



MARCORSYSCOM

ACQUISITION GUIDEBOOK (MAG)

July 2016

This guidebook is available electronically on the [Command Library](#) and the [MAP SharePoint](#) site. It is recommended that the electronic version be accessed, as this provides users access to hyperlinks and updated references.

MARCORSYSCOMO 5000.3B



UNITED STATES MARINE CORPS

MARINE CORPS SYSTEMS COMMAND
2200 LESTER STREET
QUANTICO, VIRGINIA 22134-6050

IN REPLY REFER TO:

MCSCO 5000.3B

ACPROG

14 AUG 2015

MARINE CORPS SYSTEMS COMMAND ORDER 5000.3B

From: Commander

To: Distribution List

Subj: IMPLEMENTATION OF MARINE CORPS SYSTEMS COMMAND
ACQUISITION TOOLS

Ref: (a) DoDI 5000.02, Operation of the Defense Acquisition
System, 7 Jan 15
(b) SECNAVINST 5000.2E
(c) SECNAVINST 5400.15C Change 1
(d) MARCORSYSCOM Acquisition Guidebook (MAG)

1. Situation. To update Marine Corps Systems Command (MARCORSYSCOM) guidance regarding implementation of the references (a) through (d). Responsibilities in this order are supplemental to the pre-existing roles and responsibilities of all concerned. This order does not repeat or change the functional responsibilities or staff cognizance of any MARCORSYSCOM organization.

2. Cancellation. MARCORSYSCOM Order 5000.3A of 8 Mar 12.

3. Mission. The implementation guidance applies to all MARCORSYSCOM acquisition programs, regardless of acquisition lifecycle phase.

4. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent. All MARCORSYSCOM acquisition programs, regardless of acquisition lifecycle phase, shall comply with the processes, policies, and tools established by the references. To that end, use of MARCORSYSCOM Acquisition Tools to include the MARCORSYSCOM Acquisition Portal (MAP) SharePoint site, Probability of Program Success (PoPS), MAG, and The Online Project Information Center (TOPIC) 2.0 are mandatory throughout MARCORSYSCOM.

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distribution is unlimited.

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(2) Concept of Operations

(a) MAP SharePoint Site. All MARCORSYSCOM personnel shall access and use the MAP SharePoint site as a "one stop shop" to obtain acquisition related guidance. The MAP SharePoint site includes all relevant information regarding the MARCORSYSCOM acquisition and Milestone Decision Process. This includes PoPS database and MARCORSYSCOM core briefing charts, MAG, hyperlinks to TOPIC 2.0, MARCORSYSCOM competency knowledge centers and associated templates, and higher-level guidance. The MAP SharePoint site may be accessed at <https://mcscviper.usmc.mil/sites/mcscimdp>.

(b) MAG. The MAG shall be used in the planning and execution of all MARCORSYSCOM acquisition programs. The MAG provides a consolidated overview of MARCORSYSCOM acquisition processes and procedures. It is a ready reference for identifying major reviews, approval levels, documentation requirements, tailoring guidance, affordability measures, and higher-level policy and references. The MAG is primarily a web-based document that can be saved as a PDF document or printed as a hard copy. The MAG may be accessed at <https://mcscviper.usmc.mil/sites/mcscimdp/MAG/wiki>.

(c) PoPS. All MARCORSYSCOM acquisition programs shall use the current PoPS methodology and tools, at a minimum annually, to assess program health in support of milestone decisions, decision points, and program management reviews. Program Managers shall populate the appropriate PoPS database and MARCORSYSCOM core briefing charts for each milestone and decision point. The MARCORSYSCOM core briefing charts have been tailored for MARCORSYSCOM acquisition programs and include clarifying instructions and information. All required instructions and implementation guidance are provided in the MAG and the MAP SharePoint site.

(d) TOPIC 2.0. TOPIC 2.0 (including TOPIC In-Production Schedule) is an authoritative centralized listing and repository that provides accountability and insight into acquisition programs managed by MARCORSYSCOM. The importance of keeping TOPIC 2.0 updated and maintained, by the Program Management Offices, is crucial for enterprise and strategic planning and is a primary tool used for responding to inquiries and data requests from external agencies. TOPIC 2.0 may be accessed at <https://mcscviper.usmc.mil/sites/topic>.

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5. Administration and Logistics. Distribution Statement A directives issued by COMMARCORSYSCOM are published electronically and can be accessed online via the Command Library.

6. Command and Signal

a. Command. This order applies to all MARCORSYSCOM programs. This order can be used by affiliated Program Executive Officers at their discretion.

b. Signal. Effective on the date signed.


J. F. SHRADER

DISTRIBUTION: A

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Editable versions of the enclosures and templates are available at the bottom of the [MAG Homepage](#).

REFERENCES

- a) [MARCORSYSCOM Order 5401.1A, 8 Aug 2012, Competency Aligned Organization/Integrated Product Team Implementation](#)
- b) [MARCORSYSCOM Order 5000.3B, 14 Aug 2015, Implementation of Marine Corps Systems Command \(MARCORSYSCOM\) Acquisition Tools](#)
- c) [DoDI 5000.02, 7 Jan 2015, Operation of the Defense Acquisition System](#)
- d) [SECNAVINST 5000.2E, 1 Sep 2011, Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System](#)
- e) [Defense Acquisition Guidebook \(DAG\), 9 Oct 2012](#)
- f) [CJCSI 3170.01I, 23 Jan 2015, Joint Capabilities Integration and Development System](#)
- g) [Marine Corps Order 3900.17, 17 Oct 2008, The Marine Corps Urgent Needs Process \(UNP\) and the Urgent Universal Needs Statement \(Urgent UNS\)](#)
- h) [Acquisition Policy Letter 02-09, 26 May 2009, Modifications to Systems](#)
- i) [DoDD 5000.01, 20 Nov 2007, The Defense Acquisition System](#)
- j) [USMC Integrated Test and Evaluation Handbook, 6 May 2010](#)
- k) [Marine Corps Systems Command Systems Engineering Technical Review Handbook, 6 Aug 2014](#)
- l) [MARCORSYSCOM Order 4105.10, 1 May 2014, Marine Corps Systems Command Fielding Decision Process for All Marine Corps Systems Command Acquisition Programs](#)
- m) [USD AT&L Guide, 1 Oct 1999, Rules of the Road: A Guide for Leading Successful Integrated Product Teams](#)
- n) [MCSC Guide to Should Cost Management Increment I, Mar 2014](#)
- o) [Integrated Master Plan and Integrated Master Schedule Preparation and Use Guide V0.9, 21 Oct 2005](#)

- p) [Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs of June 2015](#)
- q) [MARCORSYSCOM Order 5000.3, 06 June 2008, NAVAL SYSCOM RISK MANAGEMENT POLICY](#)
- r) [Joint Program Management Handbook, July 2004, Third Edition](#)
- s) [MARCORSYSCOM Order 4130.1A, 14 Nov 2014, Configuration Management](#)

RECORD OF CHANGES

- Chapter 8.7, Program Deviations (Updated guidance to Program Offices on when and how to notify a program deviation/breach to the APB)
 - Added Template for Initial Notification of Program Deviation
 - Added Template for Program Deviation Report
- Chapter 8.5, Defense Business Systems (DBS) (Replaced old Chapter 8.5 to provide definition, applicability and guidance to Program Offices on acquisition of DBS)

The entire list of MAG changes can be found [here](#).

Chapter 1: EXECUTIVE SUMMARY

1.1 Scope.

This Guidebook leverages and aligns with existing higher level policy, guidance, and regulations. It provides:

- A consolidated overview of internal Marine Corps Systems Command (MCSC) acquisition processes. The Guidebook is designed to leverage and support [Competency Aligned Organization \(CAO\) principles](#) as directed by Reference (a).
- A quick, ready reference for identifying the major reviews, approval levels, and documentation requirements.
- Helpful advice from our "corporate memory" to Program Managers (PMs)/Product Managers (PdMs) and their Integrated Product Teams (IPTs), as well as team members who are new to MCSC and/or to the acquisition process. For example, [Enclosure \(a\)](#) of this Guidebook "12 Steps to Program Success" provides lessons learned and advice to assist the PM/PdM in executing a successful program.
- Hyperlinks to MCSC guidance and higher level policy and references.

This Guidebook does not:

- Apply to Program Executive Officer (PEO) Land Systems (LS).
- Supersede existing Instructions, Directives, Notices, or otherwise established Department of Defense (DoD)/Department of the Navy (DoN) or Marine Corps Acquisition Policies.
- Describe every activity and/or document required to manage a program within MCSC.
- Provide a "cookbook" approach to our acquisition process. The uniqueness of each acquisition program precludes such an approach.

This Guidebook supersedes the following MCSC orders, policies, and guidance:

- MARCORSYSCOM Order (MCSCO)5000.3 Interim Implementation of MCSC PoPS Core Briefing Charts and PoPS V2 for MCSC Acquisition Category (ACAT) III & IV Programs (2010).
- MCSCO 5000.3A Implementation of MCSC Acquisition Guidebook (MAG) and Probability of Program Success (PoPS) Version 2 (V2) Procedures (2012).
- Implementation of MCSC Probability of Program Success (PoPS) Policy 3-09 (2009).

- Assignment of ACAT Designation and Delegation of Milestone Decision Authority (MDA)/Program Decision Authority (PDA) Policy 2-08 (2008).
- Project Team Leaders (PTL) Guide V1.3 (2007).
- Acquisition Policy Letter 08-07, 10 Oct 2007, Acquisition Decision Memorandum (ADM) Procedures in response to Urgent Statements of Need (USON).
- Command Policy Letter No. 1-06, Acquisition of End Items Either as Components, Support Equipment or Items (2006).
- Milestone Decision Process (MDP) Guide V3 (2006).
- Acquisition Procedures Handbook (APH) (2000).

1.2 Applicability.

This Guidebook applies to all MCSC acquisition programs, regardless of acquisition lifecycle phase as directed by [MCSCO 5000.3B](#), Implementation of Marine Corps Systems Command Acquisition Tools, of 14 Aug 2015 (Reference (b)).

It is the responsibility of the PM/PdM to use this Guidebook together with:

- Guidance from the MDA, through Acquisition Decision Memorandums (ADMs) or other direction, as applicable.
- The MCSC Acquisition Portal (MAP) SharePoint site and MCSC PoPS core briefing charts.
- Appropriate higher-level guidance ([DoDI 5000.02](#) (Reference (c)), [SECNAVINST 5000.2E](#) (Reference (d)), and other applicable law, regulation and policy to include MCSC policy and guidance).
- Applicable technical, engineering, logistics, financial, contracting, test, and information assurance policy.
- The advice of the Milestone Assessment Team (MAT) and Tier-0 IPT as appropriate.

1.2.1 MCSCO 5000.3B Implementation of MCSC Acquisition Tools.

MCSCO 5000.3B of 14 Aug 2015 states all MCSC acquisition programs, regardless of acquisition lifecycle, shall use this Guidebook and the following tools:

- MCSC Acquisition Portal (MAP) SharePoint site - see [Chapter 1.2.2](#)
- Probability of Program Success (PoPS) - see [Chapter 3](#)
- The Online Project Information Center (TOPIC) - see [Chapter 9.2](#)

1.2.2 MAP SharePoint.

All relevant information regarding the MCSC Milestone Decision Process is located on the [MAP SharePoint](#) site, as illustrated in [Figure 1A](#). Materials include:

- MCSC tailored PoPS core briefing charts with entrance and exit criteria for each Milestone (MS) and Decision Points, see [Chapter 3](#) for more information on PoPS.
- Frequently Asked Questions (FAQs).
- PoPS databases and instructions.
- Hyperlinks to:
 - Defense Acquisition University (DAU) Acquisition Community Connection (ACC) and Defense Acquisition Portal (DAP).
 - MCSC guidebooks and policies.
 - Higher level guidance (e.g. the DoD 5000 series, [SECNAVINST 5000.2E](#), [Defense Acquisition Guidebook \(DAG\)](#) (Reference (e))

Figure 1A. MAP SharePoint Site



Chapter 2: DEFENSE ACQUISITION MANAGEMENT SYSTEM

2.1 Requirements Transition Process (RTP) Applicability.

The below summarizes the process for capability requirements entering Marine Corps Systems Command (MCSC). This is known as the Requirements Transition Process (RTP). The RTP only addresses MCSC programs for which Commander, Marine Corps Systems Command (COMMARCORSSYSCOM) serves as the Milestone Decision Authority (MDA). It does not address Program Executive Officer (PEO) requirements or internal processes. Such requirements will be coordinated with the appropriate PEO and/or Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN RDA) by Assistant Commander, Programs (ACPROG) Assessments as described in [Chapter 4.2](#).

Definitions.

- **Capability Requirement** - A capability required to meet an organization's mission in current or future operations. A requirement is considered to be 'draft' or 'proposed' until validated by the appropriate requirements authority. See [The Chairman of the Joint Chiefs of Staff Instruction \(CJCSI\) 3170.01I](#) (Reference (f)) for more information on capability requirements.
- **Requirements Authority (RA)** - The designated official authorized to approve capability requirements and release them to the materiel developer for execution. The RA is typically Deputy Commandant Combat Development & Integration (DC CD&I).
- **Requirements Package** - A capability requirements document which has been approved by the RA, has appropriate phase-specific funding in place, and is accompanied by a Concept of Operations (CONOPS)/Concept of Employment (COE).
- **Requirements Transition Process (RTP)** - The overarching framework and processes for transitioning capability requirements from the RA to the materiel developer (e.g. MCSC).
- **Requirements Transition Team (RTT)** - The team established to execute the RTP.
- **Urgent Needs Process (UNP)** - The expedited process to execute a capability requirement (typically an Urgent Statement of Need (USON)) for warfighting capability critically needed by operating forces per Marine Corps Order [\(MCO\) 3900.17](#) (Reference (g)).
- **Non-Urgent Needs Process** - Deliberate process to execute a capability requirement for warfighting capability that does

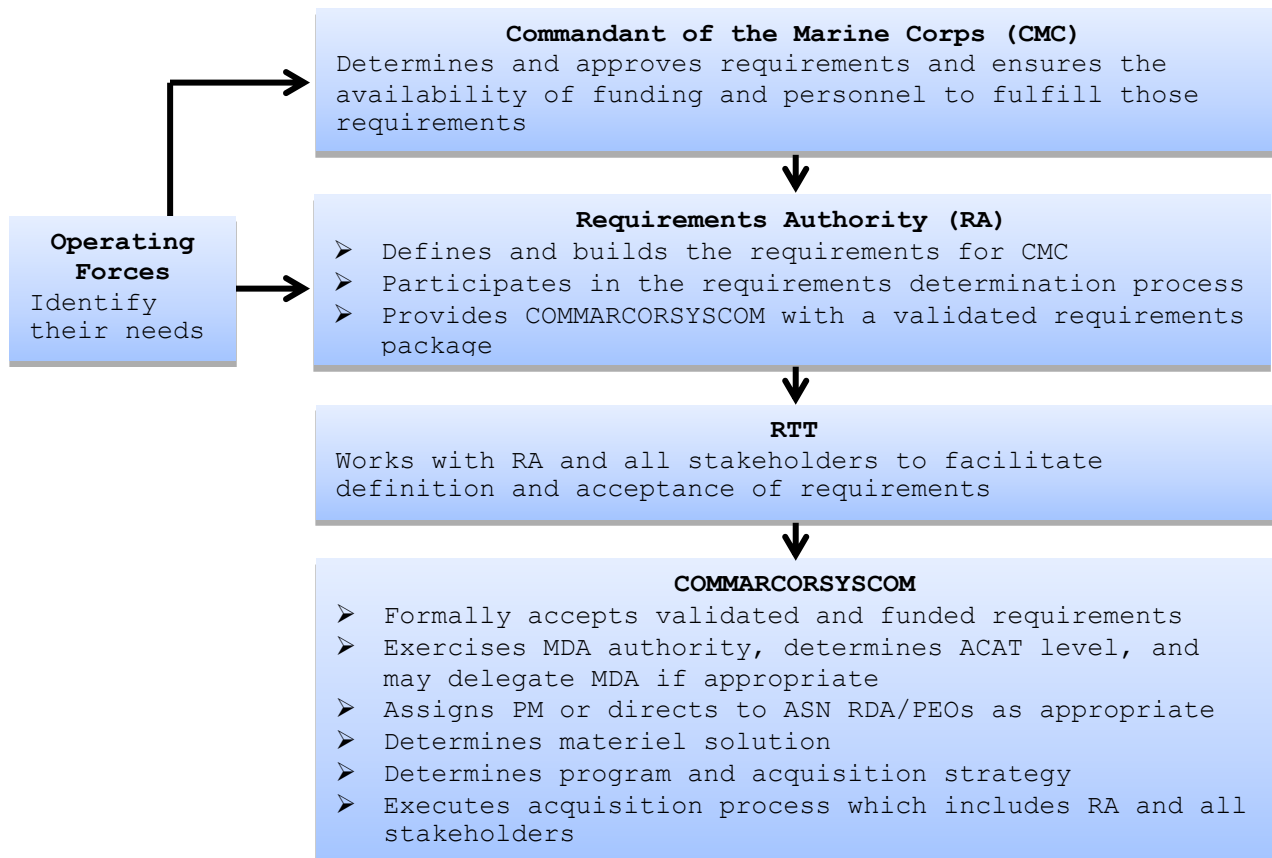
not fall within the UNP, as conveyed in Initial Capability Documents (ICD), Capability Development Document (CDD), Statements of Need (SON), Letters of Clarification (LOC), or other forms of capability requirements.

2.2 RTP Overview.

RTP is the only method by which capability requirements will be accepted by MCSC. Program Managers (PMs) are not authorized to formally accept requirements packages on behalf of COMMARCORSYSCOM. If a PM receives a direct request regarding acceptance of a requirements package, the PM must direct the originator to the Operations (OPS) Cell per [Table 2C](#).

The RTP is managed by the MCSC RTT in coordination with the RA, MCSC Competency Directors (CDs) and key stakeholders, to develop and transition requirements into the acquisition process. [Figure 2A](#) provides a top-level view of Requirements Transition (RT).

Figure 2A. Top Level View of the Requirements Process



Capability requirements can be executed in two manners, Non-Urgent Needs or Urgent Needs. Non-Urgent Needs documents are described below and the process is summarized in [Chapter 2.3.1](#). [Chapter 2.3.2](#) describes Urgent Needs documents and the associated process.

2.2.1 Requirements Transition Team (RTT) Purpose & Membership.

The RTT:

- Facilitates formal acceptance of capability requirements packages on behalf of COMMARCORSYSCOM.
- Ensures that only validated capability requirements with adequate phase specific funding are accepted by MCSC for action.
- Works with the RA, key stakeholders, all competencies, and the prospective PM as early as possible to ensure:
 - Integrated review of capability requirements by all stakeholders and competencies prior to entry into the acquisition process
 - The final capability requirement is clear, concise, executable, affordable, and testable
 - Each capability requirement aligns with [Better Buying Power \(BBP\) guidance](#) and MCSC implementing instructions with respect to [affordability constraints](#) to include:
 - Affordability strategy and goals at MDD/MS A to inform requirements and design trades.
 - There is adequate trade space in cost, schedule, and performance (C/S/P) targets to allow for development of an affordable materiel solution.
 - Affordability caps at Development Request for Proposal (RFP) and beyond for unit procurement and sustainment.
 - Affordability caps managed as KPP equivalents.
- Communicates with external organizations on capability requirements matters on behalf of COMMARCORSYSCOM. This includes participating in development of the Marine Corps Enterprise Integration Plan (MCEIP). The MCEIP establishes capabilities-based priorities for each fiscal year and coordinates enterprise capability development and investment planning for the Marine Air Ground Task Force (MAGTF) and supporting establishment.
- Includes representatives from all competencies and stakeholders as shown in [Table 2A](#). Roles and responsibilities of all stakeholders are identified in [Table 2C](#).

Table 2A. RTT Membership

RTT Membership	
Each organization shall designate one or more representatives as appropriate in consultation with the RTT.	
Standing Members	
AC PROG - Requirements Transition Officer (RTO) - Chair	
DC SIAT	
DC RM	
AC ALPS	
AC Contracts	
OPS Cell	
Counsel	
DC CD&I or Delegate	
Other Key Stakeholders as Required	
RA and other HQMC organizations with an interest in the program	
MCOTEA, LOGCOM, TECOM, PEO LS, Command Staffing, Planning and Strategies (CSPS)	

2.3 RTP Implementation.

[Table 2B](#) summarizes the [MCSC RT framework](#) for acceptance, execution, and management of the RTP.

