources
PANMC	Procurement Ammunition Navy and Marine Corps
PAUC	Program Acquisition Unit Cost
PDA	Program Decision Authority
PDM	Program Decision Memorandum
PEB	Program Evaluation Board
PEO EIS	Program Executive Office for Enterprise Information Systems
PEO LS	Program Executive Office for Land Systems
PfM	Portfolio Manager
PIID	Procurement Instrument Identification
PIR	Post Implementation Review
P.L.	Public Law
PM	Program Manager
PMT	Procurement Management Tool
PMC	Procurement Marine Corps
PMO	Program Management Office
PMR	Program Management Review
POA&M	Plan of Action and Milestone
POM	Program Objective Memorandum
POPL	Program Office Protection Lead
PPBE	Planning, Programming, Budgeting and Execution
PPP	Program Protection Plan
PSTRAP	Program Streamlined Acquisition Plan
PSTRAP-M	Program Streamlined Acquisition Plan that exceeds SAT
PWG	POM Working Group
PWS	Performance Work Statement
RDAIS	Research Development and Acquisition Information System
RFP	Request for Proposal
RMB	Risk Management Board
RMD	Resource Management Decision
RMP	Risk Management Plan
ROC	Required Operational Capability
RPMC	Reserve Personnel Marine Corps
RTO	Requirements Transition Officer
RTP	Requirement Transition Process
RTT	Requirements Transition Team
SAMP	Single Acquisition Management Plan
SAT	Simplified Acquisition Threshold
SC	Should Cost

## Appendix A – List of Acronyms

SCI	Should Cost Initiatives
SCM	Should Cost Management
SCRM	Supply Chain Risk Management
SECDEF	Secretary of Defense
SECNAVINST	Secretary of the Navy Instruction
SES	Senior Executive Service
SME	Subject Matter Expert
SON	Statement of Need
SOW	Statement of Work
SPAWAR	Space and Naval Warfare Systems Command
STRAP	Streamlined Acquisition Plan
SW	Software
TAMCN	Table of Authorized Materiel Control Number
TARDEC	United States Army Tank Automotive Research Development and Engineering Center
TEMP	Test and Evaluation Master Plan
TFSMS	Total Force Structure Management System
TMEP	To the maximum extent practicable
TOPIC	The Online Program Information Center
TP	Technology Protection
U.S.C.	United States Code
USD (A&S)	Under Secretary of Defense (Acquisition and Sustainment)
USD (AT&L)	Under Secretary of Defense (Acquisition, Technology, and Logistics)
USON	Urgent Statement of Need
U-UNS	Urgent Universal Need Statement
VIPER	Vital Information Portal for Enterprise Resources
VOLT	Validated Online Lifecycle Threat
VTC	Video Teleconferencing
WBS	Work Base Statement
WIPT	Working Level Integrated Product Team
WPN	Weapons Procurement

## APPENDIX B – DEFINITIONS

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
Acquisition Program	An Acquisition Program is a directed, funded effort that provides a new, improved, or continuing materiel, weapon or information system, or service capability in response to an approved need.	DODD 5000.01, The Defense Acquisition System, May 12, 2003, Incorporating Change 2, August 31, 2018
Automated Information System	A system of computer hardware, computer software, data or telecommunications that performs functions such as collecting, processing, storing, transmitting, and displaying information. Excluded are computer resources, both hardware and software, that are an integral part of a weapon or weapon system; used for highly sensitive classified programs (as determined by the Secretary of Defense); used for other highly sensitive information technology (IT) programs (as determined by the DoD CIO; or determined by the DAE or designee to be better overseen as a non-AIS program (e.g., a program with a low ratio of RDT&E funding to total program acquisition costs or that requires significant hardware development). A MAIS program that is estimated to attain the MDAP cost thresholds may be designated by the DAE as either an MDAP or a MAIS program.	DoDI 5000.02 Change 4 – Table 1
Broad Agency Announcement	Broad agency announcements (BAAs) are solicitation methods for acquisition of basic and applied research and that part of development not related to the development of a specific system or hardware procurement. BAA’s may be used by agencies to fulfill their requirements for scientific study and experimentation directed toward advancing the state-of-the-art or increasing knowledge or understanding rather than focusing on a specific system or hardware solution. The BAA technique shall only be used when meaningful proposals with varying technical/scientific approaches can be reasonably anticipated. BAAs will be published in FedBizOpps and/or Grants.gov.	FAR 35.016
Commercial item	(1) Any item that is of a type customarily used by the general public or by non-governmental entities for purposes other than Governmental purposes, and— Has been sold or offered for sale, leased, or licensed to the general public; or, (2) A commercial item that evolved through advances in technology or performance and that is not yet available, but will be available in the commercial marketplace in time to satisfy the delivery requirements under a Government solicitation; (3) Any item that would satisfy a criterion expressed in paragraphs (1) or (2) of this definition, but for— (i) Modifications of a type customarily available in the commercial marketplace; or (ii) Minor modifications of a type not customarily available in the commercial marketplace made to meet Federal Government requirements. Minor modifications mean modifications that do not significantly alter the nongovernmental	FAR Part 2.1 - Definitions

Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
	<p>function or essential physical characteristics of an item or component, or change the purpose of a process; (4) Any combination of items meeting the requirements of paragraphs (1), (2), (3), or (5) of this definition that are of a type customarily combined and sold in combination to the general public; (5) Installation services, maintenance services, repair services, training services, and other services if—(i) Such services are procured for support of an item referred to in paragraph (1), (2), (3), or (4) of this definition, regardless of whether such services are provided by the same source or at the same time as the item; and (ii) The source of such services provides similar services contemporaneously to the general public under terms and conditions similar to those offered to the Federal Government; (6) Services of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed or specific outcomes to be achieved and under standard commercial terms and conditions.</p>	
<p>Commercially Off-the-Shelf Item</p>	<p>(1) Means any item of supply (including construction material) that is—                      (i) A commercial item;                      (ii) Sold in substantial quantities in the commercial marketplace; and                      (iii) offered to the Government, under a contract or subcontract at any tier, without modification, in the same form in which it is sold in the commercial marketplace.                      (2) Does not include bulk cargo, as defined in 46 U.S.C. 40102(4), such as agricultural products and petroleum products.</p>	<p>FAR Part 2.1 - Definitions</p>
<p>Decision Authority</p>	<p>DA is the term used in lieu of MDA for AAPs within MARCORSYSCOM and Department of Navy (DoN). The term has expanded application at MARCORSYSCOM to also encompass:                      •Acquisition programs led by another service where the MDA resides with the Lead Service. In those cases, DA is also used at MARCORSYSCOM to communicate who has the acquisition program decision and obligation authority for the United States Marine Corps (USMC), the Commander, Portfolio Manager (PfM) and Direct Report Program Managers (Direct Reporting PM) (if delegated by Commander).                      -Acquisition programs in the Operations &amp; Support (O&amp;S) acquisition life cycle phase. Since all Milestone Decisions as defined in the DoDI 5000.02 Defense Acquisition Framework have been achieved, "Milestone" Decision Authority is considered obsolete and "Program" Decision Authority becomes more accurate and identifies who retains Program Decision Authority for the remainder of the acquisition program life cycle period.</p>	<p>MAG 2017 and 2018 versions</p>

Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
Defense Acquisition System	<p>The Defense Acquisition System is the management process by which the Department of Defense provides effective, affordable, and timely systems to the users.</p> <p>The defense acquisition system, as defined in 10 U.S.C 2545, exists to manage the investments of the United States in technologies, programs, and product support necessary to achieve the national security strategy prescribed by the President pursuant to section 108 of the National Security Act of 1947 (50 U.S.C. 3043) and to support the United States Armed Forces.</p> <p>The primary objective of DoD acquisition is to acquire quality supplies and services that satisfy user needs with measurable improvements to mission capability and operational support at a fair and reasonable price.</p>	DODD 5000.01, The Defense Acquisition System, May 12, 2003, Incorporating Change 2, August 31, 2018; 10 USC 2545; DFARS 201.101
Defense Business System	<p>Defense business systems are information systems that are operated by, for, or on behalf of the Department of Defense, including: financial systems, financial data feeder systems, contracting systems, logistics systems, planning and budgeting systems, installations management systems, human resources management systems, and training and readiness systems. A defense business system does not include a national security system, or an information system used exclusively by and within the defense commissary system or the exchange system or other instrumentality of the DoD conducted for the morale, welfare, and recreation of members of the armed forces using non-appropriated funds.</p>	DoDI 5000.75; Title 10 U.S.C. 2222
Defense Federal Acquisition Regulation	<p>The DFARS are the Defense Federal Acquisition Regulations Supplement, a supplement to the FAR that provides the DoD specific acquisition regulations.</p>	Title 48, Code of Federal Regulations, Chapter 2

Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
Federal Acquisition Regulation	<p>The FAR is the primary regulation for use by all Federal Executive agencies in their acquisition of supplies and services with appropriated funds. It became effective on April 1, 1984, and is issued within applicable laws under the joint authorities of the Administrator of General Services, the Secretary of Defense, and the Administrator for the National Aeronautics and Space Administration, under the broad policy guidelines of the Administrator, Office of Federal Procurement Policy, Office of Management and Budget.</p> <p>The FAR precludes agency acquisition regulations that unnecessarily repeat, paraphrase, or otherwise restate the FAR, limits agency acquisition regulations to those necessary to implement FAR policies and procedures within an agency, and provides for coordination, simplicity, and uniformity in the Federal acquisition process. It also provides for agency and public participation in developing the FAR and agency acquisition regulation.</p>	FAR Foreword
Initial Capabilities Document	The purpose of an ICD is to document joint military capability requirements and associated capability gaps in cases where the Sponsor deems the operational risk of unmitigated capability gaps to be unacceptable. The ICD provides traceability to the operational context, threats, and other relevant factors that determine the joint military capability requirements. The ICD quantifies capability gaps associated with the requirements, operational risks across the joint force, and proposes materiel and/or non-materiel approaches to closing or mitigating some or all of the identified capability gaps.	JCIDS Manual, Appendix A to Enclosure B
Integrated Logistics Support Assessment	A Logistics Assessment (LA) is an analysis of a program’s supportability planning. Preferably, it is conducted by an independent and impartial team of Subject Matter Experts (SMEs) not directly associated with the program being assessed. As part of the LA, statutory, regulatory, and Component required documentation is reviewed and assessed for completeness and compliance prior to the milestone decision. The focus is on whether the program planning, and methodology has a basis and can be successfully executed. LAs should be performed at Milestones B, C, prior to full rate production, at Post IOC Reviews or at least every five years.	DoD Logistics Assessment Guidebook 2011; Integrated Logistics Support Assessment handbook, Department of the Navy Guide for Conducting Independent Logistics Assessments NAVSO P-3692 September 2012

Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
Integrated Product and Process Development	A management technique that integrates all acquisition activities starting with requirements definition through production, fielding/deployment and operational support in order to optimize the design, manufacturing, business and supportability processes." IPPD, as a multidisciplinary management technique, uses design tools such as modeling and simulation, teams, and best commercial practices to develop products and their related processes concurrently. The IPPD approach is driven by the customer's need. The ultimate customer is the operational user of the system.	DoD Integrated Product and Process Development Handbook, Office of the Under Secretary of Defense (Acquisition and Technology), August 1998
Integrated Product Team	An Integrated Product Team (IPT) is a multidisciplinary group of people who are collectively responsible for delivering a defined product or process. The IPT is composed of people who plan, execute, and implement life cycle decisions for the system being acquired. It includes empowered representatives (stakeholders) from all of the functional areas involved with the product—all who have a stake in the success of the program, such as design, manufacturing, test and evaluation (T&E), and logistics personnel, and, especially, the customer. Because the activities relative to a system's acquisition change and evolve over its life cycle, the roles of various IPTs and IPT members evolve.	DoD Integrated Product and Process Development Handbook, Office of the Under Secretary of Defense (Acquisition and Technology), August 1998
Issue	Event or condition with negative effect that has occurred (such as a realized risk) or is certain to occur (probability = 1)	Department of Defense Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs, January 2017
Joint Urgent Operational Need (JUON)	UONs that are identified by a Combatant Command, Chairman of the Joint Chiefs of Staff (CJCS), or Vice CJCS as inherently joint and impacting an ongoing contingency operation.	CJCSI 5123.01H
Major Automated Information System (MAIS)	A DoD acquisition program for an Automated Information System (AIS) (either as a product or a service) that is either: <ul style="list-style-type: none"> <li>o Designated by the MDA as a MAIS program; or</li> <li>o Estimated to exceed: <ul style="list-style-type: none"> <li>□ \$40 million in FY 2014 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development, deployment, and sustainment, and incurred in any single fiscal year; or</li> <li>□ \$165 million in FY 2014 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development,</li> </ul> </li> </ul>	10 U.S.C. 2445a  DoDI 5000.02 Change 4 – Table 1

Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
	<p>and deployment, and incurred from the beginning of the Materiel Solution Analysis Phase through deployment at all sites; or</p> <ul style="list-style-type: none"> <li>□ \$520 million in FY 2014 constant dollars for all expenditures, for all increments, regardless of the appropriation or fund source, directly related to the AIS definition, design, development, deployment, operations and maintenance, and incurred from the beginning of the Materiel Solution Analysis Phase through sustainment for the estimated useful life of the system.</li> <li>• MDA designation as special interest</li> </ul>	
Major Defense Acquisition Program (ACAT I)	<p>A DoD acquisition program that is not a highly sensitive classified program that is designated by the Secretary of Defense as a MDAP. A MDAP meets or exceeds the ACAT I requirements in DoD Instruction 5000.02 or is designated as an MDAP by the Defense Acquisition Executive (USD(A&amp;S)). Dollar value for all increments of the program: estimated by the DAE to require an eventual total expenditure for research, development, and test and evaluation (RDT&amp;E) of more than \$480 million in Fiscal Year (FY) 2014 constant dollars or, for procurement, of more than \$2.79 billion in FY 2014 constant dollars.</p>	<p>U.S.C Title 10 2340</p> <p>DoDI 5000.02 Change 4 – Table 1</p>
Major System (ACAT II)	<p>Does not meet criteria for ACAT I or IA</p> <ul style="list-style-type: none"> <li>• ACAT II                             <ul style="list-style-type: none"> <li>o Dollar value: estimated by the DoD Component head to require an eventual total expenditure for RDT&amp;E of more than \$185 million in FY 2014 constant dollars, or for procurement of more than \$835 million in FY 2014 constant dollars</li> <li>o MDA designation<sup>5</sup> (10 U.S.C. 2302 (Reference (h)))</li> </ul> </li> </ul>	<p>10 U.S.C. 2302d</p> <p>DoDI 5000.02 Change 4 – Table 1</p>
Milestone Decision Authority	<p>The Milestone Decision Authority (MDA) is the designated individual with overall responsibility for a program. The MDA shall have the authority to approve entry of an acquisition program into the next phase of the acquisition process and shall be accountable for cost, schedule, and performance reporting to higher authority, including Congressional reporting.</p>	<p>DoDD 5000.01, The Defense Acquisition System, May 12, 2003, Incorporating Change 2, August 31, 2018</p>



Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
National Security System	<p>(6)(a) The term "national security system" means any information system (including any telecommunications system) used or operated by an agency or by a contractor of an agency, or other organization on behalf of an agency-</p> <p>(i) the function, operation, or use of which-(I) involves intelligence activities;</p> <p>(II) involves cryptologic activities related to national security;</p> <p>(III) involves command and control of military forces;</p> <p>(IV) involves equipment that is an integral part of a weapon or weapons system; or</p> <p>(V) subject to subparagraph (B)*, is critical to the direct fulfillment of military or intelligence missions; or* does not include a system that is to be used for routine administrative and business applications (including payroll, finance, logistics, and personnel management applications).(ii) is protected at all times by procedures established for information that have been specifically authorized under criteria established by an Executive order or an Act of Congress to be kept classified in the interest of national defense or foreign policy.</p>	Title 44 3552
Non-deployment program	An RDT&E funded effort that does not require a validated capabilities document and will not directly result in the acquisition of a weapon, weapon system, or IT system for operational deployment. The previous term was “non-acquisition program.”	SECNAVINST 5000.2F (Encl 10, 4.)

Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
Non-developmental item	<p>(1) Any previously developed item of supply used exclusively for governmental purposes by a Federal agency, a State or local government, or a foreign government with which the United States has a mutual defense cooperation agreement;</p> <p>(2) Any item described in paragraph (1) of this definition that requires only minor modification or modifications of a type customarily available in the commercial marketplace in order to meet the requirements of the procuring department or agency; or</p> <p>(3) Any item of supply being produced that does not meet the requirements of paragraphs (1) or (2) solely because the item is not yet in use.</p>	FAR Part 2.1 Definitions
Non-traditional contractor	<p>“Non-traditional defense contractor” is defined by statute as “an entity that is not currently performing and has not performed, for at least the one-year period preceding the solicitation sources by the Department of Defense for the procurement or transaction, any contract or subcontract for the Department of Defense that is subject to the full coverage under the cost accounting standards prescribed pursuant to Section 1502 of title 41 and the regulations implementing such section.</p>	10 U.S.C. 2302(9)
Program Executive Officer	<p>A Program Executive Officer (PEO) is a senior acquisition manager and is typically responsible for a specific program, or for an entire portfolio of similar programs. The PEO normally only reports to, and receives guidance and direction from, the DoD Component Acquisition Executive (CAE). PEO assignment of acquisition program responsibilities is made by the CAE based on the criteria contained in (Encl. 2, para 3).</p>	DAG CH-1,3.3.1
Program Manager	<p>The Program Manager (PM) is the designated individual with responsibility for and authority to accomplish program objectives for development, production, and sustainment to meet the user's operational needs. The PM shall be accountable for credible cost, schedule, and performance reporting to the MDA.</p>	DoDD 5000.01, The Defense Acquisition System, May 12, 2003, Incorporating Change 2, August 31, 2018
Risk	<p>Potential future event or condition that may have a negative effect on achieving program objectives for cost, schedule, and performance. Risks are defined by (1) the probability (greater than 0, less than 1) of an undesired event or condition and (2) the consequences, impact, or severity of the undesired event, were it to occur.</p>	Department of Defense Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs, January 2017

Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
Risk Management Board	A board chartered as the senior program group, usually chaired by the PM or deputy PM, that approves candidate risks and their causes. The board reviews and/or approves risk analysis results, risk mitigation plans and associated resources, and actual versus planned progress associated with implemented risk mitigation plans. It is an advisory board to the PM and provides a forum for all stakeholders and affected parties to discuss their concerns.	Department of Defense Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs, January 2017
Risk: Programmatic	Non-technical risks that are generally within the control or influence of the PM or Program Executive Office. Programmatic risks can be associated with program estimating (including cost estimates, schedule estimates, staffing estimates, facility estimates, etc.), program planning, program execution, communications, and contract structure.	Department of Defense Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs, January 2017
Risk: Technical	Risks that may prevent the end item from performing as intended or from meeting performance expectations. Technical risks can be internally or externally generated. They typically emanate from areas such as requirements, technology, engineering, integration, test, manufacturing, quality, logistics, system security/cybersecurity, and training.	Department of Defense Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs, January 2017
Should cost	The concept that [DoD] managers should set cost targets below independent cost estimates and manage with the intent to achieve them (source: <a href="http://bbp.dau.mil/bbp2focus.html">http://bbp.dau.mil/bbp2focus.html</a> ).	
System	A “system” is defined as a functionally, physically, and/or behaviorally related group of regularly interacting or interdependent elements; that group of elements forming a unified whole. In the context of this Guide, the term “systems” includes weapons systems and the full spectrum of mission and business system capabilities.	
Team	A team is a small number of people with complementary skills who are committed to a common purpose, set of goals, and approach for which they hold themselves mutually accountable. Katzenbach and Smith define a team as “a small number of people,” ideally no more than 12. Katzenbach and Smith also state that when assembled groups of people become too large to function as a single team, they tend to break up into smaller, informal groups that then become separate teams from the rest of the group.(Jon R. Katzenbach and Douglas K. Smith, The Wisdom of Teams: Creating the High-Performance Organization, Harvard Business School Press, 1993)	DoD Integrated Product and Process Development Handbook, Office of the Under Secretary of Defense (Acquisition and Technology), August 1998 , Page 1

Appendix B – Definitions

<u>Term</u>	<u>Definition</u>	<u>Reference</u>
Will cost	Cost estimate established following DoD and Service memos, instructions, regulations, and guides; that represents the official Service position for budgeting, programming, and reporting; sets the threshold for budgeting Acquisition Program Baseline, [Selected Acquisition Report], and Nunn-McCurdy; and is continually updated with current available information	USD(AT&L)/DAU, January 12, 2012).
Work Breakdown Structure	A product-oriented family tree composed of hardware, software, services, data, and facilities. Produced from systems engineering efforts, it breaks down authorized program work into appropriate elements for planning, budgeting, scheduling, and cost accounting.	MIL-STD-881E

## **APPENDIX C - LIST OF ENCLOSURES AND TEMPLATES**

Enclosures and Templates are provided on the [MAP Knowledge Center](#) on VIPER.

### **Enclosures**

Enclosure 3-1 – ACAT Designation and Decision Authority Delegation  
Enclosure 3-2 – MDD ADM  
Enclosure 3-3 – IOC Declaration  
Enclosure 12-3 – MAT Process  
Enclosure 16-1 – Example of Request to Participate  
Enclosure 16-2 – Example of MOA  
Enclosure 17-1 – Equipment Exchange Process  
Enclosure 17-2 – Commodity Acquisition Management Process  
Enclosure 23-1 – Rapid Cyber Acquisition Process and Flowchart

### **Templates**

Template 1-1 – Acquisition Decision Memorandum  
Template 3-1 – ACAT-AAP Designation Request  
Template 3-2 – DFM Checklist  
Template 6-1 – Acquisition Strategy  
Template 6-2 – SAMP  
Template 8-1 – APB  
Template 8-2 – Notification of Program Deviation  
Template 8-3 – Program Deviation Report  
Template 16-1 – Request for Authority to Participate