Table 2B. RT Framework Summary

Event	Summary Description	Output
RT 1.0	<ul style="list-style-type: none"> • RTT receives requirement support tasking (via OPS Cell) from the RA • RTT works with PMOs, competencies/ stakeholders to identify SMEs to participate with the RA Capabilities Documentation Integrated Product Team (IPT) • RA Capabilities Documentation IPT produces draft initial requirements document and CONOPS/COE and forwards to RTT 	<ul style="list-style-type: none"> • Draft capability requirements document • CONOPS/COE
RT 2.0	<ul style="list-style-type: none"> • RTT staffs and adjudicates comments WRT the initial capabilities document and CONOPS/COE • RTT presents final Comment Resolution Matrix (CRM) for COMMARCORSYSCOM approval 	<ul style="list-style-type: none"> • CRM approved by COMMARCORSYSCOM • Final approved requirements package (a requirements document approved by

Event	Summary Description	Output
	<ul style="list-style-type: none"> • RTT forwards approved CRM to OPS Cell for dissemination back to RA • RA adjudicates CRM comments, approves final requirements package, and forwards to OPS Cell 	<p>the RA, with appropriate funding in place, accompanied by a CONOPS/COE)</p>
RT 3.0	<ul style="list-style-type: none"> • RTT receives final validated and signed capability requirements package from OPS Cell • OPS Cell creates DoN TRACKER task and informs CSPS • RTT works with MCSC staff to formally assign the requirement to appropriate PM and identify supporting or impacted PM(s) • AC PROG schedules appropriate Gate/PoPS review and prepares a Decision Memorandum (DM) or Acquisition Decision Memorandum (ADM) for COMMARCORSYSCOM approval 	<ul style="list-style-type: none"> • ADM that assigns PM(s) and establishes initial acquisition approach • DM that identifies COMMARCORSYSCOM's recommended disposition of capability requirements appropriate for MDA oversight outside of MCSC
RT 4.0	<ul style="list-style-type: none"> • Recurring internal process improvement assessment of RT activities performed by the RTT 	<ul style="list-style-type: none"> • Assess feedback • Compare performance to metrics • Implement corrective actions

2.3.1 Non-Urgent Needs Requirements Documents & Process.

Non-Urgent documents may take the form of a Joint Capabilities Integration and Development System (JCIDS) document or non-JCIDS document as described below. JCIDS documents include:

- Initial Capabilities Document (ICD)
- Capability Development Document (CDD)
- Capability Production Document (CPD)

Non-JCIDS documents include:

- Statement of Need (SON)
- Operational and Organizational (O&O) Document in support of another Service's JCIDS requirements document
- Project Initiating Directive (PID)
- Rapid development project for an Information Technology (IT) Box program
- [Problem Statement](#) for Defense Business Systems (DBS) per [Chapter 8.5](#)

- Letters of Clarification (LOC), Engineering Change Proposals (ECPs), Pre-Planned Product Improvement (P3I) per [Chapter 2.4](#)

The [CJCSI 3170.01I](#), [SECNAVINST 5000.2E](#), [SECNAV M-5000.2](#), and [MCO 3900.15B](#) provide detailed information regarding the capability requirements documents and development processes. Some older programs (initiated prior to 2005) are based on a requirements document (i.e. ROC, ORD, MNS) that do not conform with the current CJCSI 3170.01I. The PM may not initiate or continue acquisition activities based on these older requirements documents unless the RA has validated the currency and relevance via Letter of Clarification (LOC) or other written means within the last three years.

The following link will show you the process maps illustrating the detailed execution of the [Non-UNP](#).

2.3.2 Urgent Needs Process (UNP).

When there is an urgent or compelling need to deliver capability to the warfighter as quickly as possible, the Commanders of the Marine Forces submit Urgent Universal Needs Statements (UUNS) to RA per [MCO 3900.17](#).

The RA notifies MCSC OPS Cell of an UUNS. The OPS Cell will follow the UNP maps to execute the process. The RTT supports the OPS Cell as follows:

- Assist the OPS Cell in identifying the prospective PM
- Provide input to the prospective PM's Tier-0 IPT, to enable appropriate modifications to the UUNS Solution Recommendation Brief (SRB)
- Provide input to ACPROG in the development of ADM or DM.

The following link will show you the process maps illustrating the detailed execution of the [UNP](#).

2.4 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 [APL 02-09 Modifications to Systems](#) (Reference (h)). The changes may be significant such as a new capability or major changes to performance parameters, or non-substantive changes such as an Approved Acquisition Objective (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 an ECP, LOC, and P3I, and will come through the Ops Cell. See [Table 2C](#) for means of delivery to MCSC OPS Cell.

2.5 Issue Resolution.

The RTO shall follow the issue resolution principles described in [Chapter 6.4.4](#) 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 proper leadership.

Table 2C. Summary of RT Roles and Responsibilities

Who	What	References & Comments
RA	<ul style="list-style-type: none"> • Submit all requests for capability requirements development or advisory assistance to the MCSC OPS Cell to include all LOCs • Submit validated requirements package for new or modified capability requirements directly to OPS cell • Lead Capabilities Documentation IPT and serve as a standing member of the RTT • Work with RTT to conduct follow-on reviews and provide recommendations to ensure requirements are affordable, testable, funded, and executable • Ensure all capability requirements are current and have been validated within the past three years • Participate in MDA reviews and Milestone decisions throughout program lifecycle 	<p>Per BBP identify design and performance trades to support fully informed MDA materiel solution decisions WRT affordability constraints. This includes consideration of threshold and objective trade space as well as overarching cost and affordability trades. MCSC OPS Cell submissions shall be submitted to the watch officer's inbox NIPR: watchofficer@usmc.mil and SIPR: watchofficer@mcsc.usmc.smil.mil or DoN TRACKER</p>
OPS Cell	<ul style="list-style-type: none"> • Serve as single entry point for receipt of capability requirements from RA, forward capability requirements to RTT, and inform CSPA • Team with RTT to support effective management & execution of the RTP • Track and report acquisition and fielding of urgent requirements 	<p>In most cases the appropriate SLDCADA sub-shop code is PROGACRT</p>
AC PROG	<ul style="list-style-type: none"> • Serve as the RT manager, establish RTT, implement RTP policy and procedures 	<p>Assign Requirements Transition Officer (RTO) to lead RTT</p>

Who	What	References & Comments
	<ul style="list-style-type: none"> • Develop DMs or ADMs for COMMARCORSYSCOM approval identifying appropriate organization to execute capability requirements • Ensure documentation of key decisions • Surface unresolved issues to COMMARCORSYSCOM • Periodically assess effectiveness of RTP and direct infrastructure or policy changes • Provide COMMARCORSYSCOM with periodic and timely updates WRT RTP process and associated metrics • Recommend "By direction" authority to enable streamlined and effective execution of RTP 	
RTO	<ul style="list-style-type: none"> • Assist AC PROG in implementation of assigned responsibilities • Serve as the RT manager, lead RTT and establish implementing RTP policy and procedures • Communicate with external organizations WRT capability requirements matters on behalf of COMMARCORSYSCOM • Lead an integrated assessment (with participation from all competencies/key stakeholders) of new or modified capability requirements WRT trade space, risks, affordability, executability, and testability per Enclosure (a) "12 Steps to Program 	<p>Note: A requirements package is a capability requirements document which has been approved by the RA, has appropriate phase-specific funding in place, and is accompanied by a CONOPS/COE</p>

Who	What	References & Comments
	Success" and BBP •Accept requirements packages on behalf of COMMARCORSYSCOM	
RTT	•Assist RTO in implementation of assigned responsibilities •Team with Tier-0 IPT counterpart to fully inform their respective CD and provide consolidated CD guidance to the RTT •Ensure respective parent organization leadership is fully informed and communicate concerns or recommendations to the RTO	In most cases the appropriate SLDCADA sub-shop code is PROGACRT
Tier-0 IPT	•Participate in RTT reviews upon request •Team with RTT counterpart to fully inform their respective CD and provide consolidated CD guidance to the RTT •Ensure PM is fully informed and communicate PM concerns or recommendations to the RTT	In most cases the appropriate SLDCADA sub-shop code is PROGACRT
PM	•Participate in the RTP process •Forward any new or modified requirements received directly from RA to OPS Cell for formal processing •Immediately surface issues to appropriate Command leadership WRT program acceptance and executability •Execute assigned programs per ADM guidance	Per Chapter 2.3.1 , the PM may not initiate or continue acquisition activities unless the RA has validated the currency and relevance of the requirement within the past 36 months via LOC or other written means In most cases the appropriate SLDCADA sub-shop code is PROGACRT

Who	What	References & Comments
CD	<ul style="list-style-type: none"> • Provide a representative to serve as a standing member of the RTT • Enforce and support implementation of RTP within respective organization 	
HQMC, DC CD&I or Delegate, MCOTEA, LOGCOM, TECOM, PEO LS, CSPS (Other Stakeholders)	<ul style="list-style-type: none"> • Provide a representative (as desired) to serve as a standing or adjunct member of the RTT 	DC CD&I/Combat Development Directorate has identified a standing RTT member from the MAGTF Integration Division
Commander, MCSC	<ul style="list-style-type: none"> • Establish RTP, designate supported and supporting organizations, and approve implementing policies • Establish “By direction” authority to enable streamlined and effective execution of RTP • Review and approve DMs/ADMs and provide guidance as appropriate • Conduct periodic assessments of RTP and direct infrastructure or policy changes 	In most cases the appropriate SLDCADA sub-shop code is PROGACRT

2.6 Defense Acquisition Framework.

MCSC programs follow the Defense Acquisition Framework shown in [Figure 2B](#), established by [DoDI 5000.02](#). The specific Acquisition Models that are associated to implement this framework are provided and described in [Chapter 2.7](#). The Acquisition Framework accommodates both conventional weapons (hardware-intensive) and IT (software-intensive) systems.

MDA: Milestone Decision Authority (MDA) is the term used for the Service Acquisition Executive responsible for oversight and serves as the decision authority for acquisition programs proceeding through the prescribed [DoDI 5000.02](#) Defense Acquisition Framework. Unless otherwise delegated by the Commander, the Commander is the MDA for all MCSC led ACAT-III and below programs. The term MDA does not apply for Abbreviated Acquisition Programs (AAPs).

PDA: Program Decision Authority (PDA) is the term used in lieu of MDA for AAPs within MCSC and DoN. The term has expanded application at MCSC to also encompass:

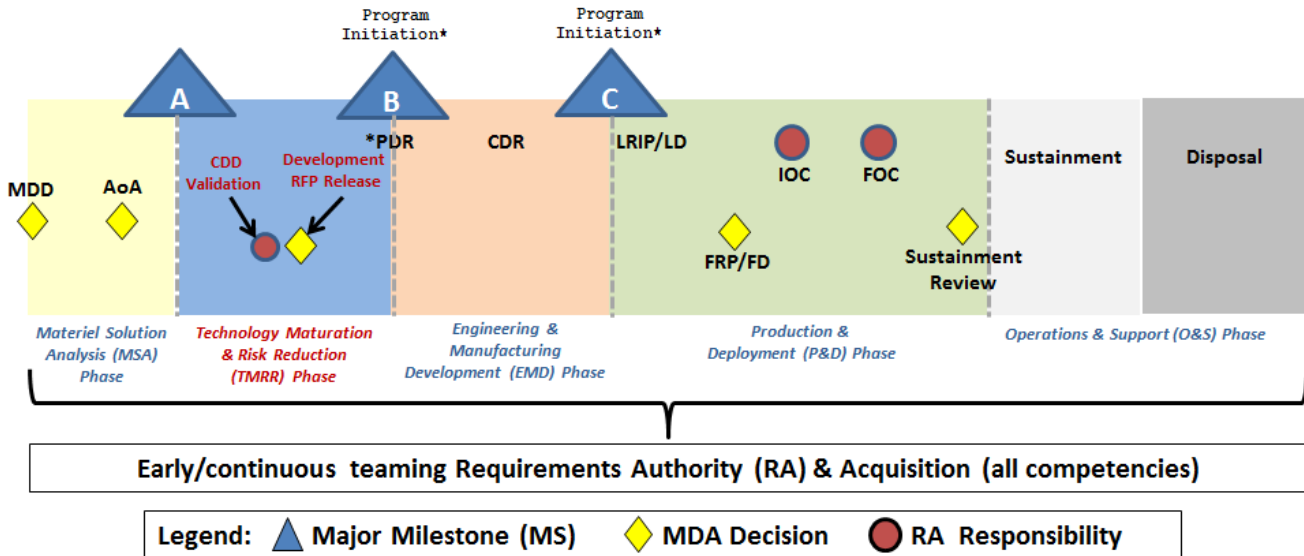
- Acquisition programs led by another service where the MDA resides with the Lead Service. In those cases, PDA is also used at MCSC to communicate who has the acquisition program decision and obligation authority for the USMC, the Commander or PM (if delegated by Commander).
- Acquisition programs in the Operations & Support (O&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.

The MDA tailors the framework consistent with the risk and complexity of each individual program, to provide affordable and effective capability to the warfighter as fast as possible. This includes the phases, Milestones (MS), Decision Points, reviews, and documentation.

For example, a new start program with significant development will likely be required to execute many of the below MS and Decision Points. In contrast, the MDA may determine that a lower risk effort will enter the Defense Acquisition Framework at MS B, MS C, etc. and may elect to eliminate or combine

supporting reviews and documentation. For more information on tailoring see [Chapter 7.4](#).

Figure 2B. Defense Acquisition Framework



- Use this framework along with the Defense Acquisition Models found in [Chapter 2.7](#) to develop a tailored approach for each program to eliminate low value reviews and events
- [Tailor](#) this model to eliminate low value reviews and events
- [MDD](#) is mandatory & precedes entry into any phase
- [Affordability](#) is a major criteria at each decision point
- Program initiation typically occurs at MS B or MS C
- *The timing of the PDR shall be as directed by the Technical Authority
- Defense Business Systems (DBS) follow a modified version of the framework per [DoDI 5000.02](#) Enclosure 12 and [Chapter 8.5](#)

The Defense Acquisition Framework:

- Consists of periods of time called phases separated by decision points referred to as MS or Decision Points.
- Provides for multiple entry points consistent with a program's risk, affordability, technical maturity, performance, documentation and funding status, and validated requirements. This includes status and results of engineering and logistics reviews as well as completion of appropriate contracting events.

The MDA reviews entrance criteria for each phase to determine the appropriate point for a program to enter the framework. The MDA decision will be based on an assessment of overall program risk and approved tailoring strategy. Progress through the framework depends on compliance with the appropriate entrance and exit criteria for each phase (defined below).

- **Entrance Criteria** - Entrance criteria are phase specific accomplishments established by [DoDI 5000.02](#) which must be completed before a program is allowed to enter a particular phase, MS, or Decision Points. This includes appropriate measures of overall program maturity and risk such as technical readiness levels, test results, affordability, and compliance with statutory requirements. Entrance criteria for each MS and Decision Point are shown on the MCSC Probability of Program Success (PoPS) core briefing charts. A sample is shown in [Enclosure \(b\)](#).

Entrance criteria should not be part of the Acquisition Program Baseline (APB) and are not intended to repeat or replace APB requirements or program specific exit criteria established within the ADM. Status of entrance criteria is reported to the MDA via the MCSC PoPS core briefing charts.

- **Exit Criteria** - At each MS and Decision Point, the PM together with the Milestone Assessment Team (MAT) or Tier-0 IPT, will develop and propose exit criteria for the next phase, MS, or Decision Point. Exit criteria are approved by the MDA and included in the ADM.

Exit criteria are specifically tailored for each unique program. They normally track progress in important technical, schedule, or management risk areas. Unless waived, or modified by the MDA, exit criteria must be satisfied for the program to proceed to the next MS or Decision Point.

Exit criteria should not be part of the APB and are not intended to repeat or replace APB requirements or the entrance criteria specified in [DoDI 5000.02](#). Status of approved exit criteria is reported to the MDA via the MCSC PoPS core briefing charts.

Knowledge Based Acquisition (KBA). [DoDD 5000.01](#) (Reference (i)) requires the MDA to ensure there is sufficient knowledge in place (e.g. critical entrance criteria have been met) before authorizing program initiation or proceeding to the next phase

or MS. This is referred to as Knowledge Based Acquisition (KBA). Emphasis is placed on accurate assessments of technology maturity, design maturity, production readiness, supportability, and other criteria. The MCSC PoPS core briefing charts are structured to support KBA as follows:

- A mandatory chart provides MDA visibility to required [DoDI 5000.02](#) entrance criteria for each MS and Decision Point.
- The PM/PdM populates the entrance criteria chart with program specific status for each entrance criterion.

Additional information is available in [DAG Chapter 11.4](#).

The MCSC PoPS core briefing charts found in the [MAP SharePoint](#) provide a detailed description of the entry criteria and output products for each MS and Decision Point, along with required documents, briefing content, and notional timelines.

2.6.1 Milestone and Decision Points.

Below is a brief summary of each MS and Decision Point, along with an explanation of how they are typically tailored at MCSC.

Major Milestones. [DoDI 5000.02](#) establishes three major milestones during which the MDA authorizes the program to proceed to the next phase of the acquisition framework and/or program initiation. These are:

- MS A - approves entry into the Technology Maturation and Risk Reduction (TMRR) phase.
- MS B - approves entry into the Engineering and Manufacturing Development (EMD) phase.
- MS C - approves entry into the Production and Deployment (P&D) phase and Low Rate Initial Production (LRIP) where appropriate.

Decision Points. [DoDI 5000.02](#) establishes several MDA decisions which are not considered to be major MS decisions. These are commonly known as Decision Points. These events are critical because they enable the PM/MDA to conduct a risk-informed assessment of program status and progress towards the next major MS or phase. The PM proposes and the MDA determines which Decision Points are applicable to an individual program. These are summarized below; more detailed information is provided within the phase specific guidance throughout this chapter.

- Materiel Development Decision (MDD) - (Mandatory for all MCSC programs) Approves entry into the Materiel Solution Analysis phase (or subsequent phase if appropriate).
- Analysis of Alternatives (AoA) - Approves conduct of the AoA, alternative analytical product, or waiver (e.g. fulfillment).
- CDD Validation - This event is conducted by the RA. The MDA considers results before releasing the Development RFP to ensure the requirement is affordable, executable, and testable.
- Development RFP Release - This is now considered (per BBP) one of the most important points in the acquisition framework. It is the last point at which the MDA can ensure the program is affordable and executable before committing substantial government resources and initiating major program decisions. If RFP release is requested prior to MS B, then MDA approval must be obtained.
- Full Rate Production (FRP) Decision - Authorizes production based on review of LRIP test results.
- Sustainment Review - Authorizes entry into the O&S phase.

MDA Reviews and Acquisition Decision Memorandums (ADMs). At each MS and Decision Point, the MDA will:

- Review the applicable MCSC PoPS core briefing charts which highlight the following:
 - Compliance with the entrance criteria established by [DoDI 5000.02](#) and program specific exit criteria established by the previous ADM (if applicable)
 - Status of required program documentation, events, and other MS specific requirements such as engineering reviews, Integrated Logistics Assessments (ILAs), test and evaluation events, etc
 - Funding status
 - Risks and handling strategies
 - Status of requirement and Concept of Operations (CONOPS)
 - Affordability and associated C/S/P trades where applicable
 - Tailoring strategy
- Review the recommendation of the MAT for programs where COMMARCORSSYSCOM has retained MDA or the Tier-0 IPT for programs where MDA has been delegated to a PM.
- Review compliance of the program with previously established C/S/P parameters per the APB.

After completion of the above, the MDA will issue an ADM. The ADM will:

- Document the decision made
- Establish the next MS or Decision Point and target date as appropriate
- Establish program unique exit criteria that must be met before the next MS or Decision Point
- Update the tailoring strategy to include required documents (as appropriate)

See the [MCSC ADM template](#) for mandatory ADM guidelines. At any MS or Decision Point, the MDA may determine a program is not ready to proceed to a subsequent MS or Decision Point. In this case, the MDA may elect to issue an ADM directing appropriate action to include the development of specific metrics in support of a “get-well” plan.

2.6.2 Acquisition Phases and Key Events.

Phase One - Materiel Solution Analysis. Prospective ACAT programs typically enter this phase after MDD. This phase ends when the MDA selects a preferred materiel solution based on results of the AoA (or alternative product).

- **MDD.** Prospective programs proceed through a MDD to ensure they are based on an approved requirement and a rigorous assessment of alternatives. The MDD is the first entry point into the acquisition process and is **mandatory**.

At the MDD, the MDA will issue an ADM that:

- Approves the AoA study guidance or a fulfillment strategy for the conduct of an AoA. (In lower risk programs, a comprehensive AoA may not be appropriate. In such cases the MDA may approve conduct of a smaller scale targeted analysis such as market research, business case analysis, etc, instead of an AoA. This is known as AoA fulfillment). *Note: All recommendations regarding the AoA Study Guidance (to include fulfillment) must be coordinated through the MCSC AoA Integrated Product Team (IPT). See the MCSC PoPS MDD core briefing charts for detailed guidance.*
- Approves entry into the appropriate acquisition phase based on the program’s alignment with the specific entrance criteria established for each phase in [DoDI 5000.02](#) and determines the next MS or Decision Point.
- May assign an ACAT/AAP designation and delegate MDA/PDA if sufficient information such as estimated

cost, program scope, potential impact to combat capability, and complexity is available to support an informed decision. If sufficient information is not available at the time of the MDD, the ADM shall specify a timeframe within which the PM shall return for an ACAT/AAP designation.

The ADM will also typically include a requirement to establish a Test & Evaluation (T&E Working Integrated Product Team (WIPT)) per the [USMC Integrated Test and Evaluation Handbook](#) (Reference (j)) and impose a limitation on expenditures for the Materiel Solution Analysis Phase. Limiting expenditures reduces the risk to the Marine Corps by ensuring only a limited quantity of funds are expended before the MDA determines the proposed effort is affordable, executable and approves development of an approved materiel solution or capability.

In most cases, the MDD decision is conducted by COMMARCORSYSCOM. This is because the MDD typically occurs prior to ACAT/AAP designation and before any delegation of MDA/PDA from COMMARCORSYSCOM to a PM. However, the PM may request ACAT designation from COMMARCORSYSCOM or AAP designation from AC PROG prior to or concurrently with the MDD when the following conditions are met:

- o The program is estimated to meet the AAP or ACAT IV thresholds and definitions in [Table 4A](#).
- o The program is assessed as low risk in terms of C/S/P. For additional information regarding risk determination see [Chapter 8.2](#).
- o The cost estimate is of sufficient fidelity to support an informed MDA decision relative to ACAT level.

See [Chapter 5](#) for guidance regarding ACAT/AAP designation and delegation before MDD.

MDD vs. Program Initiation. Program initiation occurs when a prospective program formally enters the [DoDI 5000.02](#) Defense Acquisition Framework and becomes an ACAT program. Program initiation usually occurs at MS B. However, it may occur after MS B if the MDA determines a MS B is not required. In this case, program initiation will occur at the first MS decision such as MS C.

At program initiation, a program must be fully funded across the Future Years Defense Program (FYDP) as a result of the Program Objectives Memorandum (POM)/budget process.

The MDD, Materiel Solution Analysis phase, MS A, and Technology Maturation and Risk Reduction (TMRR) phase, are typically funded only for phase specific accomplishments. **As such, the MDD and Milestone A do not constitute program initiation.**

- **AoA Approval**. Programs must proceed to an AoA decision brief with the MDA if directed by the MDD ADM. The AoA assesses potential materiel solutions to satisfy the capability gap documented in the approved requirements document. The AoA decision brief provides the MDA with initial visibility into the C/S/P risks and affordability of each alternative. At this review, the MDA shall:
 - Approve the AoA and select a preferred alternative.
 - Issue an ADM that documents the decision made, establishes appropriate exit criteria and determines the next MS or Decision Point.

(Note: the results of the AoA must be coordinated through the MCSC AoA IPT). For additional guidance, please reference the MCSC PoPS AoA core briefing charts.

Phase Two - Technology Maturation and Risk Reduction (TMRR).

This phase begins after completion of the AoA and ends when an affordable program or increment of militarily useful capability has been identified. The goal of this phase is to reduce technology, integration, and lifecycle cost risk to the point that a contract award for EMD can be made with MDA confidence that the resulting program will be affordable and executable throughout its lifecycle. The MDA will direct entry into the Acquisition Framework at a subsequent phase or the conduct of a tailored subset of TMRR events for low risk efforts with little or no R&D. The strategy will be tailored to the specific status and risks of each program. During this phase:

- The PM will perform SE trade off analyses to show how C/S/P vary as a result of changing major design parameters. These analyses should be timed to support CDD Validation as described below.
 - The PM will team with the RA to ensure that affordability C/S/P trades are identified and present results for MDA and (as appropriate) USMC leadership.
- **Milestone A (MS A)**. MS A is required for ACAT I programs. Typically, a MS A decision is appropriate for those programs with significant technology development (TD) efforts. Many MCSC programs do not require extensive TD;

therefore, a MS A decision is typically not required. PMs should consult with the Tier-0 IPT regarding applicability of MS A for each specific program.

- **CDD Validation.** This event is conducted by the RA. The MDA considers results before releasing the Development RFP to ensure the requirement is affordable, executable, and testable.

- **Development RFP Release.** The MDA conducts a formal review to authorize RFP release prior to the MS B decision. Key supporting documentation such as the Acquisition Strategy (AS), draft RFP, Systems Engineering Plan (SEP), Test and Evaluation Master Plan (TEMP), System Design Specification (SDS), APB, and Program Office Estimate (POE) must be submitted for MDA review (may be in draft form) at least 45 days prior to the MDA decision.
 - The PM recommends and the MDA approves the specific documents to be prepared for each program. This is documented in the MDA approved tailoring strategy and included as an ADM enclosure. Required documents for the next MS event are approved by the MDA at each review point. As such, the PM should reference the previous program ADM to determine required documentation for Development RFP Release. See [Chapter 7](#) and the [MCSC ADM template](#) for more guidance.
 - For programs where COMMARCORSYSCOM has retained MDA, the MAT shall review the draft ADM, MCSC PoPS core briefing charts, PoPS criteria questions, and program documentation before they are submitted for MDA approval. For programs where MDA has been delegated to a PM, the same process shall be followed except that the Tier-0 IPT shall perform the review in lieu of the MAT.
 - **RFP Peer Review.** These reviews are conducted before release of the Development RFP and at other milestones as appropriate. The purpose is to obtain an independent review by external subject matter experts. The results of the Peer Review must be incorporated in the RFP (as applicable) prior to submitting the RFP for MDA review. For questions regarding the Peer Review, please contact your Procurement Contracting Officer (PCO) and Assistant Program Manager for Contracts (APM-CT).

System Design Specification (SDS). All programs are required to prepare a SDS prior to MS B. The SDS

identifies technology development risks, validates preferred system design solutions, evaluates manufacturing processes, and refines system requirements, to inform decision makers earlier in the acquisition process. The SDS must be completed prior to the Development RFP Release. Questions regarding the SDS should be addressed to the Assistant Program Manager for Engineering (APM-E). If the Program Management Office (PMO) believes an entire SDS is not appropriate for their effort, a waiver may be requested from DC SIAT. Additional guidance regarding the SDS is located in the MCSC MS B core briefing charts and [SECNAVINST 5000.2E](#) Annex 2A.

Phase Three – Engineering and Manufacturing Development (EMD).

This phase begins at MS B. This is typically the point at which programs formally enter the acquisition process; otherwise known as [program initiation](#). At MS B, the MDA approves the AS, APB, and RFP release. A program must be “fully funded” to support the MS B decision. This means there is sufficient Research & Development (R&D) and Procurement Marine Corps (PMC) over the Future Years Defense Program (FYDP), or the MDA has approved a full funding Course of Action (COA). Although Operations & Maintenance (O&M) is not considered part of the above full funding determination the status of O&M shall be presented to the MDA and any gaps highlighted along with proposed mitigation strategy.

In those cases where the PM must prepare full funding COAs as described above, the following process shall be used:

- The PM/PdM shall work with CD&I, key stakeholders, and all competencies to prepare COAs which provide the MDA with viable alternatives to deliver an operationally relevant capability within funding constraints. At a minimum, the PM shall:
 - Identify the risks and benefits associated with each COA.
 - Highlight C/S/P implications of each COA.
 - Review each COA prior to presentation to the MDA to ensure it is realistic and executable within the overarching program strategy to include contracting, financial, logistics, engineering, and test.
 - Identify any required changes to the program strategy and documentation to enable accomplishment of each COA.
 - Review each COA to determine if it aligns with existing requirements documentation. Highlight any

necessary changes to the requirements documentation to support execution of each applicable COA.

For additional guidance, please reference the MCSC PoPS Development RFP core briefing charts. After the MS B decision, all ACAT III and IV programs are required to begin posting program information in the [ASN RDAIS](#). At MS B, the ADM will determine the ACAT level and delegation of MDA if appropriate (unless this will be accomplished via a separate ADM).

Integrated Baseline Review (IBR). An IBR is a joint assessment of the Performance Measurement Baseline (PMB) conducted by the government PM and the contractor. The IBR is not a one-time event. It is an on-going process, and the plan should be continually evaluated as changes to the baseline are made (modifications, restructuring, etc.). IBRs should be used as necessary throughout the lifecycle to maintain mutual understanding of:

- The scope of the PMB consistent with authorizing documents.
- Management control processes.
- Risks in the PMB associated with costs, schedules, and resources.
- Corrective actions where necessary.

IBRs should be scheduled as early as practical; and the timing of the IBRs should take into consideration the contract period of performance. In general, IBRs should be conducted no later than 6 months after: (1) contract award, (2) the exercise of significant contract options, and (3) the incorporation of major modifications.

The PM may direct conduct of an IBR within a reasonable time after the occurrence of a major event at any point during the life of a program. Major events include preparation for or completion of a MS or Decision Point, engineering reviews, or identification of C/S/P risks. The PM should regularly assess the PMB to determine when IBRs should be conducted.

See [DAG Chapter 11.3.1](#) for more information regarding IBRs.

Preliminary Design Review (PDR). The purpose of the [PDR](#) is to establish the allocated baseline (HW, SW, human/support systems) and underlying architectures. The allocated baseline describes:

- The functional and interface characteristics for all configuration items (CIs). (CIs are allocated and derived from the higher-level product structure hierarchy).
- The verification required to demonstrate achievement of specified characteristics.

PDR is also conducted to ensure the system has a reasonable expectation of satisfying the requirements within the currently allocated budget and schedule.

The Technical Authority tailors the content and timing of the PDR for each unique program as documented in the Systems Engineering Plan (SEP).

For additional PDR information, see the [Marine Corps Systems Command Systems Engineering Technical Review Handbook, 6 Aug 2014](#) (Reference (k)).

CDR. The system level [CDR](#) provides the opportunity to assess design maturity, maturity of critical manufacturing processes, and system reliability.

The CDR establishes the initial product baseline to ensure the system has a reasonable expectation of satisfying the requirements of the Capability Development Document (CDD) or equivalent requirements document within the currently allocated budget. The CDR evaluates the proposed baseline ("build to" documentation) to determine if the system design documentation is satisfactory to start initial manufacturing.

The CDR is intended to demonstrate the ability of the system to operate in a useful way consistent with the approved Key Performance Parameters (KPPs); and that system production can be supported by demonstrated manufacturing processes.

The PM will provide a CDR summary to the MDA at MS C that identifies actions or tradeoffs required to meet APB C/S/P goals.

Phase Four - Production & Deployment (P&D). The completion of EMD occurs when the MDA commits to the program at MS C or decides to end the effort. The P&D phase begins at MS C and ends when the MDA determines the program has entered the

Operations and Support (O&S) phase via approval of a PoPS Gate 6.5 Sustainment decision.

- **Milestone C**. MS C authorizes entry into the P&D phase. The MDA makes the decision to commit the Department of Defense (DoD) to production at MS C, and documents this decision, along with appropriate boundaries, in an ADM. The ADM may authorize entry into Low Rate Initial Production (LRIP), or into Full Rate Production (FRP) for low risk systems that do not require LRIP. For SW intensive systems with no production components, the LRIP decision is referred to as Limited Deployment Decision (LDD) and FRP is referred to as the Full Deployment Decision (FDD).

For programs that receive a combined MS C/LRIP decision, a separate FRP decision review with the MDA is required and will be specified in the ADM. For additional guidance, please reference the MCSC PoPS MS C core briefing charts.

- **LRIP**. The purpose of LRIP is to effectively manage risk by ensuring the system is ready to proceed to FRP prior to committing the government to the entire FRP quantity. LRIP provides the government with the opportunity to identify and resolve test deficiencies and further mature production processes prior to the FRP decision. LRIP quantities should be limited to the minimum necessary to achieve the above goals.

As a rule of thumb, LRIP quantities should be limited to 10% of the total production quantity. The PM/PdM should consult with Marine Corps Operational Test and Evaluation Activity (MCOTEA) and the Tier-0 IPT when proposing LRIP quantities for MDA consideration. The MDA may authorize LRIP quantities, to include those in excess of 10%, at the time of the MS C decision. If the PM/PdM wishes to request LRIP quantities in excess of 10%, rationale should be provided for MDA consideration. The ADM will specify LRIP maximum quantities. Any subsequent increase in LRIP quantities, beyond what is authorized in the current ADM, must be approved by the MDA in a revised ADM.

- **FRP**. FRP authorizes the delivery of the fully funded quantity of systems or capability as well as supporting materiel 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) as described below. For additional guidance, please reference the MCSC PoPS FRP core briefing charts and [Chapter 2.6.3](#). In addition, declaration of Initial Operational Capability/Full Operational Capability (IOC/FOC) will occur after the FRP decision as described in [Chapter 2.6.4](#).

2.6.3 Fielding.

Fielding is the process of initially deploying and transferring systems, capabilities, and equipment from the acquisition organization to the operating forces and supporting establishments. The MCSC Fielding Decision Process is described in [MARCORSYSCOMO 4105.10, dtd 1 May 2014](#) (Reference (1)). The fielding process at MCSC is led by the AC ALPS. All competencies and stakeholders work together to support AC ALPS and the PM/PdM in the successful preparation for and execution of the fielding decision.

The MDA issues an ADM (typically at MS C) which specifies both the timing and entry/exit criteria for the fielding decision. The ADM may direct a:

- Standalone fielding decision to occur subsequent to a MS C decision.
- Combined MS C/Fielding decision.
- Combined FRP/Fielding decision.

The specific approach for each program shall be based upon the recommendations of the PM/PdM, ILA chair, and MAT or Tier-0 IPT for programs which have been delegated to PM.

The fielding process for IT programs is tailored to reflect the unique characteristics of IT. In many IT programs, a capability and/or 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 ILA chair will advise the PM regarding the development of a fielding strategy tailored to address the unique characteristics of IT programs.

For additional guidance, please contact your ILA chair or Assistant Program Manager for Life Cycle Logistics (APM-LCL).

2.6.4 IOC and FOC.

Initial Operational Capability (IOC). Attained when some of the end users scheduled to receive a system or capability 1) have received it and 2) have the ability to employ and maintain it.

Full Operational Capability (FOC). Attained when all of the end users scheduled to receive a system or capability 1) have received it and 2) have the ability to employ and maintain it.

IOC and FOC are specifically defined for each program in the applicable requirements document. In addition, the requirements document will specify objective (best case) and threshold (minimum acceptable) dates for attainment of IOC and FOC. Attainment of IOC and FOC is tracked in the program APB.

Declaration of IOC and FOC. CD&I typically determines or “declares” when IOC and FOC have been achieved. In some cases, the program sponsor such as HQMC C4, PP&O, or I&L may declare IOC. There is no prescribed format for declaration of IOC or FOC. In most cases, a formal memorandum is issued by CD&I or the program sponsor. An example is provided in [Enclosure \(c\)](#).

IOC and FOC will occur after the MS C/FRP decision. The specific timeframes will vary for each program. Achievement of IOC and FOC is a significant indicator of program success. This provides tangible evidence that:

- A system is accomplishing its intended purpose (IOC).
- All required quantities have been delivered to the end users (FOC).
- The appropriate logistics/training infrastructure is in place to enable the users to employ the capability (IOC & FOC).

Phase Five - Operations & Support (O&S). As stated earlier in this Chapter, the MDA/PDA determines the program has entered the Operations & Support (O&S) phase via approval of a PoPS Gate 6.5 Sustainment decision. The decision by the MDA to place the acquisition program in the O&S phase should be captured in an Acquisition Decision Memorandum (ADM). The ADM should also address any specific Post-Implementation Review (PIR) or Life-Cycle Sustainment requirements. The DRAFT ADM proposed to the MDA/PDA should include language that delegates the PDA

responsibility to the Program Manager (if not already previously delegated by policy or ADM).

The purpose of the O&S Phase is to provide continued support to the product or capability after delivery to the intended user. During this phase, the PM/PdM, IPT, and the Product Support Manager ensure:

- Materiel readiness and operational support performance requirements are met (to include refresh of IT systems).
- The system is sustained in the most cost-effective manner over its total life cycle.

Planning for this phase should begin prior to program initiation and is reviewed via ILAs conducted throughout the life of the program. O&S has two major sub-phases, Life Cycle Sustainment and Disposal.

- **Life Cycle Sustainment**. Entry into Life Cycle Sustainment typically occurs after IOC/FOC has been achieved. During this phase, the PM/PdM shall conduct continuing reviews of logistics strategies and make required adjustments to meet performance targets. The MDA performs on-going reviews of program status during this phase which are established at the FRP ADM and updated at each subsequent review. This includes the conduct of periodic Program Implementation Reviews (PIRs) as described below. Additional information, to include entrance criteria can be accessed via Sustainment under the PoPS Core Briefing Charts tab located on the [MAP SharePoint](#) site.
 - Post Implementation Review (PIR). [DoDI 5000.02](#), Tables 2, establishes a statutory requirement that all ACAT programs be subjected to a PIR. The PIR plan is presented to the MDA at the FRP Decision Review, and the PIR Report is presented to the MDA during the O&S phase, typically after attainment of IOC and before FOC is achieved. The MDA will specify the timeframe for review of the PIR Report in the FRP ADM. The purpose of the PIR is to:
 - Determine if the warfighter/user is satisfied the capability delivered meets their needs.
 - Confirm the initial validated need has not changed. If it has changed, this should be identified and addressed in the PIR Report.
 - Compare actual project costs, benefits, and risks, against earlier projections. Determine

the causes of any differences between planned and actual results.

- A one page tailored version of the PIR report (with instructions) for MCSC programs is located within the MCSC PoPS Sustainment core briefing charts.

The requirements officer typically prepares the PIR Report, with full participation from the PM/PdM. In addition, it is imperative all stakeholders and competencies to include MCOTEA are involved in the planning and conduct of the PIR. Detailed guidance regarding conduct of the PIR is provided in the MCSC PoPS Sustainment core briefing charts and the [DAG Chapter 7.9](#).

- **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 and policy relating to safety (including explosives safety), security, and the environment. Planning for disposal is addressed within the ILA. For additional information, please contact your APM-LCL.

2.7 Acquisition Models.

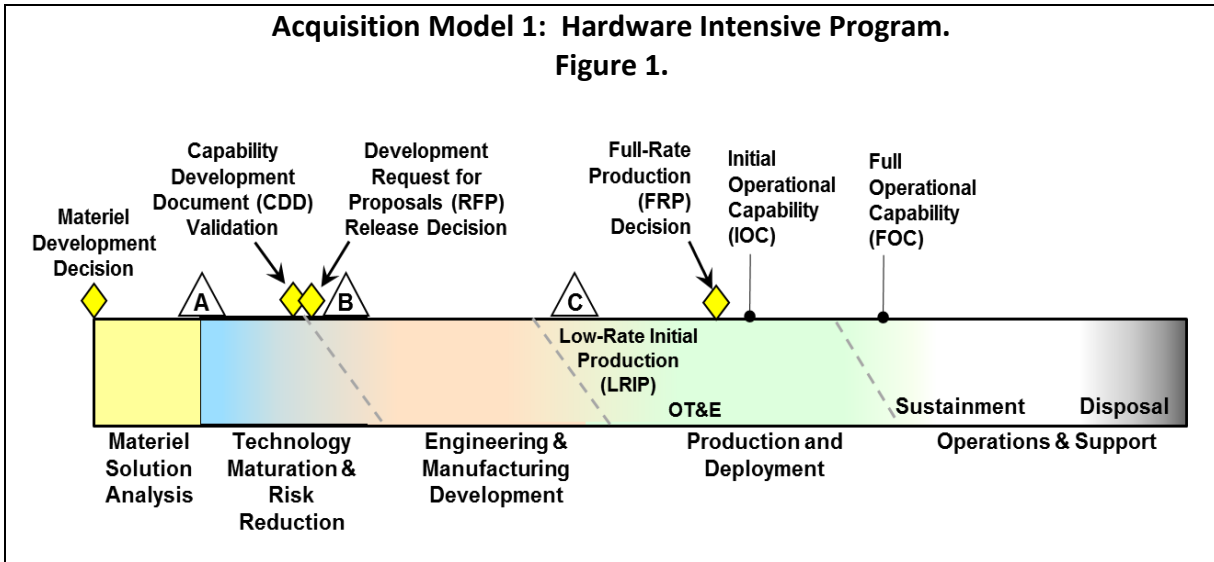
As of 2015, the DoDI 5000.02 includes a new set of acquisition models. There are a total of six models: four basic models and two hybrid models. The four basic models provide examples of defense acquisition program structures that are tailored to the type of product being acquired or to the need for accelerated acquisition. The two additional hybrid models combine the hardware and software features of multiple basic models. The six models are listed below.

- Model 1: Hardware Intensive Program
- Model 2: Defense Unique Software Intensive Program
- Model 3: Incrementally Deployed Software Intensive Program
- Model 4: Accelerated Acquisition Program
- Model 5: Hybrid Program Model A (Hardware Dominant)
- Model 6: Hybrid Program Model B (Software Dominant)

The following paragraphs provide a basic introduction for each of these models. For more detail, please refer to the [DoDI 5000.02](#) section 5c(3), as published on January 7, 2015.

Model 1: Hardware Intensive Program

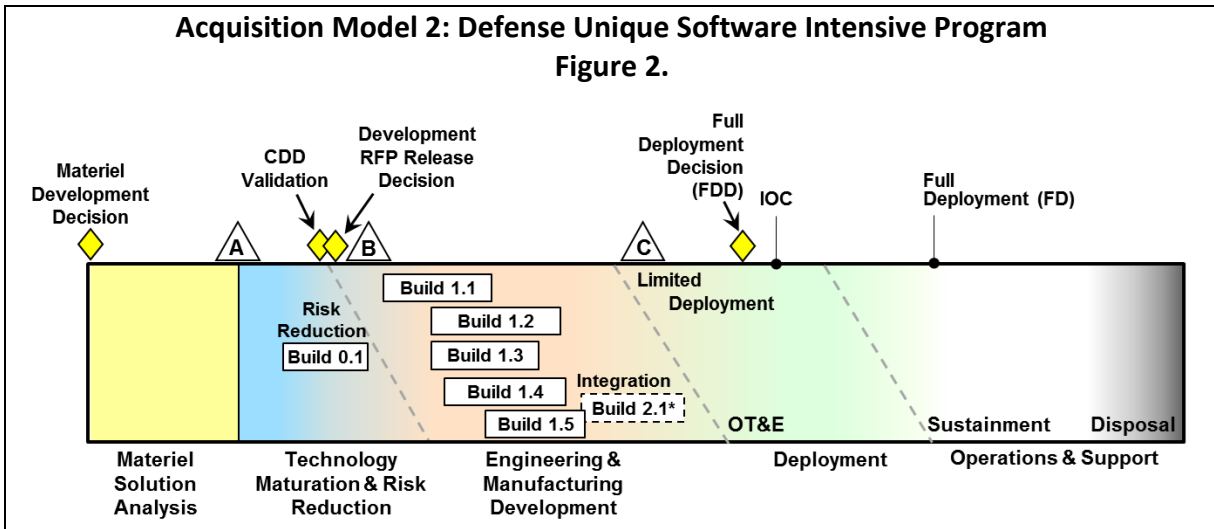
The hardware intensive model that is illustrated in Figure 1 is the classic model that has existed in some form in all previous editions of the DoDI 5000.02. It is the starting point for most military weapon systems; however, these products almost always contain software development resulting in some form of Hybrid Model.



Model 2: Defense Unique Software Intensive Program

Figure 2 is a model of a program that is dominated by the need to develop a complex, usually defense unique, software program that will not be fully deployed until several software builds have been completed. The central feature of this model is the planned software builds - a series of testable, integrated subsets of the overall capability - which together with clearly defined decision criteria, ensure adequate progress is being made before fully committing to subsequent builds.

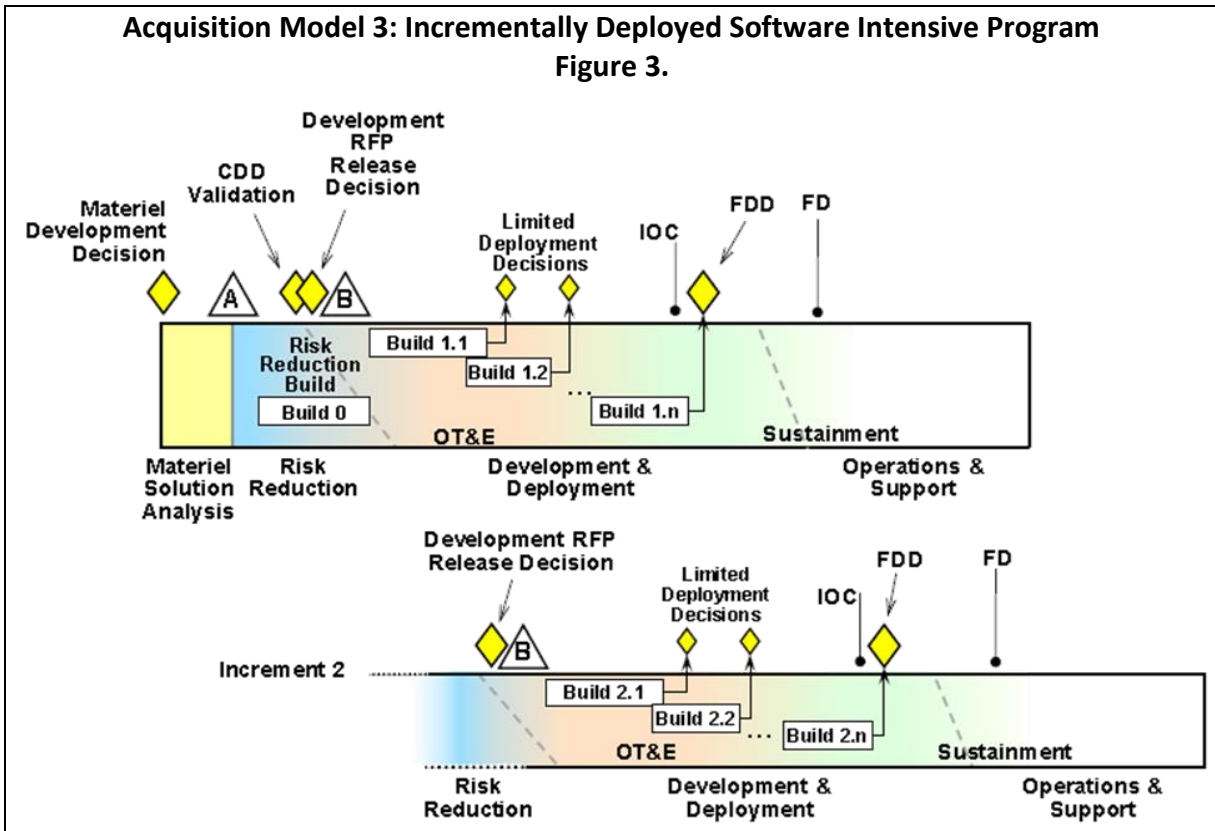
Several software builds are typically necessary to achieve a deployable capability. Each build has allocated requirements, resources, and scheduled testing to align dependencies with subsequent builds and to produce testable functionality to ensure that progress is being achieved. The build sequencing should be logically structured to flow the workforce from effort to effort smoothly and efficiently, while reducing overall cost and schedule risk for the program.



Model 3: Incrementally Deployed Software Intensive Program

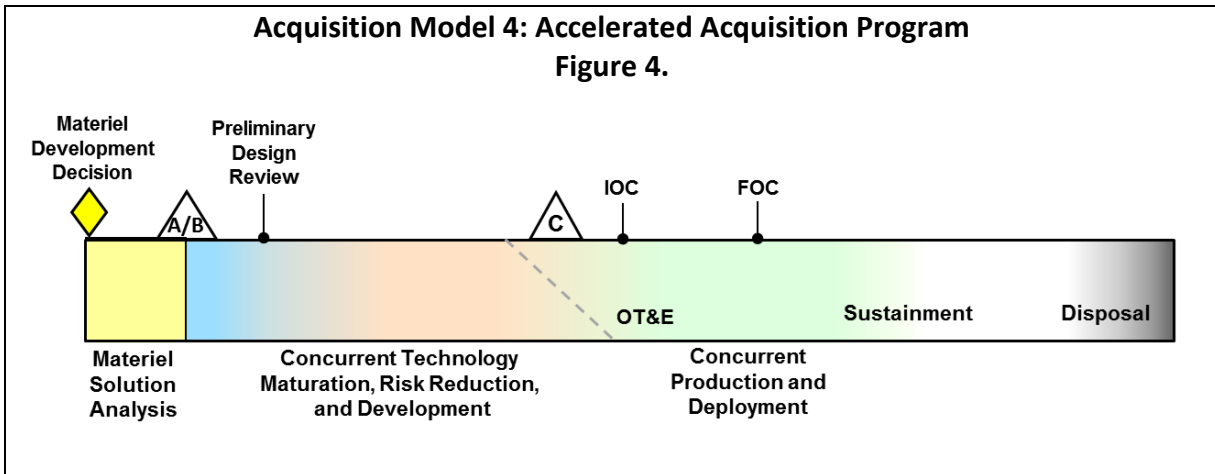
Model 3 has been adopted for many Defense Business Systems, and it is illustrated in Figure 3. Model 3 also applies to upgrades for some command and control systems or weapons systems software where deployment of the full capability will occur in multiple increments as new capability is developed and delivered, nominally in 1 to 2-year cycles. The period of each increment should not be arbitrarily constrained. The length of each increment and the number of deployable increments should be tailored and based on the logical progression of development and deployment for use in the field for the specific product being acquired.

This model is distinguished from Model 2 by the rapid delivery of capability through multiple acquisition increments, each of which provides part of the overall required program capability. Each increment may have several limited deployments; each deployment will result from a specific build and provide the user with a mature and tested sub-element of the overall incremental capability. Several builds and deployments will typically be necessary to satisfy approved requirements for an increment of capability.



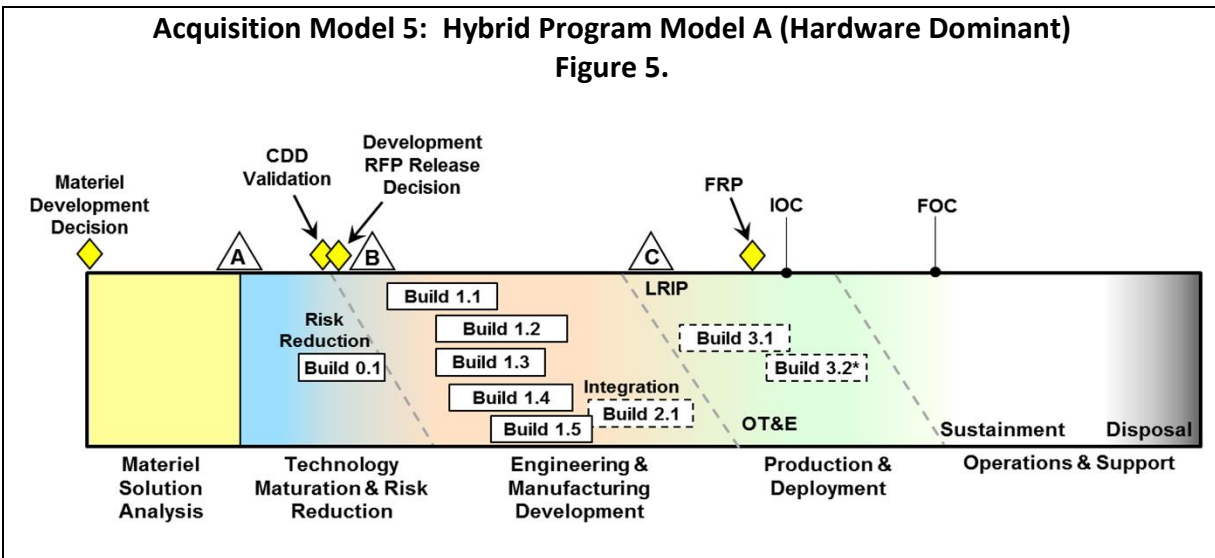
Model 4: Accelerated Acquisition Program

Model 4 is for use when schedule considerations dominate over cost and technical risk considerations. As illustrated in Figure 4, this model compresses or eliminates phases of the process and accepts the potential for inefficiencies in order to achieve a deployed capability on a compressed schedule. The model shows one example of tailoring for accelerated acquisition and many others are possible. This type of structure is used when technological surprise by a potential adversary necessitates a higher-risk acquisition program.



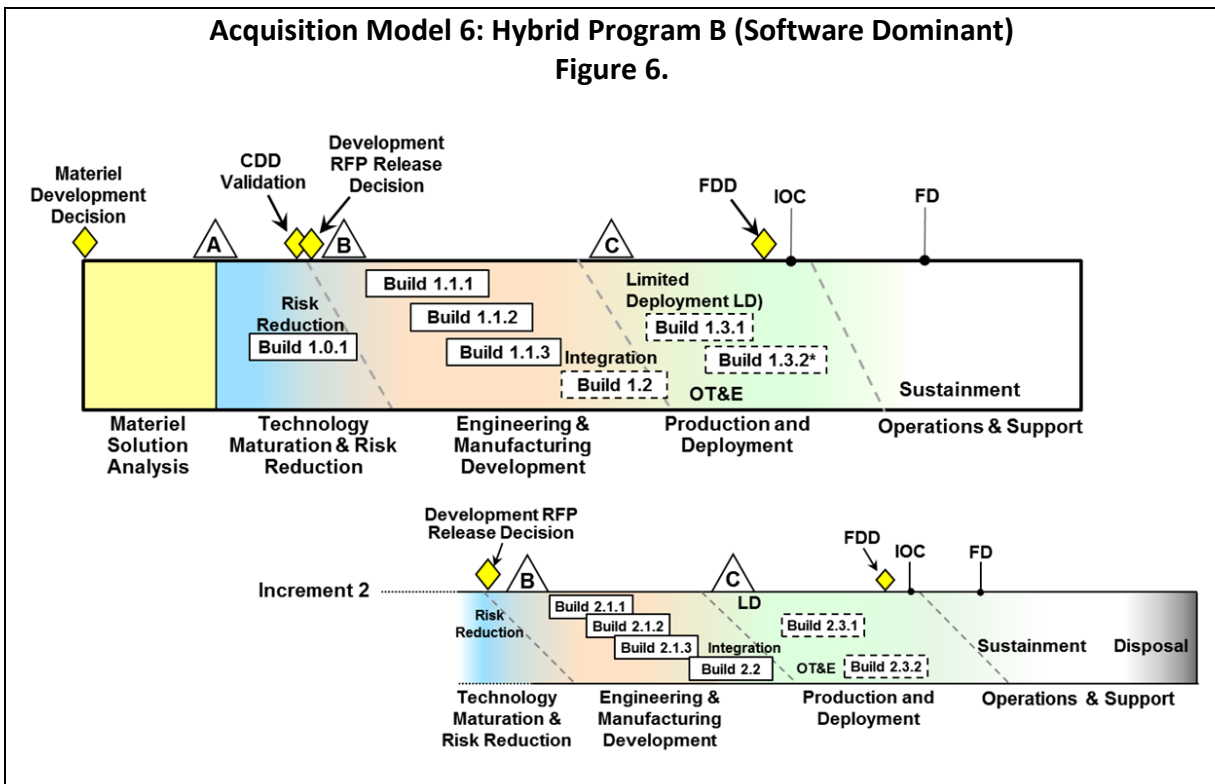
Model 5: Hybrid Program Model A (Hardware Dominant) .

Model 5 combines the basic program structure for hardware development with a software intensive development effort that is occurring simultaneously. This approach is illustrated in Figure 5. In a hardware intensive development, the design, fabrication, and testing of physical prototypes may determine overall schedule, decision points, and milestones, but software development will often dictate the pace of program execution and must be tightly integrated and coordinated with hardware development decision points.



Model 6: Hybrid Program Model B (Software Dominant).

Model 6 represents how a software intensive product development effort can include a mix of incrementally deployed software products or releases that include intermediate software builds. All of the comments about incremental software fielding associated with Model 3 in paragraph 5c(3)(d) apply to this model as well. As illustrated in Figure 6, this is a complex model to plan and execute successfully, but depending on the product it may be the most logical way to structure the acquisition program.



Chapter 3: PoPS IMPLEMENTATION

3.1 PoPS Methodology.

Probability of Program Success (PoPS) is the methodology MCSC uses to assess program health for all programs. PoPS provides leadership with an objective and quantifiable method of evaluating likely program successes, issues and risks. It provides Program Managers (PMs) with a repeatable, defensible, and traceable approach to measuring, managing, and reporting program health throughout the acquisition lifecycle.

The PoPS methodology contains two components, PoPS database and MCSC PoPS core briefing charts.

- **PoPS database** consists of criteria questions and generates a Program Health Assessment according to the responses the PM submits.
- **MCSC PoPS core briefing charts** provide detailed instructions for MCSC programs preparing for milestones (MS) and decision points. The charts and supporting instructions are regularly reviewed by the Competency Directors (CDs) and updated by the MCSC Acquisition Guidebook (MAG) Integrated Product Team (IPT). As such, it is imperative that the most recent version of the charts located in the PoPS Core Charts DROP DOWN menu on the [MAP SharePoint](#) site are used and the supporting instructions are reviewed by all preparers.

As directed by Marine Corps Systems Command Order (MARCORSYSCOMO) 5000.3B, all MCSC programs shall use the PoPS methodology and tools, at a minimum annually, to assess program health in support of MS, decision points, and program management reviews.

3.2 Tools for Implementing PoPS.

SharePoint. All relevant information regarding the PoPS database and MCSC PoPS core briefing charts are located on the PoPS Core Charts DROP DOWN menu on the [MAP SharePoint](#) site. *Note: There are separate PoPS core briefing charts tailored for each MS and decision point.*

The PoPS database contains the supporting criteria questions for each MS and decision point. There are three options MCSC programs can choose from to answer the criteria questions; download Microsoft Access Naval PoPS database, use Assistant

Secretary of the Navy for Research, Development, and Acquisition Information System (ASN RDAIS) PoPS database, or download Microsoft Excel SYSCOM Tailored PoPS for Abbreviated Acquisition Programs (AAPs) spreadsheet.

- Option #1: Microsoft Access Naval PoPS Database
 - The database is located on the MAP SharePoint under "[Download Database](#)" along with a supporting Naval PoPS Guidebook with helpful instructions.
 - Once the database is downloaded, you must request creation of your program's initial record in the PoPS database and provide your respective Assistant Program Manager for Program Management (APM-PM) the below information.
 - Program Name and Acronym
 - PM
 - Milestone Decision Authority (MDA)
 - Program Management Office (PMO)/Organization
 - Entry Gate and MS or decision point being reviewed (per program's previous Acquisition Decision Memorandum (ADM))
 - Associated Contractors and Government Performers (e.g. system developers, system integrators. *Important! Do not list your support contractor here. This field should be populated with Contractors or Government Performers which directly support program execution, e.g. solution providers. (For example, Government Performers may include SPAWAR, NSWC Crane, etc.)).*
 - Indicate if earned value management (EVM) is applicable. Please note EVM typically applies to cost or incentive type contracts in excess of \$20 million. If you are unsure if your contract is subject to EVM, please see your Procurement Contracting Officer (PCO) or Integrated Program Management Team (IPMT) Leader in the Assistant Commander, Programs Cost & Analysis Branch (ACPROG C&AB) for additional information.

- Option #2: ASN RDAIS PoPS Database
 - If the PMO prefers to use PoPS via [RDAIS](#) and does not currently have a record in RDAIS, please provide the following information to Ms. Meghan Nelson, meghan.nelson@navy.mil, (703)614-0160 to establish a record in RDAIS.
 - Program Long Name

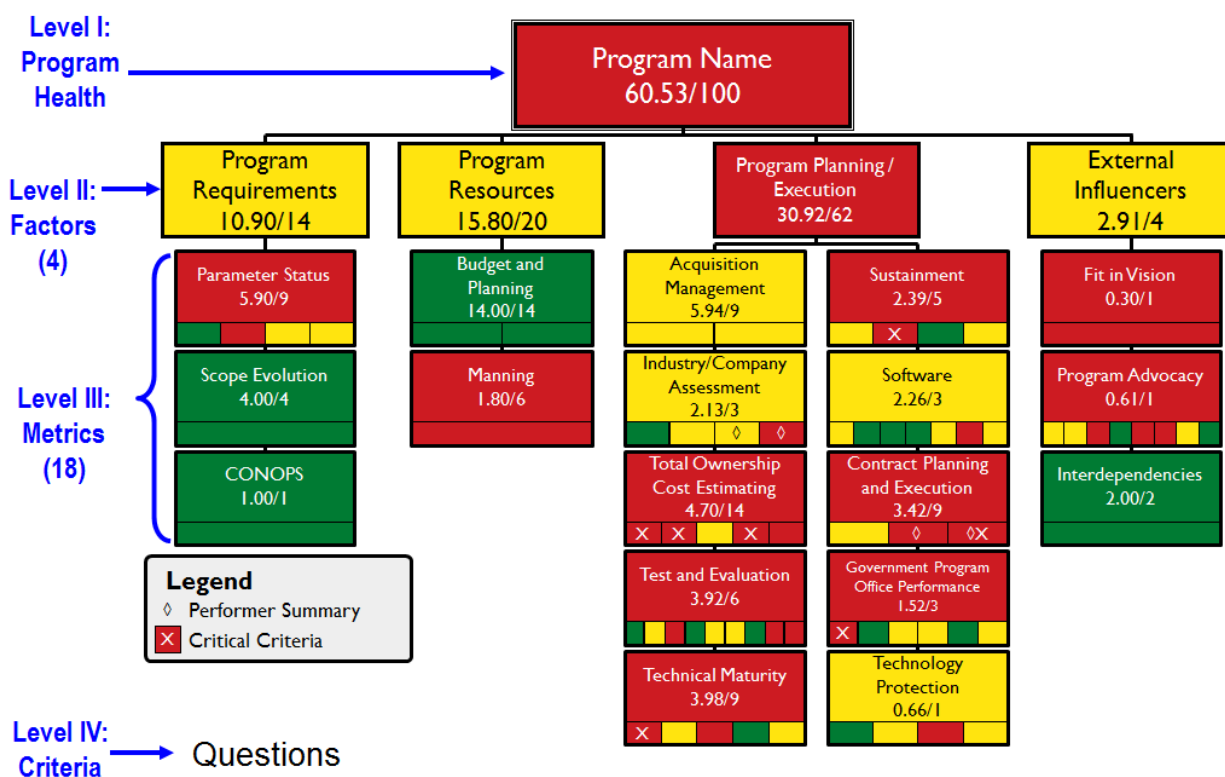
- Program Short Name
 - Acquisition Category (ACAT) III, IV, AAP or not yet designated
 - Provide a memorandum that shows the above information (if available)
 - Names of individuals who need access to the record
 - Note: In order to create a PoPS Health Assessment in RDAIS, you must have an active account with write or approval access. Consult your APM-PM if you are unsure of what type of access you should request.
 - An instructional video on how to create a PoPS Health Assessment via RDAIS is located on the MAP SharePoint under "[Download Database.](#)"
- Option #3: Microsoft Excel SYSCOM Tailored PoPS for AAPs Spreadsheet
 - The spreadsheet is located on the MAP SharePoint under "[Download Database.](#)"
 - Spreadsheet contains criteria questions, from the Microsoft Access Naval PoPS database, tailored for lower-level programs (i.e. programs low in cost, complexity, risk, impact, and visibility).
 - AAPs and Operations & Support (O&S) efforts are encouraged to use the spreadsheet, but may still use the Microsoft Access Naval PoPS database or RDAIS PoPS database as desired.

3.3 Answering PoPS Criteria Questions.

The PM/PdM prepares a PoPS Program Health Assessment by populating criteria questions pertaining to a specific MS/Decision Point using their choice of PoPS tool in [Chapter 3.2](#). *Note: Before populating the criteria questions, please ensure the appropriate PoPS Gate has been selected by referring to [Figure 3B](#).* The PoPS Program Health Assessment consists of four levels as shown in [Figure 3A](#):

- Level I: Program Health is a calculated baseline score (0 to 100) based on selected color ratings (red, yellow, and green) and associated weights for each criteria question.
- Level II: Factors (Requirements, Resources, Planning and Execution, and External Influencers).
- Level III: Metrics (there are 18 metrics).
- Level IV: Criteria (questions) for each metric.

Figure 3A. Example of PoPS Program Health Assessment



The criteria questions address issues specific to each MS/Decision Point in the Defense Acquisition Framework. Therefore, the content and relative weight of the questions will vary for each MS/Decision Point. When answering the PoPS criteria questions the PM/PdM should consult the Frequently Asked Questions (FAQs) document posted under each MS/Decision Point found in the PoPS Core Charts DROP DOWN menu on the [MAP SharePoint](#). The FAQs provide specific guidance relative to interpreting the criteria questions for MCSC programs.

A PM/PdM's response to the criteria questions will generate an initial baseline numeric score and color code (red/yellow/green) for each level. All PMs/PdMs should assume a start point of "red" and must meet the specified criteria before moving to a "yellow" or "green" score. The PM/PdM shall include a brief rationale to explain the rating for each criteria question to include green ratings. For red or yellow ratings, the PM/PdM shall briefly explain the rationale, mitigation strategy, and target date for resolution (who, what, when).

A "yellow" or "red" score is not a performance measure of the PM/PdM's abilities. PMs/PdMs should consider "yellow" and "red" scores as a tool to surface critical issues to leadership and obtain their approval and/or assistance in crafting a resolution strategy. External factors outside the PM/PdM's control have a large influence on the PoPS score.

It is expected that when a program begins the planning cycle for a MS/Decision Point many of the events and criteria will be pending or incomplete. This will result in multiple PoPS ratings of "yellow" or "red" at the beginning of the planning cycle. As the program progresses closer to the MS/Decision Point the products and reviews will be completed and many of the ratings will migrate to a "green" status.

3.4 PoPS Baseline Score Approval Process.

MS/Decision Points. For any MS/Decision Point, the PM/PdM shall present their program's initial PoPS baseline score to the Milestone Assessment Team (MAT) for programs where the MDA/PDA is COMMARCORSYSCOM and to the Tier-0 IPT for programs when the MDA/PDA resides with the PM. The MAT or Tier-0 IPT shall review, make appropriate revisions, and approve the initial baseline. The PoPS initial baseline is considered to be the validated PoPS baseline score upon MAT or Tier-0 IPT approval. Changes to the validated PoPS baseline score are not uncommon, in these cases the PM/PdM must submit appropriate rationale and recommendations to the MAT or Tier-0 IPT for review and approval and be prepared to substantiate their scoring based on the specified criteria.

Program Management Reviews (PMRs). For any PMRs, the PM/PdM shall present their program's initial PoPS baseline to the Tier-0 IPT for review, revision, and approval. The PoPS initial baseline is considered to be the validated PoPS baseline score upon Tier-0 IPT approval.

Commander, Marine Corps Systems Command (COMMARCORSYSCOM) will conduct semi-annual PMRs for selected programs at their discretion. The PM, PdMs, and APMs of the selected programs will be notified approximately sixty (60) days prior to their scheduled briefing by meeting invitation. The meeting invitation will contain a briefing template along with additional guidance and instructions.

Disagreements. Disagreements between the MAT/Tier-0 IPT and the PM/PdM shall be resolved through discussion, available facts, and if necessary, additional research and analysis. When

disagreements cannot be resolved, the MDA/PDA shall be the final authority for PoPS baseline approval.

Reporting Requirement. Upon baseline approval and each time a change to the baseline is approved by the MAT or Tier-0 IPT, the PM/PdM shall enter and update the following information in [The Online Project Information Center \(TOPIC\)](#) under "Probability of Program Success."

- Color ratings (green/yellow/red) for each of the four levels of the PoPS Program Health Assessment
- PoPS Program Health Assessment Report

At a minimum, all PM/PdMs are required to enter and update the above approved information for all assigned programs into TOPIC no less than once a year.

3.5 Gate Reviews.

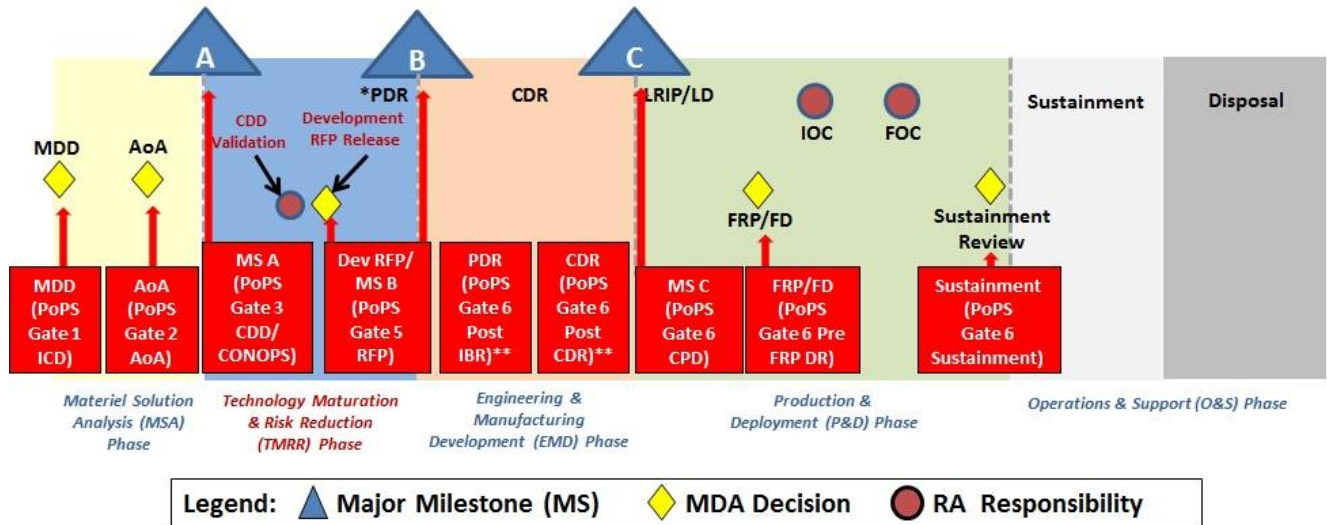
[SECNAVINST 5000.2E](#) mandates a series of reviews called "Gates" throughout the program lifecycle for ACAT I and II programs. These reviews are conducted prior to each MS and Decision Point. Each Gate review consists of briefing charts and criteria questions tailored to the specific MS/Decision Point. As such, the specific content of the briefing charts and criteria questions are different for each Gate. For MCSC programs, the Gate review criteria are reflected within the MCSC PoPS core briefing charts and PoPS criteria questions for each MS/Decision Point. [Figure 3B](#) identifies the MS/Decision Point and the supporting Gate criteria templates.

3.5.1 Combat Development and Integration (CD&I) Gate Review Responsibilities.

CD&I will conduct Gate reviews per their organizational policies in accordance with [SECNAVINST 5000.2E](#). Gate reviews should be conducted prior to the appropriate MS or Decision Point. In many cases, CD&I will participate concurrently in the MDA review of the MS or Decision Point in lieu of holding a separate Gate review.

CD&I is required to validate the requirement is sufficient to support each MS or Decision Point. This may be accomplished by their participation in the MAT or Tier-0 IPT. The MAT process to include required participants is described in [Chapter 6](#).

Figure 3B. MCSC Implementation of the DoD Defense Acquisition Framework with PoPS



*Timing of the PDR will be directed by the Technical Authority

**The PoPS IBR and CDR Reviews are no longer required to be stand-alone MDA Reviews. The briefing packages are available for use by the PM and presentation to the MDA if appropriate.

3.6 Transitioning Ongoing Efforts to an ACAT Framework.

Efforts that have been previously executed as Urgent Universal Needs Statement (UUNS), or have been historically executed outside the ACAT governance framework do not always “fit” into a single PoPS Gate template. Such “nontraditional” efforts typically do not align with the sequence of [DoDI 5000.02](#) MS events as reflected in the PoPS templates. Thus, when transitioning “nontraditional” efforts to an ACAT framework, tailoring will be required. In many cases, it may be appropriate to combine features of two PoPS Gates, to provide the MDA with the most accurate assessment of program status.

Many efforts of this type have not received a MDD decision; however, they have already fielded a capability. In these cases, the MDD Gate should be used, and it may be tailored and combined with the Gate template that is closest to the next MDA decision. The PM/PdM should consult with MAT or the Tier-0 IPT to obtain guidance regarding each specific program. It is also critical CD&I be consulted before transitioning an UUNS to an ACAT framework, as it may be decided that it is not an enduring requirement. If it is determined the UUNS will transition to an enduring requirement, then CD&I will prepare a validated requirement as described in [Chapter 2](#); and the PM/PdM shall

follow the procedures described in [Chapter 5](#) for requesting an ACAT/AAP designation.

Chapter 4: ACAT LEVELS

4.1 ACAT Program Overview.

An acquisition program is defined as a directed, funded effort designed to provide a new, improved, or continuing materiel, weapon, or information system capability in response to a validated operational or business need. Acquisition programs are designated by the Milestone Decision Authority (MDA) to fall within Acquisition Categories (ACATs) which are established to facilitate decentralized decision-making, execution, and compliance with statutory requirements.

Program Managers (PMs) and Product Managers (PdMs) are responsible for ensuring all funded efforts are managed as ACAT programs, unless otherwise approved by Commander, Marine Corps Systems Command (COMMARCORSSYSCOM). (Note: Abbreviated Acquisition Programs (AAPs) are considered to be ACAT programs). Efforts executed outside an ACAT construct typically do not have a validated requirement, are difficult to historically trace, and lack performance metrics. However, these efforts consume MCSC resources which could be used to support validated ACAT programs. Therefore, the PM/PdM shall identify any such efforts to COMMARCORSSYSCOM. COMMARCORSSYSCOM will then determine if the effort should be subject to an ACAT designation process, discontinued, or allowed to proceed in the absence of an ACAT designation.

Pre-ACAT efforts or potential ACAT programs are defined as efforts which are:

- Funded
- Supported by a validated requirement
- Provide a new, improved, or continuing materiel, weapon, or information system capability but have not yet been granted a Milestone (MS) B or any subsequent MS decision by the MDA

Potential ACAT programs shall not be artificially divided into separate entities for the purpose of qualifying as lower ACATs or as AAPs.

ACAT programs, to include AAPs shall not be initiated without a validated requirement and appropriate phase-specific funding. (During MDD and Technology Maturation & Risk Reduction, programs must be funded to ensure completion of all phase-specific activities. At Engineering & Manufacturing Development and beyond the program must be fully funded across the FYDP). COMMARCORSSYSCOM will determine the ACAT level based on estimated

cost, complexity, and risk.

Note: Important Terminology Information - Program of Record (POR) ≠ ACAT Program.

The term POR describes an effort that is funded (approved) across the Future Years Defense Program (FYDP), through the Program Objective Memorandum (POM) process. When this happens, the program becomes a "line item record" in the budget - hence the term "program of record." This term is not synonymous with an ACAT program. For example, an effort may be a POR with a unique budget line item prior to receipt of an ACAT designation from the MDA. As such, use of the term POR should be limited to those cases where it is necessary to refer to the budgetary status of an effort.

4.2 ACAT Designation Criteria.

The [SECNAVINST 5000.2E](#) specifies the criteria for acquisition categories and is summarized in [Table 4A](#). The MDA designates programs as ACAT I, II, III, IV, or AAP as follows:

Table 4A. ACAT Categories

All dollars are in Base Year (BY) 2000*		
Acquisition Category	Summary of ACAT Designation Criteria per SECNAVINST 5000.2E	Decision Authority
ACAT I	<ul style="list-style-type: none"> Major Defense Acquisition Programs (MDAPs) (10 USC 2430) RDT&E > \$365M or Procurement total > \$2.190 B USD(AT&L) designation as special interest 	ACAT ID: USD(AT&L) ACAT IC: SECNAV, or if delegated, ASN(RD&A)
ACAT IA	<ul style="list-style-type: none"> Major Automated Information Systems (MAISs) Program costs/year > \$32M, or total program costs > \$126M, or Life-cycle costs > \$378M USD(AT&L) designation as special interest 	ACAT IAM: ASD(NII)/DoD CIO ACAT IAC: ASN(RD&A),
ACAT II	<ul style="list-style-type: none"> RDT&E total > \$140M, or Procurement total > \$660M ASN(RD&A) designation as special interest Not applicable to IT programs 	ASN(RD&A), or the individual designated by ASN(RD&A)
ACAT III	<ul style="list-style-type: none"> Weapon system programs: <ul style="list-style-type: none"> RDT&E total ≤ \$140 million, or Procurement total ≤ \$660 million, and Affects mission characteristics of ships or aircraft or combat capability IT programs: <ul style="list-style-type: none"> Annual costs ≤ \$32M; Total program costs ≤ \$126M; life-cycle costs ≤ \$378M 	Cognizant PEO, SYSCOM Commander, or designated flag officer or senior executive service (SES)
ACAT IV(T)	<ul style="list-style-type: none"> Does not meet the criteria for ACAT III Weapon system programs: <ul style="list-style-type: none"> RDT&E total ≤ \$140M or Procurement total ≤ \$660M IT programs: <ul style="list-style-type: none"> Annual costs < \$15M; Total program costs < \$30M; life-cycle costs ≤ \$378M 	Same as ACAT III except that authority may be further delegated
ACAT IV(M)	<ul style="list-style-type: none"> Same as ACAT IV(T) with two exceptions: <ul style="list-style-type: none"> Does not require operational test and evaluation (OT&E) as concurred with in writing by MCOTE A Not applicable to IT programs 	Same as ACAT IV(T)
Abbreviated Acquisition Program (AAP)	<ul style="list-style-type: none"> Does not require OT&E as concurred with in writing by MCOTE A Weapon system programs: R&D < \$10M & Production expenditure < \$50M IT programs: Annual costs < \$15M & Total program costs < \$30M 	Same as ACAT IV(T)

**Note: The Interim DoDI 5000.02 updated the ACAT I-III dollar thresholds from BY 2000 dollars to BY 2014 dollars. However, the draft SECNAVINST 5000.2F did not update the ACAT IV and AAP dollar thresholds. We are working with ASN RDA staff to resolve this issue. In the interim, please consult with your APM-PM or ACPROG Assessments to resolve any questions.*

MCSC ACAT III, IV, and AAP designations are based on the thresholds and definitions specified in [Table 4A](#) as well as an assessment of overall program risk, complexity, impact, and visibility and are designated according to the process described in [Chapter 5](#). COMMARCORSYSCOM may elect to elevate the ACAT designation beyond what is required by an assessment of dollar thresholds in [Table 4A](#). For example, a program that meets AAP thresholds may be elevated to an ACAT III, based on an assessment of visibility, risk, complexity, and impact.

The PM/PdM shall contact ACPROG Assessments if the program is anticipated to fall within the ACAT I or II boundaries as shown above. ACPROG Assessments will coordinate appropriate notification to Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN RDA) and Under Secretary of Defense for Acquisition, Technology, and Logistics (USD AT&L).

COMMARCORSYSCOM may at any time in the program lifecycle revisit a previous ACAT designation and/or delegation. For example, COMMARCORSYSCOM may elect to rescind delegation of MDA or revise a previous ACAT designation based on program complexity, risk, change in estimated cost, or other factors. For those programs where MDA has been delegated to a PM, the PM shall periodically review all assigned ACAT programs and make appropriate recommendations to COMMARCORSYSCOM regarding ACAT designation and delegation based upon the above factors.

4.3 ACAT Categories.

ACAT III. COMMARCORSYSCOM designates ACAT III programs assigned to MCSC and serves as the MDA. COMMARCORSYSCOM may elect to delegate MDA for such programs to a designated flag officer or Senior Executive Service (SES) official, but generally this does not occur at MCSC.

ACAT IV. There are two categories of ACAT IV programs:

- ACAT IV(T) (Test) - Require independent operational test and evaluation (OT&E). This is typically conducted by Marine Corps Operational Test and Evaluation Activity (MCOTEA). The PM also conducts developmental testing (DT).
- ACAT IV(M) (Monitor) - OT&E is not required. DT is required and managed by the PM/PdM. The Director, MCOTEA may elect to monitor testing of ACAT IV(M) programs and must concur in writing with all ACAT IV(M) designations.

COMMARCORSYSCOM will designate ACAT IV programs and may delegate MDA for such programs to a PM or SES official.

AAPs. Programs may be designated as AAPs if they do not require OT&E and meet the AAP dollar thresholds in [Table 4A](#). MCOTEA must concur in writing that OT&E is not required. In addition, the Director, Financial Management (DFM) must concur the program does not exceed AAP cost thresholds.

COMMARCORSSYSCOM can designate AAPs and may delegate Program Decision Authority (PDA) to a PM or SES official. Assistant Commander, Programs (AC PROG) can designate AAPs and may delegate PDA to a PM. *(Note: For AAPs, the decision authority is referred to as the PDA and not the MDA).*

Programs should be of relatively low risk and complexity to be considered for designation as an AAP. As such, required documentation and review procedures should be appropriately streamlined and tailored. A recommended streamlined AAP documentation approach is provided in [Chapter 7.5](#).

The PM/PdM shall meet with their respective Tier-0 IPT to develop a tailored AAP documentation plan. Together with the Tier-0 IPT, the PM/PdM shall make a recommendation to the PDA regarding required program management events and documentation to include content and format.

AAPs will be subjected to the appropriate level of DT required to ensure the technical parameters and operational requirements are met. DT is accomplished under the direction of the PM/PdM with the advice and assistance of the Assistant Program Manager for Engineering (APM-E).

Chapter 5: ACAT DESIGNATION REQUESTS & DELEGATION

5.1 Designation and Delegation Authority.

[SECNAVINST 5000.2E](#) grants Commander, Marine Corps Systems Command (COMMARCORSYSCOM) authority to designate and delegate Milestone Decision Authority (MDA)/Program Decision Authority (PDA) for Marine Corps programs. This authority can be also be delegated to the Executive Director. AAP designation and delegation of PDA to Program Managers (PMs) can be authorized by Assistant Commander, Programs (AC PROG).

5.2 ACAT/AAP Designation & MDA/PDA Delegation Process.

ACAT Criteria. Product Managers (PdMs) can only submit ACAT designation and MDA delegation requests for efforts that meet the criteria of an ACAT IV program to COMMARCORSYSCOM via the PM and AC PROG. Efforts that meet the criteria as an ACAT III will not be delegated to the PM level and ACAT designation will not occur until Milestone (MS) B or MS C. See [Table 4A](#) for a listing of ACAT criteria.

AAP Criteria. For efforts that meet the criteria as an AAP, per [Table 4A](#), PM/PdMs can submit an AAP designation and PDA delegation to AC PROG.

Below is a step by step description of the process for obtaining an ACAT/AAP designation and delegation:

Step 1. PdMs shall answer the Gate 1 Initial Capabilities Document (ICD) Probability of Program Success (PoPS) questions using the PoPS database and prepare a Materiel Development Decision (MDD) PoPS core briefing chart package.

- The PoPS database and core briefing charts are available on the PoPS Core Charts DROP DOWN menu on the [MAP SharePoint](#) . For PoPS database instructions see [Chapter 3](#).

Step 2. When requesting an ACAT IV(M) or AAP designation, the PDM obtains concurrence from Marine Corps Operational Test & Evaluation Activity (MCOTEA) and Director, Financial Management (DFM) for any AAP designation requests. Click [here](#) to view template.

Step 3. The PDM submits the designation request which includes the Gate 1 ICD PoPS Word report, MDD PoPS core

briefing chart package, and if applicable the MCOTEA Concurrence Letter and DFM Checklist to their Assistant Program Manager for Program Management (APM-PM).

Step 4. The APM-PM coordinates review of the designation request with the Tier-0 Integrated Product Team (IPT). Upon review, the Tier-0 IPT shall prepare a Program Summary Assessment and indicate their concurrence by signature. Click [here](#) for Program Summary Assessment template.

- The Tier-0 IPT consists of the APM-PM and all the program office APM leads to include Engineering (APM-E), Life Cycle Logistics (APM-LCL), Contracts (APM-CT), and Financial Management (APM-FM).

Step 5. After the Tier-0 IPT's concurrence, the APM-PM returns the designation request along with signed Program Summary Assessment to the PdM for further staffing.

Step 6. The PdM submits the designation request to PM for concurrence.

Step 7. The PdM provides the PM approved designation request to AC PROG for action. See [Table 5A](#) for a list of products included in the designation request package to AC PROG.

Step 8. For an AAP designation request, AC PROG will assess the request and issue an Acquisition Decision Memorandum (ADM) which:

- 1) Approves the AAP request and delegates the PDA to the PM and directs that the PM conduct a MDD Review within thirty (30) days.
- 2) In the event that AC PROG determines that the PDA should be retained by COMMARCORSYSCOM, AC PROG, in collaboration with the PM, will escalate the AAP designation and PDA delegation decision to COMMARCORSYSCOM for final adjudication.

For an ACAT IV designation request, AC PROG will prepare an executive summary that assesses the request and provide a recommendation along with draft ADM to COMMARCORSYSCOM.

Step 9 (ACAT IV Only). After review of the PM/PdM's proposed ACAT IV designation request and AC PROG's recommendation, COMMARCORSYSCOM may:

- 1) Conduct a MDD review with the PM (face-to-face or paper)
- 2) Grant a MDD, approve the ACAT IV request, and delegate MDA to PM via ADM.
- 3) Grant a MDD, approve the ACAT IV request, and retain MDA at the COMMARCORSYSCOM level via ADM.
- 4) Disapprove the MDD, ACAT IV designation and MDA delegation request and direct other actions via ADM.
- 5) Disapprove the MDD, ACAT IV designation, and MDA delegation request and direct no action be taken to execute the program via ADM.

Table 5A. Designation Request Package Contents

Designation Request Package Contents		
ACAT IV(M) Designation Request Package	ACAT IV(T) Designation Request Package	AAP Designation Request Package
Route Sheet	Route Sheet	Route Sheet
PoPS Gate 1 ICD Word Report	PoPS Gate 1 ICD Word Report	PoPS Gate 1 ICD Word Report
MDD PoPS core briefing chart package	MDD PoPS core briefing chart package	MDD PoPS core briefing chart package
MCOTEA Concurrence Letter	Program Summary Assessment	MCOTEA Concurrence Letter
Program Summary Assessment		Program Summary Assessment
		DFM Checklist

5.3 ACAT/AAP Designation Change Requests.

After receipt of the initial ACAT designation from COMMARCORSYSCOM, the PM/PdM shall continue to monitor the program to ensure it remains within the cost threshold (per [Table 4A](#)) of the assigned ACAT/AAP designation. In addition, the PM/PdM shall monitor other factors which may require a change to the initial ACAT/AAP designation. For example, a program initially designated as an ACAT IV(M) may subsequently be determined to require operational test and evaluation; and require re-designation as an ACAT IV(T). As soon as the PM/PdM is aware of a required change to the existing ACAT designation, the PM/PdM shall prepare an ACAT designation change request for COMMARCORSYSCOM approval. Click [here](#) for ACAT Change Request template.

Chapter 6: MANAGEMENT OF ACAT PROGRAMS

6.1 DoD Process for Assigning MDA.

The below figure illustrates the flow of Milestone Decision Authority (MDA) from Under Secretary of Defense for Acquisition, Technology, and Logistics (USD AT&L) to Commander, Marine Corps Systems Command (COMMARCORSSYSCOM).

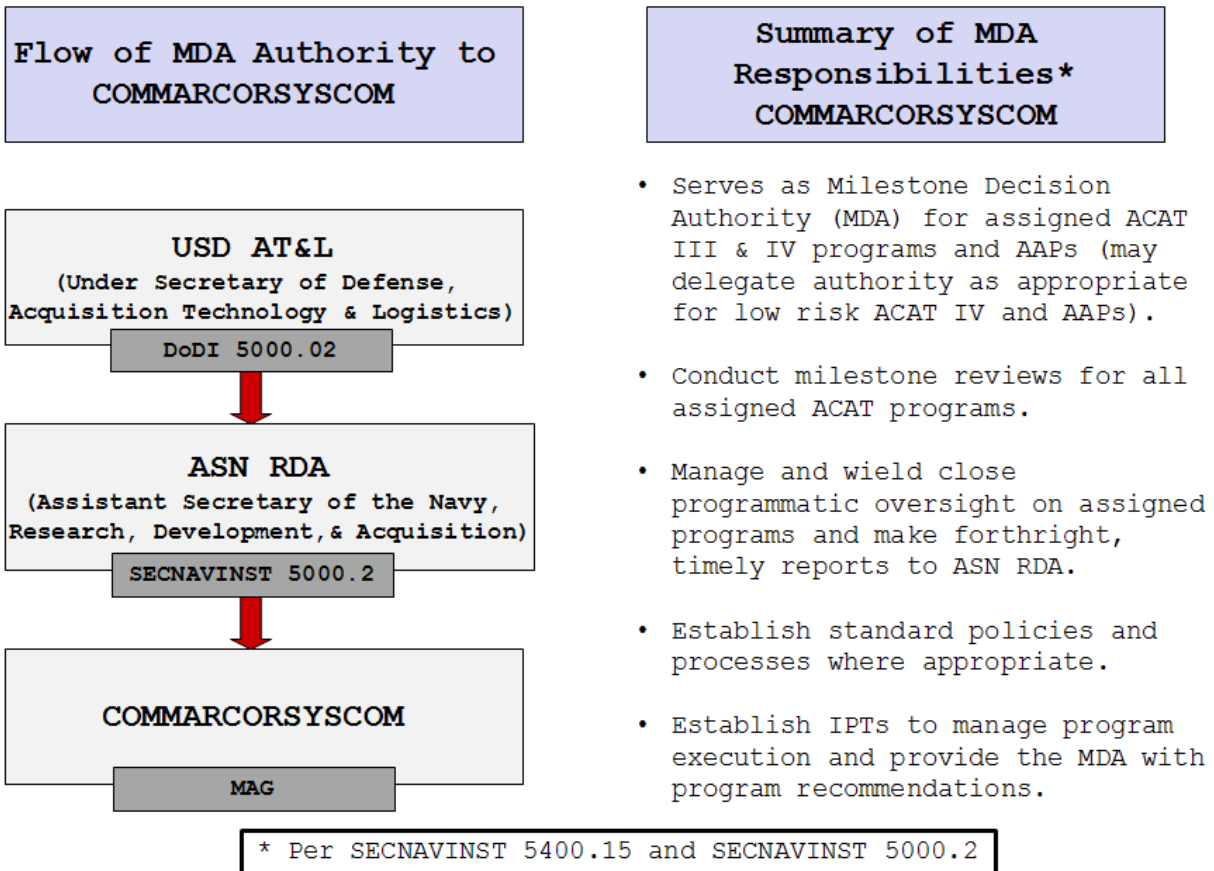


Figure 6A. Flow of MDA Authority to COMMARCORSSYSCOM

[SECNAVINST 5000.2E](#) assigns SYSCOM Commanders the authority, responsibility, and accountability for life cycle management of all acquisition programs within their cognizance. It further requires SYSCOM Commanders to implement appropriate management controls to ensure compliance with [DoDI 5000.02](#) and the [SECNAVINST 5000.2E](#).

6.2 DoD Process for Managing ACAT Programs.

Integrated Product and Process Development (IPPD) is the preferred Department of Defense (DoD) technique for the management of acquisition programs.

The IPPD process has several key features:

- The management and assessment of Acquisition Category (ACAT) programs and pre-ACAT efforts is accomplished via multi-functional teams known as Integrated Product Teams (IPTs).
- All key stakeholders and competencies are IPT members and work as a team to:
 - Concurrently review the progress of programs to the next Milestone (MS) or Decision Point.
 - Identify issues and risks early in the process and develop an adjudication strategy.
- IPTs may be established at various levels.
 - A strategy level IPT is established to review the overall program and make recommendations to the MDA.
 - Working Integrated Product Teams (WIPTs) are established as appropriate to support the Program Manager (PM)/Product Manager (PdM) in the execution and management of the program.

A key benefit of the IPPD process is all stakeholders work together at the same time to provide feedback relative to the program and develop a single recommendation to the Decision Authority. In the past, programs were delayed due to sequential or stovepipe reviews of programs.

MCSC implements IPPD by the Milestone Assessment Team (MAT) process for programs where COMMARCORSYSCOM has retained MDA. PMs implement IPPD principles by use of the Tier-0 IPT to assist in program reviews. In addition, multiple WIPTs are established throughout MCSC.

Additional information regarding the IPPD process can be found in the [DAG Chapter 10.3](#) and [Rules of the Road: A Guide for Leading Successful Integrated Product Teams](#) (Reference (m)).

6.3 MDA/PDA Responsibilities.

The below principles apply to all MCSC programs. [Chapter 6.4](#) provides specific guidance for programs where COMMARCORSYSCOM serves as MDA/Program Decision Authority (PDA). [Chapter 6.5](#) provides guidance for programs where the PM serves as MDA/PDA.

The MDA/PDA shall:

- Review programs and pre-ACAT efforts at each MS and Decision Point to determine suitability for entry into the next phase of acquisition.
- Review program [affordability](#) at each MS/Decision Point and establish/update, and document the [tailoring](#) strategy.
- Consider the recommendations of an integrated IPT (with membership from all competencies and stakeholders) regarding program status and readiness to proceed to the next MS/Decision Point. The IPT shall align with IPPD principles.
- Implement appropriate interim reviews, governance and management procedures to support effective execution of all assigned programs.
- Conduct program reviews per this Guidebook and MARCORSSYSCOMO 5000.3B.
- Ensure compliance with [DoDI 5000.02](#), [SECNAVINST 5000.2E](#) and applicable law and regulation. (Note: the MCSC Probability of Program Success (PoPS) core briefing charts align with and include references and hyperlinks to higher level guidance).
- Adopt innovative techniques that reduce cycle time and cost, and encourage teamwork.
- Ensure accountability and maximize credibility in cost, schedule, and performance (C/S/P) reporting.
- Document all program decisions. This includes, but is not limited to PoPS briefing charts/reports/templates, Acquisition Decision Memorandums (ADMs), Decision Memorandums (DMs), Memorandum of Agreement (MOAs), and Memorandums for the Record (MFRs).
- Comply with all required reporting requirements to include The Online Project Information Center (TOPIC) and RDAIS per [Chapter 9](#).

6.3.1 PM Responsibilities.

The PM is accountable for program execution and management to include development, production, and sustainment to meet the user's operational needs. The PM shall:

- Prepare and execute all program documentation and ensure compliance with reporting requirements
- Provide the MDA with credible C/S/P reporting
- Assist the MDA in executing the responsibilities defined above

6.4 Management Procedures for Non-Delegated Programs.

The Assistant Program Manager for Program Management (APM-PM) serves as the staff focal point for non-delegated programs for which COMMARCORSYSCOM has elected to retain MDA/PDA and lead the Milestone Assessment Team (MAT) as described below.

6.4.1 MAT Process.

The MAT is chaired by the APM-PM and includes:

- APM-E, APM-LCL, APM-CT, APM-FM. The APMs are empowered to represent their respective Competency Directors (CDs).
- Combat Development and Integration (CD&I), Marine Corps Operational Test and Evaluation Activity (MCOTEA), and other key external stakeholder organizations
- The respective Program Manager (PM)
- Product Manager (PdM)

The APM-PM works with the PM/PdM to identify external stakeholders and ensure they are represented on the MAT. AC PROG approves final recommended MAT membership. AC PROG typically recommends to the MDA that the APM-PM serve as MAT Chair. However, AC PROG may recommend a MAT Chair other than the APM-PM as appropriate. The other CDs typically assign their respective APMs to represent them on the MAT. However, they may elect to designate a representative other than the APM as appropriate.

The MAT provides the MDA with an integrated assessment of each program. To be effective, all appropriate competencies and stakeholders must work together as a team and provide the PM/PdM with timely recommendations.

The MAT reviews program events and status from an overarching perspective to ensure the strategy and schedule reflect a realistic and integrated approach. This will include identification of risks, affordability assessment, dependencies between events across all competencies, critical path or long lead items, and development of recommended mitigation strategies as appropriate.

The MAT uses the MCSC Probability of Program Success (PoPS) core briefing charts and criteria questions as the primary assessment tool, per MARCORSYSCOMO 5000.3B.

Below provides a detailed description of MAT membership, responsibilities and processes.

MAT Membership
Each organization may designate one or more representatives as appropriate in consultation with the MAT Chair.
Internal
APM-PM (Chair)
APM-E, APM-LCL, APM-CT, APM-FM
PM
The following organizations may also be requested to be a MAT member per the direction of the Competency Directors:
AC ALPS
AC Contracts
AC PROG
Safety
DC SIAT
DC RM/DFM
External
HQMC – CD&I
Other HQMC participation
All HQMC organizations with an interest in the program should be invited to participate.
MCOTEA
LOGCOM

Table 6A. MAT Membership

MAT Process Organizational Responsibilities

Organization: MCSC APM-PM (Chair)

- Work with the PM/PdM to determine MAT membership.
- Schedule meetings within appropriate timelines.
- Chair MAT and provide summary of each MAT meeting to include status of actions to all MAT members.
- Ensure compliance with MARCORSSYSCOMO 5000.3B to include use of the MAG and MCSC PoPS core briefing charts.
- Coordinate staff inputs and facilitate the resolution of issues at the lowest appropriate level.
- Objectively represent the views of the MAT members.
- Ensure in cases of substantive disagreement between MAT members and/or the PM, the issues are quickly framed and presented to COMMARCORSYSCOM so programs are not delayed due to disagreements over issues.
- Provide guidance to the PM regarding content of MDA decision briefs.
- Prepare ADM and ensure staffing to appropriate stakeholders. Ensure senior leadership has reviewed and concurs with the MAT recommended decision.
- Prepare a [MDA Program Summary Assessment](#). Ensure it provides objective and complete data to enable COMMARCORSYSCOM to execute a fully informed MDA decision. Frame any open issue or alternative recommendation for MDA consideration.

Organization: MCSC DC SIAT, DC RM, AC Contracts, AC ALPS, AC PROG, Safety, MCOTEA, HQMC, LOGCOM, and PM

- Ensure appropriate skill sets within each organization are represented on the MAT. This may require multiple MAT members from the same organization. For example, DC SIAT may appoint representatives from both SE and IA.
- Ensure all MAT representatives are empowered to represent leadership and fully participate in the MAT process. MAT representatives must have sufficient expertise/seniority to provide guidance relative to program strategy.
- Provide a timely response to the APM-PM upon receipt of a request for MAT participation.

Organization: MCSC PM/PdM

- Prepare all required products, briefings, and analysis to support the MAT process.
- Provide a timely response to the APM-PM upon receipt of a request for MAT participation.

Table 6B. MAT Process Organizational Responsibilities

6.4.2 MAT Member Roles and Responsibilities.

MAT Member Roles and Responsibilities	
1)	Participate in all MAT meetings or assign an empowered representative.
2)	Review PoPS core briefing charts and criteria questions to establish PoPS baseline score for MDA consideration.
3)	Surface/resolve issues as a team early in the process and assist the PM in developing appropriate adjudication strategies. It is a disservice to the programs and process for issues to remain hidden or be surfaced unexpectedly at senior-level decision meetings.
4)	Foster early/effective communication between MCSC leadership, internal and external stakeholders, and the PM.
5)	Ensure the program meets the requirements of DoDI 5000.02, SECNAVINST 5000.2E, and MARCORSYSCOMO 5000.3B, and all other appropriate logistics, test, engineering, financial, and contracting guidance.
6)	Review key program events and schedule for realism and effectiveness and provide timely recommendations to the PM.
7)	Assist the PM in developing a tailoring strategy for MDA approval.
8)	Track and monitor all actions directed by the previous ADM (exit criteria) and notify the MAT Chair of barriers to completion.
9)	Mentor the PM/PdM regarding completion of documents to ensure they reflect sound planning and assessments before they are submitted for final review.
10)	Provide data needed to resolve issues and to support MDA decisions in a timely manner.
11)	Keep respective Competency Directors and other leadership informed of progress/issues and ensure all key products such as ADMs, PoPS Health Assessments, etc. are reviewed by leadership well in advance of the decision. Ensure all comments are provided to the MAT Chair within required timelines.
12)	Provide a comprehensive recommendation to COMMARCORSYSCOM prior to each MS/Decision Point. The recommendations shall be focused on the key elements of program success. Success is defined as affordable, executable programs that provide the most value for the resources invested.

Table 6C. MAT Member Roles and Responsibilities

6.4.3 Detailed MAT Process Overview.

Step 1. PdM informs Tier-0 IPT of upcoming MS/Decision Point.

Step 2. APM-PM shall serve as MAT Chair.

Step 3. MAT Chair meets with PM/PdM to establish notional timelines, MAT membership, required products to support conduct of the MAT such as PoPS briefing charts, criteria questions, etc., and refine overarching strategy. Typically the MAT process includes an initial kick-off meeting, 1-3 interim MAT reviews, and a final meeting prior to the MDA decision brief. The MAT Chair will work with the PM to establish an initial schedule tailored to the risk and complexity of each individual program.

Step 4. MAT Chair notifies prospective MAT members, to include all MCSC CDs, and coordinates the MAT kick-off meeting.

Step 5. All organizations which have been requested to participate within the MAT shall provide a response to the MAT Chair within 5 working days.

Step 6. The initial MAT kick-off meeting shall be conducted and establish the following:

- Validate MAT membership and review required roles and responsibilities.
- Identify the next MS or Decision Point.
- Establish a POA&M required to support achievement of the identified MS or Decision Point.
- Identify appropriate MCSC PoPS core briefing charts and criteria questions.
- Review entrance criteria (to include statutory and regulatory documentation) which is located in each MCSC PoPS core briefing chart package located in the PoPS Core Charts DROP DOWN menu on the [MAP SharePoint](#).
- Assess status of exit criteria from the previous ADM if applicable.
- Review program status, strategy, schedule, documentation, and risks as contained in the MCSC PoPS core briefing charts and criteria questions.
- Recommend tailoring strategy for MDA approval.
- Establish initial PoPS baseline score.
- Identify follow on MAT meetings, required pre-briefings, and products required to support the MDA decision brief.
- Identify actions to be resolved prior to the MDA decision brief to include responsible parties and required resolution date.

Step 7. Conduct follow-on MAT meetings per the POA&M established at MAT kick-off meeting.

- Review MCSC PoPS core briefing charts and associated criteria questions, update baseline score, and refine charts and rationale for criteria question responses.
- Review status of program compliance with entrance criteria to include documentation.
- Review status of program compliance with exit criteria established at previous MS or Decision Point if applicable.
- Review actions previously identified by the MAT and update status, establish new actions as appropriate along with responsible parties and required resolution date(s).
- Review draft ADM language to include development of exit criteria for the next MS or Decision Point and ensure staffing to appropriate stakeholders. Ensure senior leadership has reviewed and concurs with the MAT recommended decision.
- Update the MAT POA&M as appropriate to include the date and agenda for the next MAT meeting.

Step 8. Conduct final MAT meeting and provide recommendation to the MDA.

- Review status of program compliance with entrance criteria and (if applicable) exit criteria established at previous MS or Decision Point and frame results for MDA.
- Validate the documentation is complete or final pending MDA signature.
- Finalize draft ADM language to include exit criteria for the next MS or Decision Point.
- Validate all MAT actions have been adjudicated, deferred to the next MS/Decision Point, or addressed via ADM language.
- Review MCSC PoPS core briefing charts and criteria questions, finalize baseline score, and refine charts and rationale for criteria question responses.
- Frame open critical risks, issues, or concerns for MDA consideration as appropriate.
 - Make MS recommendation to MDA. Each MAT member will be asked to confirm the program should proceed or not proceed to the program decision meeting with COMMARCORSYSCOM. The MAT Chair shall record this vote and provide the record to the MDA.
 - MAT members may choose to concur the program should proceed to the decision brief with the MDA contingent upon resolution of a specific issue. In these cases,

the MAT Chair will frame the contingent concurrence for MDA consideration.

- o If a MAT member non-concurs the program should proceed to the decision meeting, the PM may elect to defer the decision until the issue is resolved. However, the PM may choose to proceed to the decision meeting. The MAT Chair shall frame the issue along with the PM recommended mitigation for COMMARCORSYSCOM consideration.
- In addition, the MAT provides the MDA with an integrated assessment of each program. The MAT Chair shall prepare a MDA Program Summary Assessment that documents the MAT recommendation; an assessment on the program's readiness to proceed to a decision meeting; and identifies risks and any issues. All APMs will sign the MDA [Program Summary Assessment](#). The APM signature certifies their CD has been briefed and concurs with the MAT recommendation.

Step 9. COMMARCORSYSCOM reviews the MAT recommendations and issues a decision. Note: The APM-PM shall follow the process outlined in [Enclosure \(d\)](#) for scheduling decision reviews with the Executive Director and COMMARCORSYSCOM.

6.4.4 MAT Issue Resolution Process.

The MAT shall:

- Identify required actions and responsible parties for issues that can be fully addressed within the MAT process and track each action to final resolution.
- Draft appropriate language for issues that can be resolved by addition of ADM narrative.
- Frame other issues and recommendations for MDA consideration. In the case of substantive issues, the MAT (via the MAT Chair) shall schedule a meeting with MCSC leadership and key stakeholders to ensure the issues or risks are surfaced as soon as possible for leadership review and decision.
- Provide the MDA with a [MDA Program Summary Assessment](#) of all identified issues and status prior to each MS/Decision Point.

6.5 Management Procedures for Delegated Programs.

COMMARCORSYSCOM may delegate MDA/PDA to a PM or Senior Executive Service (SES) official. Delegation of MDA or PDA shall be documented in an ADM from COMMARCORSYSCOM to the designated

official. Programs should be of relatively low risk and complexity to be considered for delegation.

The MDA/PDA for delegated programs shall:

- Follow the procedures outlined in [Chapter 6.3](#).
- Conduct regularly scheduled reviews to assess compliance with approved APB metrics as well as statutory and regulatory requirements. These reviews shall directly align with the MAT process per [Chapter 6.4](#).
- Ensure compliance with reporting requirements to include TOPIC and RDAIS as described in [Chapter 9](#) of this Guidebook.

6.6 Commodity Acquisition Management - Procuring Principle End Items as Component Items, Support Equipment, or Support Items.

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. As covered in this chapter's preceding sections, 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). This section shall address how MCSC 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 process shall be identified as Commodity Acquisition Management (CAM) and is defined as the collaboration among Commodity PMOs, System PMOs, and competency area specialists to procure common equipment across the Marine Corp enterprise portfolio.

The CAM process delineated here cancels and replaces Command Policy Letter No. 1-06, Acquisition of End Items Either as Components, Support Equipment or Items of 13 March 2006.

6.6.1 Overview.

The Marine Corps can achieve substantial cost savings in the fielding and sustainment of systems through the concurrent procurement of CI, SE, and SI through contracts originated within the Commodity PMOs that have primary responsibility for the specific capability. System PMs and the Commodity PMs, however, sometimes have conflicting goals. The PM for a weapon or command and control system is trying to achieve optimum

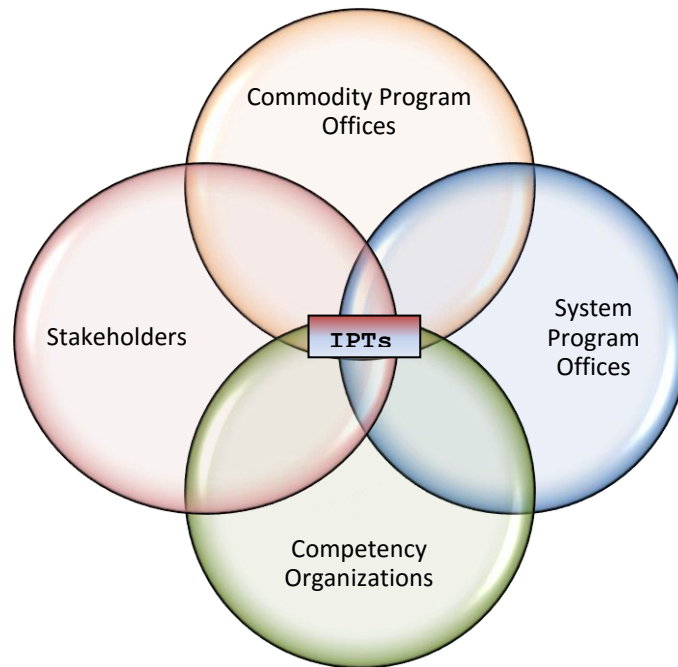
performance within a specific system. The Commodity PM, on the other hand, is striving for commonality and the reduction of support costs and logistical impacts across multiple, broad ranges of users and systems.

6.6.2 Benefits of Commodity Acquisition Management.

The CAM process enables the development, integration, and delivery of solutions that meet customer requirements, enhances system interoperability, reduces costs, and maximizes affordability. The benefits of such collaboration include:

- Centralized management, which reduces the cost of new capability.
- Fewer development efforts as PMOs will be required to shift material solution requirements outside the scope of their office to the appropriate PMO.
- Reduction in the number of contracts, personnel, and associated overhead.
- Increased efficiencies across program lifecycles as a result of collaborative pursuits.
- Lower unit costs due to economy of scale in procurements and services.
- Continuous system updates/enhancements provided by the appropriate Commodity PMO for all users.
- Cost savings through the leveraging of new platform R&D for development & integration.
- Reduction in logistics/deployment footprint with increased commonality.

6.6.3 Integrated Product Teams and Commodity Acquisition Management.



CAM emphasizes IPPD, by which IPTs manage the integration of all acquisition activities. Reference (a), under which MCSC transitioned to a Competency Aligned Organization, directly implements this management technique.

When selecting CI, SE, or SI, system PMs shall form a commodity focused IPT. This IPT shall develop and maintain core acquisition and technical expertise for the strategic and tactical management of their specific commodity area in support of Marine Corps strategic and operational objectives. These IPTs require the participation of any organization that can assist in the day-to-day program activities. This includes, but is not limited to, representatives from the System PMO, Commodity PMO, Combat Development and Integration (CD&I), MCSC Competency Organizations, Resource Sponsors, and any stakeholder organizations external to MCSC.

In situations where multiple PMO areas of responsibility are required to fully satisfy a material solution requirement, a Memorandum of Agreement (MOA) shall be drafted by the primary system requirement owner. This will energize the appropriate level of competency inter-communication to ensure the most efficient and effective acquisition of the materiel solution. For further information regarding MOAs, refer to [Chapter 8.6](#).

6.6.4 Individual Roles and Responsibilities

The successful execution of CAM requires continued coordination among applicable PMs, PdMs and CD&I as each executes their respective roles and responsibilities in support of the warfighter.

Table 6D. CAM Roles and Responsibilities

Commodity Acquisition Management Roles and Responsibilities	
System PM/PdM	
<ul style="list-style-type: none"> • Approaches Commodity PM(s) to determine if systems currently in the Marine Corps inventory are appropriate and available for use. • Supports CD&I in the Program Objective Memorandum (POM) to fund for impact of entire system to include its attendant CI, SE, and SI that are either new procurements or require quantities of existing items that are above the current Marine Corps inventory. • Transfers funding to the Commodity PM when needed to execute the procurement of the system CI, SE, and SI. • Approaches Commodity PM regarding the configuration of system's CI, SE, and SI and receives interface documents to develop the A-Kit. System PMs shall not unilaterally modify any CI, SE, and SI managed by a Commodity PM. • Develops and maintains all components necessary to integrate CI, SE, and SI into the system (A-Kit). • Provides Commodity PM with A-Kit documentation, such as drawings and Performance Specifications (P-Spec) to support sustainment of Component Items, SE, and SI. • Maintain control of the system's configuration throughout its life cycle, to include the integration configuration of CI, SE, and SI. (i.e. A-Kit) • Responsible for total acquisition life-cycle management of any system unique CI, SE, and SI unless management is officially assigned to a Commodity PM by COMMARCORSYSCOM through the Requirements Transition Process (RTP) delineated in Chapter 2. • Maintain control of documentation supporting the integrated system (i.e. Interface Control Documents, Technical Manuals, etc.). 	
Commodity PM/PdM	
<ul style="list-style-type: none"> • Provide System PM/PdM with technical, cost, and availability information necessary to support system acquisition planning. • Assist System PM/PdM in the physical integration of assigned commodities into the system platform to optimize total system performance. • Supports CD&I in the POM to fund for the acquisition and sustainment of assigned common commodities (e.g. radios, generators, Blue Force situational awareness, shelters) to include any legacy items until discontinued or replaced. 	

Commodity Acquisition Management Roles and Responsibilities

- Executes procurement of system CI, SE, and SI following receipt of funds from system PM/PdM.
- Manage and sustain system CI, SE, and SI following fielding of integrated system.
- Provide System PM/PdM with applicable documentation to develop an A-Kit and support the integrated system.
- Notify System PM/PdM of any expected or planned changes to CI, SE, and SI that may impact an A-Kit.
- Supports CD&I in the POM to fund for the impact of A-Kit modifications brought about by modifications or changes to CI, SE, or SI.

Milestone Assessment Team (MAT)

- Assess interdependencies between a system and its CI, SE, and SI to determine if cost, schedule, and performance goals are properly aligned for the successful execution of the respective program under review.
- Provide recommendations to PM(s) for the adjudication of any identified issues regarding the interdependencies between system and associated CI, SE, and SI.
- Document interdependency issues in the MAT memorandum to the Milestone Decision Authority (MDA) or Program Decision Authority (PDA).
- Engage respective Competency Directors as necessary to adjudicate identified issues.

MDA/PDA

- Ensure accountability of each PMO responsible for the delivery of a complete, supportable, and operational system.
- Determine adjudication of issues unresolvable at the PMO, MAT, or Competency Director levels.

6.6.5 Additional Responsibilities.

For any requirements changes to the original system PEI which were not accomplished as part of the initial procurement, the appropriate integration division at CD&I is responsible for the funding of those requirements. That funding is inclusive of development costs for the A-kit and procurement of the CI, SE, and SI. The affected System PM in conjunction with the Commodity PM will coordinate the development and procurement resulting from the new or modified requirements using the CAM process described previously. Depending on the current lifecycle phase and status of the system or commodity program(s), the establishment of a new program may be required.

Refer to References (d) and (h), which address system and program modifications, to determine appropriate PMO action.

6.6.6 Marine Corps Commodity PMOs.

Commodity PMOs manage and maintain technical expertise, continue in the development of funded products, and foster awareness of issues/coordinating activities across the Marine Corps enterprise. These program offices represent the recommended best practices across requirements, resourcing and acquisition management that promote affordability through leveraging economies of scale, commonality, faster delivery of new or enhanced warfighting capabilities through open architectures, and improved sustainment and reduced logistics footprint in support of expeditionary operations. [Table 6E](#) provides a listing of Marine Corps ground commodity types by PMO.

Table 6E. Marine Corps Commodities by PMO

PMO	Area(s) of Responsibility	Commodities
<p>PMM-110 - ISI Information Systems and Infrastructure</p>	<p>Information Technology (IT) Strategic Sourcing, Marine Corps Network and Infrastructure Services, Total Force IT Systems, Marine Corps Enterprise Services, and Emergency Response Systems</p>	<p>Marine Corps Common Hardware Suite (MCHS) - Computers, peripheral equipment, software, etc.</p> <p>Note: PMM-110 is the procuring agent only; System PMs are responsible for managing and sustaining the MCHS components of their system(s).</p>
<p>PMM-111 - MC3 MAGTF Command, Control and Communications</p>	<p>Counter Systems, Tactical Communication Systems, Networking and Satellite Communications, MAGTF Command and Control Systems, and Situational Awareness</p>	<p>Tactical command, control, communications equipment</p>
<p>PMM-112 - MI Marine Intelligence</p>	<p>Intelligence, Surveillance and Reconnaissance-Enterprise (MCISR-E) integrated capabilities</p>	<p>Systems for the collection, analysis, utilization and dissemination of signals, human and geospatial intelligence systems, and other forms of intelligence-related information.</p> <p>Commodities include: -Team Portable Collection System -Communications Emitter Sensing & Attacking System</p>

PMO	Area(s) of Responsibility	Commodities
<p>PMM-113 - IWS Infantry Weapons Systems</p>	<p>Fully integrated infantry weapons and related systems</p>	<p>Infantry laser rangefinders, packs, pouches, etc. for radios, magazines, etc.</p>
<p>PMM-114- AFSS Armor and Fire Support Systems</p>	<p>Fire support systems, High Mobility Artillery Rocket Systems, Expeditionary Fire Support Systems and Tank Systems, Radar Systems, and Digital Fires</p>	<p>Artillery laser rangefinders</p>
<p>PMM-115 - CSS Combat Support Systems</p>	<p>Expeditionary power, combat engineering, test measurement and diagnostic, combat Support Equipment, field medical equipment, and camouflage netting</p>	<p>-Power systems, to include tactical generators, batteries, battery chargers, etc. -Field medical equipment -Unmanned ground systems -Environmental control equipment -Test, measurement, and diagnostic equipment -Shelters, both rigid and soft walled -Shipping and storage Cargo Containers less than 20 feet in length</p>
<p>PMM-118 - TRASYS Training Systems</p>	<p>Training products, systems, operations, services, and devices</p>	<p>Standard and non-standard training systems and devices -Simulators, mock weapons, range targets, and range instrumentation -After action review systems -Training personnel and combat environment role players</p>
<p>PMM-205 - LTV Light Tactical Vehicles</p>	<p>Light tactical vehicles, trailers, and associated equipment</p>	<p>Internally Transportable Vehicle (ITV), High Mobility Multipurpose Wheeled Vehicle (HMMWV), Joint Light Tactical Vehicle (JLTV), light trailers</p>
<p>PMM-206 - M&HTV Medium and Heavy Tactical Vehicles</p>	<p>Medium and heavy tactical vehicles, trailers, and associated equipment</p>	<p>Logistics Vehicle System Replacement (LVSR), Medium Tactical Vehicle Replacement (MTVR), Semi-trailers, Flat-racks, medium trailers, heavy trailers</p>

6.6.7 Definitions.

Principle End Item (PEI) - A weapon system generally developed to meet a Marine Corps Requirement. PEIs are generally assigned a Table of Material Control Number (TAMCN).

Support Equipment (SE) - SE encompasses all equipment required to maintain, manage, and employ an item, system or facility in an operational condition within its intended environment, and includes the necessary equipment to test, measure, diagnose, calibrate, handle, transport, secure, support, and repair systems. SE includes, but is not limited to: material handling equipment, specific transportation platforms, environmental control units, mobile power equipment, special purpose test equipment, calibration equipment, general purpose tools and test sets, automatic test equipment, and built-in test equipment.

Component Item (CI) - In general, components are similar to secondary repairable items, and may have their own TAMCN.

Support Item (SI) - Items of equipment, such as radios, computers, IT peripherals, etc. in support of a PEI. SI may also have their own TAMCN

A-Kit - Hardware permanently installed on a system, to include any required structural modifications, wiring, and brackets that support the B-kit installation.

B-Kit - The mission-specific product, component, or Support Item designed for installation and removal as needed. Examples include receivers, antennas, amplifiers, and associated equipment. A B-kit normally does not require any modification to facilitate installation, and can be used on multiple types of platforms.

6.7 Program Management Reviews.

Commander, Marine Corps Systems Command (COMMARCORSYSCOM) conducts Program Management Reviews (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 Milestone Decision Authority (MDA) and SYSCOM Commander. (*Per statute and regulation, COMMARCORSYSCOM is responsible for all MCSC activities. This includes any authorities COMMARCORSYSCOM has elected to delegate*).
- Allow Program Managers (PMs) a forum to address key issues, critical risks, and to share good news stories with leadership.

The scope of the PMRs encompasses all MCSC programs and efforts as well as the PM’s resources. Instructions and an agenda are developed specifically for each PMR. At a minimum, however, the PM shall brief the status of the portfolio and all active Acquisition Category (ACAT) III and IV programs within the portfolio regardless of MDA delegation. Additional programs and information will be specified for each PMR in a tasker released via the DON TRACKER.

6.7.1 PMR Schedule.

To better inform key Planning, Programming, Budgeting, and Execution (PPBE) events, PMRs take place in August and February of each fiscal year. 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.

6.7.2 General PMR Roles and Responsibilities.

The PMRs are a forum for COMMARCORSYSCOM and the PM to have a conversation. At a minimum, PMs, Deputy PMs, Assistant PMs (APMs), and Product Managers (PdMs) 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: Combat Development and Integration (CD&I), Headquarters Marine Corps Programs and Resources (HQMC P&R), HQMC Command, Control, Communications and Computers (C4), Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN(RDA)), and Marine Corps Test and Evaluation Activity (MCOTEA). [Table 6F](#) provides a detailed description of the PMR roles and responsibilities.

Table 6F. PMR Roles and Responsibilities

PMR Roles and Responsibilities	
PM	<ul style="list-style-type: none"> • Complete and present PMR briefings to COMMARCORSYSCOM, focusing conversation on key resource and programmatic issues as well as accomplishments. PM may delegate portfolio briefing to Deputy PM if unavailable. PM may delegate Acquisition Category (ACAT) program briefings to PdMs. • Invite external stakeholders, such as the Capabilities

PMR Roles and Responsibilities	
	<p>Officer, MCOTEAs Testers, etc.</p> <ul style="list-style-type: none"> • Be prepared with recommendations for issue resolutions that COMMARCORSYSCOM, professional staff, or external organizations (i.e. CD&I, HQMC P&R, ASN(RDA), etc.) may assist with. • Communicate any PMR process improvements and recommendations to AC PROG.
PdM	<ul style="list-style-type: none"> • Present PdM portfolio briefings to COMMARCORSYSCOM, to include AAPs and O&S efforts as required. • Present ACAT program briefings if delegated by PM. • Be prepared with recommendations for issue resolutions that COMMARCORSYSCOM, professional staff, or external organizations (i.e. CD&I, HQMC P&R, ASN(RDA), etc.) may assist with.
Competency APMS	<ul style="list-style-type: none"> • Assist PMs with completion of PMR briefing. • Review PMR briefings for consistency and accuracy; provide recommended changes to PM for consideration. • APM-PMs shall additionally: <ul style="list-style-type: none"> ◦ Inform PM of PMR schedule and adjudicate any conflicts with ACPROG. ◦ Ensure PMR briefings are submitted on time. ◦ Provide COMMARCORSYSCOM read ahead NLT two business days prior to scheduled PMR.
ACPROG Assessments	<ul style="list-style-type: none"> • Provide COMMARCORSYSCOM approved PMR template to PMs for population. • Work with COMMARCORSYSCOM's staff to schedule PMR dates, times, and location. • Prepare daily PMR agenda. • Prepare invitation to external stakeholder leadership and provide to COMMARCORSYSCOM's staff for dissemination. • Develop and/or update PMR template as directed by COMMARCORSYSCOM, Deputy Commanders, or Assistant Commanders. • Assist APMS with any questions regarding PMR template, format, attendance, schedule, etc.

6.7.3 After Action Reviews.

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. The Commander may choose to table such discussions for the PMR After Action Review (AAR). The AAR typically takes place within two to three weeks of the last PMR and is attended by the PMs, DCs, and ACs. The focus of the AAR is to first better understand the issue and then to recommend how to resolve the issue. Actions from the AAR may include additional meetings, Issue or White Papers, letters to stakeholders, etc.

6.7.4 PMR Action Items.

During the PMRs, Action Items may be assigned to an organization. Following the conclusion of the PMRs, ACPROG Assessments will provide a draft list of recorded Action Items to the APM-PMs for review and concurrence. Once finalized, Action Items will be loaded into TOPIC by AC 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.

Chapter 7: Better Buying Power (BBP)

7.1 BBP Overview.

BBP is the implementation of best practices to strengthen the Department of Defense's buying power. This includes:

- Achieve Affordable Programs
- Achieve Dominant Capabilities While Controlling Lifecycle Costs
- Incentivize Productivity and Innovation in Industry and Government
- Eliminate Unproductive Processes and Bureaucracy (tailoring)
- Promote Effective Competition
- Improve Tradecraft in Acquisition of Services
- Improve the Professionalism of the Total Acquisition Workforce

BBP principles are evolving and the latest DoD policy can be located within the Defense Acquisition Portal [Better Buying Power Gateway](#).

Specific BBP focus areas addressed in this chapter include should cost, affordability and tailoring. In addition, the Marine Corps Systems Command (MCSC) PoPS core briefing charts include phase specific instructions to assist PMs in complying with BBP at each milestone and MDA review point.

The Assistant Commander for Programs (AC PROG) will continue to provide the MCSC workforce with implementing BBP guidance tailored to Acquisition Category (ACAT) III and below programs via:

- Updates to this guidebook
- MCSC Acquisition Information Letter (MAIL) notices
- Workforce training events and products
- Updates to the PoPS core briefing charts and MCSC Acquisition Portal (MAP)

If you have any questions regarding BBP implementation please contact your APM-PM.

7.2 Should Cost.

Effectively managing costs is imperative to achieving greater efficiency and productivity, and Should Cost Management is one

tool that helps Program Managers (PMs) control both short and long term costs. Those in acquisition management should routinely analyze the costs of their programs, even those cost elements outside of the PM's control, and consider how to reduce costs through reasonable measures.

Per the [DoDI 5000.02](#), Reference (c) Should Cost Management, "...applies to programs in all ACATs, in all phases of the product's life cycle, and to all elements of program cost." Specific Should Cost Targets are presented to the Milestone Decision Authority (MDA) at Milestone (MS) A, Request for Proposal Release Decision, and MS C. As such, Should Cost Management applies to all MCSC acquisition efforts, to include Sustainment programs. Specific guidance on the implementation of Should Cost Management at MCSC is identified in The [MCSC Guide to Should Cost Management Increment I](#), (Reference (n)). The guidebook defines roles and responsibilities, as well as recommended steps, templates, and tailoring guidance.

Effective immediately, programs shall use the "Program Should Cost Summary" and "Summary Should Cost Initiatives" slides in place of the previous PoPS "Should Cost/Will Cost" slide. These slides are located in [Enclosure \(1\)](#) of the MCSC Guide to Should Cost Management.

7.3 Affordability.

Scope and Overview.

This section establishes MCSC implementing guidance regarding program affordability to align with [BBP](#) and [DoDI 5000.02](#). It applies to all MCSC programs, including pre-Materiel Development Decision (MDD) initiatives regardless of acquisition lifecycle phase. This section is not applicable to affiliated Program Executive Officers (PEOs).

BBP and DoDI 5000.02 mandate increased emphasis on affordability to avoid starting or continuing programs that cannot be executed within reasonable expectations for future budgets. The Milestone Decision Authority (MDA)/Program Decision Authority (PDA) assesses affordability at each milestone (MS) and program review, and directs actions to ensure each program is affordable throughout its lifecycle (from pre-MDD through Disposal). This requires:

- Active teaming with the Requirements Authority (RA) and all stakeholders to support risk-informed decisions

- On-going affordability reviews conducted early in the lifecycle and continuing through system development, production, sustainment, and disposal
- MDA/PDA visibility into cost, schedule, and performance (C/S/P) trades, risk, risk mitigation plans, and acquisition approaches by coordinating with Combat Development & Integration (CD&I) and HQMC Program & Resources (P&R) Program Analysis and Evaluation (PA&E) to support affordability reviews
- Consideration of program cancellation or restructure whenever affordability cannot be demonstrated

Early identification of risk and implementing sound and achievable risk reduction/mitigation is a key component to achieving program affordability. It is a collaborative effort between the RA, P&R, and the MDA/PDA. Affordability at the portfolio and individual program level will change over time as USMC priorities and budget constraints evolve. Therefore, affordability must be assessed throughout the life of a program and be evaluated at all major MS, decision points, and program reviews to ensure decisions are based on current and accurate information.

Affordability Roles and Responsibilities

The PM will include a tailored affordability strategy as part of the program Acquisition Strategy for MDA/PDA approval. It should be tailored so that only the minimum essential analysis techniques and brief exhibits are used to help the MDA/PDA make informed affordability risk decisions. The level of detail and content of the affordability strategy should align with the risk, execution status, and complexity of each program.

[Enclosure \(e\)](#) provides the PM with analysis techniques to help convey the program affordability status to the MDA/PDA.

[Enclosure \(j\)](#) provides specific stakeholder affordability roles and responsibilities. See Section 7.4 for more information about tailoring.

Key USMC Affordability Concepts.

[DoDI 5000.02](#) Enclosure 8 provides details of affordability analysis and investment constraints. The following paragraphs provide USMC specific applications of key affordability concepts.

Affordability - A program is affordable if it can be executed over its lifecycle (MDD - Disposal) within assigned resources.

Explanation - Since affordability extends through Disposal, it often encompasses a timeframe beyond the current Future Years Defense Plan (FYDP). Affordability is not the same as full funding. An explanation of the differences between affordability and full funding is provided in [Section 7.3.1](#).

Affordability Analysis - A scientifically-based process for evaluating the relative merits (i.e. cost, effectiveness, and risk) of a materiel solution or program in a capability portfolio for various levels of resource availability given the Commandant's strategic priorities.

Explanation - Per DoDI 5000.02, "Component leadership", which for the USMC is HQMC P&R PA&E, conducts affordability analyses for selected MCSC ACAT programs with support from stakeholders as identified in [Enclosure \(j\)](#). Waivers will be provided by HQMC PA&E, as required.

Affordability Constraints - Affordability constraints are limits on costs driven by budget considerations and USMC capability priorities. CD&I will work with the PM, supported by the MDA/PDA, to ensure each program is affordable and aligns with USMC capability priorities. [DoDI 5000.02](#) notes that affordability analyses are not intended to produce a rigid long-term plan but rather to promote responsible and sustainable investment decisions.

Explanation - Affordability constraints are **not** synonymous with cost estimation and approaches for reducing costs. Affordability constraints force prioritization of requirements, drive C/S/P trades, and help ensure that unaffordable programs do not enter or remain in the acquisition process. HQMC P&R PA&E, with support of the stakeholders, will recommend constraints based on USMC leadership approval. The MDA/PDA will execute approved affordability constraints tailored to the execution status and risks of each specific program. There are two types of affordability constraints - **goals** and **caps**.

Affordability Goals - Early in obtaining a program designation, affordability goals will be established by the Materiel Development Decision (MDD) to inform capability requirements and major design or other C/S/P trade-offs to ensure the product being acquired is affordable.

Explanation - Goals are informed by historical analysis, Warfighter Investment POM Executive Board (WIPEB) capability priorities, and known budget constraints. Goals may be expressed as broad notional ranges or guidelines early in the program lifecycle. The level of specificity will increase as the program progresses to MS B/C, the materiel solution is known, and the level of program knowledge matures. **Documentation:** Affordability goals are documented in the ADM and included as Exit Criteria starting at the MDD and typically continuing through MS B. They are updated at each subsequent MS and MDA review point. Affordability goals are eventually replaced by more precise affordability caps (usually at MS B). However, for programs entering the acquisition process after MS B, the MDA may elect to defer establishing affordability caps until MS C or beyond.

Affordability Caps - DoDI 5000.02 states that affordability caps are established as fixed cost requirements. At the Development RFP Release Decision Point or MS B and beyond, affordability goals have become binding affordability caps.

Explanation - Affordability caps will be treated like Key Performance Parameter (KPP) equivalents at program MS and review decision points. Affordability caps can be affected by portfolio prioritization and fiscal constraints.

The MDA/PDA will enforce affordability caps after the materiel solution has been defined, requirements, product definition and design are stable, and the program office Rough Order of Magnitude (ROM)/Program Office Estimate (POE) have been completed (typically at MS B).

Documentation: Affordability caps are documented in the ADM as Exit Criteria and where appropriate also documented in the Acquisition Program Baseline (APB) at MS B or beyond in the acquisition process. They are reviewed and updated at all MS and MDA/PDA review points.

Analysis Techniques - Analytical techniques used to evaluate and maintain program affordability including C/S/P trade-offs to mitigate risks.

Explanation - The techniques can range from technical trade-off analyses, innovative acquisition or contracting approaches, use of should cost, or other techniques to

address affordability. Enclosure (e) provides specific examples of analysis techniques to evaluate affordability.

- o Documentation: The program affordability strategy is documented in the Acquisition Strategy/Acquisition Plan (AS/AP) and included in the ADM as Exit Criteria. This Exit Criteria may include direction to use specific affordability techniques tailored to the program unique status and risk. The Exit Criteria are reviewed/updated at each milestone review point.

For additional affordability guidance, please contact AC PROG Policy and Assessment Branch.

7.3.1 Full Funding vs. Affordability.

These two concepts are related but are NOT the same thing. Key differences are summarized below. See [Defense Acquisition Guidebook \(DAG\) Chapter 3.2](#) for more details.

- **Full funding** - Focused on ensuring there are sufficient funds to execute a program over the Future Years Defense Plan (FYDP).
 - o Starting at the time of development RFP release, MS B, and all subsequent MS, the MDA must ensure that the program is **fully funded**, e.g. sufficient funds are in place to execute the program over the FYDP as a result of the Program Objectives Memorandum (POM)/budget process.
 - o *Note: During the MDD & Materiel Solution Analysis phase and MS A & Technology Maturation and Risk Reduction (TMRR) phase, there must be sufficient funds in place to ensure completion of phase specific events. For example, at MDD the MDA must ensure that there is sufficient funding for the program to proceed to the next major decision point or MS, such as AoA or MS A. This is known as phase specific funding.*
- **Affordability** - Affordability has a broader and longer focus than full funding. Affordability encompasses total lifecycle cost from MDD through Disposal. As such, it considers implications beyond the FYDP of decisions made today. For example, there may be sufficient funds at MS B for a program to meet full funding criteria. However, the MDA and USMC leadership may determine the program is unaffordable based on knowledge of USMC portfolio priorities and total cost to Disposal.

7.4 MDA Tailoring.

Through the 2015 edition of the [DoDI 5000.02](#), the Under Secretary of Defense for Acquisition, Technology, and Logistics enthusiastically encourages programs to “tailor” and states in the document’s purpose, “This instruction...authorizes MDAs to tailor the regulatory requirements and acquisition procedures in this instruction to more efficiently achieve program objectives, consistent with statutory requirements and [[DoDD 5000.01](#)].” Tailoring, however, is not a new concept to the Defense Acquisition community having made its first official appearance in 1991.

7.4.1 What Is Tailoring.

In summary, tailoring is the MDA or PDA’s structuring of a program based on an objective assessment of the program’s status, risk, and adequacy of its risk management. MDAs/PDAs, per the DoDI 5000.02, have the latitude to determine the most efficient and effective program structure, strategy, and oversight in order to deliver a capability solution that meets performance, cost, and schedule requirements. However, MDA/PDAs may still find themselves constrained by statute. The limits placed upon the MDA/PDA’s tailoring approach are discussed in paragraphs [7.4.5.1](#) and [7.4.5.2](#).

7.4.1.1 Why Tailor.

The Marine Corps has limited resources, and it is our responsibility to manage them wisely. Program tailoring will allow us to moderate our requirements, such as documentation, reviews, and events, to only those that provide effective management and oversight, while contributing to the timely delivery of a robust but affordable capability.

7.4.2 Tailoring Approach.

As each program is unique, a one-size-fits-all tailoring strategy does not exist. As stated previously, designing a program’s tailoring strategy revolves around its complexity, risk, technical maturity, etc. In general, mature, proven systems and programs with low risk will have substantially fewer reviews and streamlined documentation.

When developing a program’s tailoring strategy, opportunities for program tailoring may include the following:

- Appropriate [acquisition phases](#), MS and Decision Points.

- Point of program initiation.
- Reviews and events, to include their scope.
- Documentation required for each MS, Decision Point, review, and event.
- Decision levels for each MS, Decision Point, review, and event.

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

7.4.3 Program Records.

MDAs/PDAs shall document tailoring decisions and the rationale supporting those decisions. Several existing program documents capture such decisions, however the most critical and authoritative is an MDA/PDA signed ADM that approves the proposed tailoring strategy. Among other items, the ADM or an enclosed Memorandum for the Record (MFR) shall capture the program's oversight requirements, required documentation, acquisition phase content, the timing and scope of decision reviews as well as the level at which those decisions shall be made, etc. The rationale behind the approved tailoring strategy shall be documented in the ADM or an enclosed MFR to the ADM. For additional guidance regarding the preparation and content of ADMs, refer to the [ADM template](#).

In preparation for a program designation and/or decision review, the PM/PdM, in concert with the Milestone Assessment Team (MAT), will prepare a recommended tailoring strategy for the MDAs/PDAs consideration and approval. For programs where Commander, Marine Corps Systems Command (COMMARCORSSYSCOM) serves as the MDA/PDA, the tailoring plan shall be reviewed by the MAT before presentation to the MDA/PDA. For programs the MDA/PDA has been delegated to the PM, the PM's Tier-0 Integrated Product Team MAT shall review the plan before presentation to the MDA/PDA.

7.4.4 Tailoring Program Documentation.

Both statutory and regulatory documents may be included within broad enterprise documents that address multiple programs (with concurrence of the document's approving official(s)). This saves time and resources by eliminating the need to prepare and staff multiple documents.

7.4.5 Tailoring Limitations.

7.4.5.1 Tailoring Statutory Requirements.

Mandated by law, statutory requirements shall not be eliminated unless a waiver is permitted by the statute and the program has obtained the appropriate level of approval(s) for the waiver. However, the scope, presentation method, and content of a statutory requirement may be streamlined. This will require coordination with the cognizant, possible external, authority.

7.4.5.2 Tailoring Regulatory Requirements.

All regulatory documents are candidates for elimination, reduction in size or scope, or combination with other products. However, MDAs/PDAs should be aware that some regulatory policies may require coordination with the cognizant, sometimes external, authority. For example, the MDA/PDA may not eliminate Operational Testing for a program without the concurrence of MCOTEA. Another example is the APB. As a co-signer with the MDA/PDA, CD&I must concur with the format and scope of this critical program document.

7.4.5.3 Identification of Statutory vs. Regulatory Requirements.

For a listing of ACAT III and below statutory and regulatory documentation, refer to [DoDI 5000.02](#) Enclosure 1, Table 2 and [SECNAVINST 5000.2E](#) Table E2T1. For a listing of Command approved documentation, check with your respective APM.

7.5 Program Documentation.

As soon as possible, the PM/PdM should begin planning for execution of program documentation. This includes execution of documents identified as "long lead", e.g. those that may require in excess of five months to prepare, staff, and obtain approval. These long lead documents are identified in the MCSC PoPS core briefing charts for each MS and Decision Point within the "Notional Timeline" chart. Sample "Notional Timeline" chart can be found in [Enclosure \(f\)](#).

Chapter 8: TOOLS & ADDITIONAL GUIDANCE

8.1 Integrated Master Schedule (IMS) / Integrated Master Plan (IMP) .

IMS and IMP Applicability.

Planning and scheduling are fundamental program management functions that all acquisition professionals need to understand. The Assistant Commander for Programs (AC PROG) is responsible for oversight and development of these functions at MCSC 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 MCSC programs, in the DoDI 5000.02 Acquisition Framework (pre-Materiel Development Decision (MDD) through Full Rate Production (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 ACPROG Cost and Analysis Branch, is developing a MCSC IMS Guidebook 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 Milestone Decision Authority (MDA), and the program has not completed its final formal milestone, the Program Manager (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.

8.1.1 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 (IPMR DID) (DI-MGMT-81861)) and the

Integrated Government Schedule (IGS). The C-IMS and IGS are separate schedules, but interrelated as explained below.

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 [DoDI 5000.02](#), Table 8. 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 low rate initial production (LRIP) efforts. Tailoring of associated Earned Value and C-IMS CDRLs (which will reference the IPMR DID)¹ should be coordinated with your respective Tier-0 IPT and the IPMT.

IGS. PMs are recommended to establish and use an internal Government IMS that the Program Management Office (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 of the Government's efforts (scope) necessary to meet program milestones and may contain touch points to the C-IMS, as required.

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 milestones, accomplishments, and discrete tasks/activities from pre-MDD efforts through FRP Decision and should answer the five Ws:

- 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 Ws, when properly constructed (networked) the IMS describes how the work is being executed. The key thing to realize is that scheduling software determines

¹ The IPMR DID governs data and reporting requirements for measuring cost and schedule performance on DoD acquisition contracts. It is structured around seven formats - Format 6 is the C-IMS.

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.

8.1.2 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 is the amount of time a task can be delayed without impacting other tasks; it is calculated by scheduling software.

Total Float is the amount of time that a task can be delayed before the end of the project is delayed; it is calculated by scheduling software.

Critical Path is the sequence of discrete tasks/activities in the IMS that has the longest total duration through the project. Discrete tasks/activities along the critical path have the least amount of total float. While scheduling software will display a critical path, there are many factors that can skew this data; therefore, the PM should have the critical path validated by the IPMT.

The IMS and specifically the critical path enable the PM to quantify schedule margin (i.e. the difference in time between when you are required to finish your project, and when you are predicted to finish) and consequently understand and quantify schedule risk.

8.1.3 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 below are common to most processes.

IGS Development Process & Responsibilities

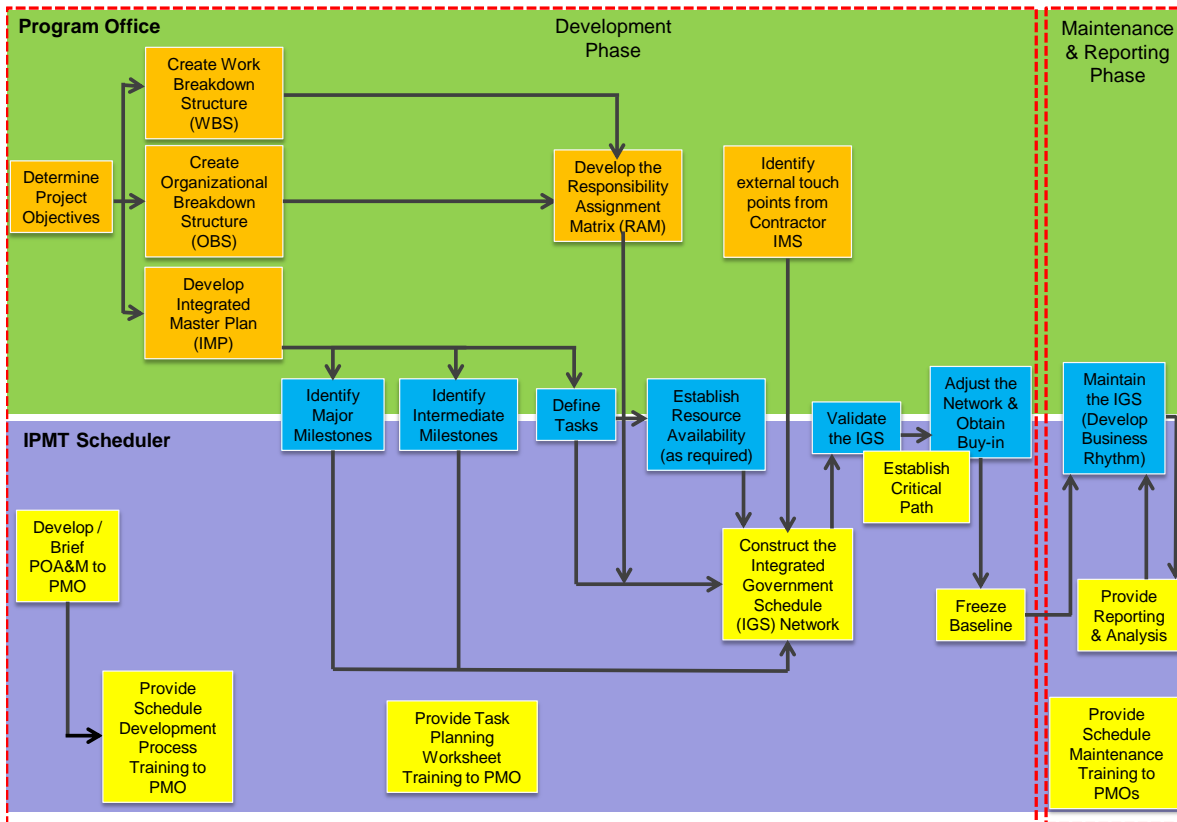


Figure 8A. IGS Development Process and Responsibilities

Determine Project Objectives. The objectives for a C-IMS are primarily derived from the SOW provided by MCSC. In contrast, the objectives for an IGS are typically derived from regulations and policies (DoDI 5000.02, SECNAVINST 5000.2x), requirements documents and other internal and external stakeholder requirements; for example, the POM process, PoPS reviews, PMRs, Milestone Decision Reviews, etc.

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 881C](#).

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

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.

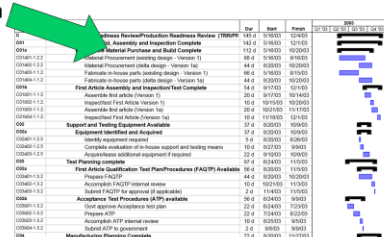
Organizational Breakdown Structure (OBS). The OBS is a diagram represents the different levels of responsibility within a project. PMS should use their respective Organizational Chart along with any supporting contractors, warfare centers, government labs, test agencies, etc. Contractors should use the 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.

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 8B.

Event	WBS REF
Activity #	
Accomplishment	
Criteria	
A	Event A - Post-Award Conference/Baseline Design Review (PA/BDR) Conducted
A01	Management Planning Reviewed
A01a	Program Organization Established 1.2.1
A01b	Initial Configuration Management Planning Complete 1.2.2, 1.2.3
A01c	Program Schedule Reviewed 1.2.1
A01d	Risk Management Program Reviewed 1.2.1
A02	Baseline Design Reviewed
A02a	Requirements Baseline Complete 1.3.1
A02b	Review Of Existing Baseline Engineering/Kit Drawings Complete 1.1.1
A03	Post-Award Conference/Baseline Design Review Conducted
A03a	PA/BDR Meeting Conducted 1.2.1
A03b	PA/BDR Minutes and Action Items Generated 1.2.1

Integrated Master Plan (IMP)

- **Event-based plan**
- **Contractual document**
- **Relatively top level**



Integrated Master Schedule (IMS)

- **Task and calendar-based schedule**
- **Not contractually binding**
- **Level of detail necessary for day-to-day execution**

Figure 8B. IMP & IMS Relationship

An initial IMP should be developed by the PMO and should be included in a Request for Proposal (RFP). The contractors will take this initial IMP, and extend it based on their approach to the project. The IMP that is developed by the contractor is included as part of the contract and in these cases is contractually binding.

When the IMP is first created, it is not time phased; however, it provides an ideal structure for creating the IMS. The IMS is required to be traceable to the IMP. Once the IMS is finalized and the scheduling software calculates dates for all tasks, then through that traceability, all of the IMP events will have predicted dates. All of the Events, Accomplishments and Criteria in the IMP must be in the IMS.

8.1.4 Integrated Program Management Team (IPMT).

The IPMT is part of the Cost and Analysis Branch, which falls under the Assistant Commander for Programs. It is composed of a combination of Program Analysts/Master Schedulers (343s) 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, PdMs and IPTs in order 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.

8.1.5 Summary.

The primary purpose of any IMS is to help the PMO optimize the overall execution strategy of a program, coordinate workflows, and assist in the decision making processes to mitigate risks and resolve challenges on a day-to-day basis. Effective development, use, and management of an IMP and IMS:

- Provides the basis for effective communications between PMO and contractors,
- Identifies a baseline for project status monitoring, reporting, and project control,
- Facilitates management and decreases risk of missing cost/schedule/performance (C/S/P) objectives, and
- Provides a basis for resource analysis and leveling, exploration of alternatives, and cost/time tradeoff studies.

The Under Secretary of Defense for Acquisition, Technology, and Logistics (USD AT&L) [IMP and IMS Preparation and Use Guide](#) (Reference (o)) provides additional information required to initiate and manage an IMP and IMS. PMs should consult with their respective Tier-0 IPT and the IPMT for guidance developing and implementing individual program IMPs and IMSS. Training is also available through the IPMT.

8.2 Risk.

Effective risk management is a key to program success. 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 where **if** some event or condition occurs, **then** a specific negative impact or consequence to program objectives will result
- The **probability** of the undesired event or condition occurring
- The **impact** or **severity** of the undesired event were it to occur

There are five phases of the risk management planning process, which are described in the [MCSC Risk Management Memory Jogger](#):

- 1) Risk Planning
- 2) Risk Identification
- 3) Risk Analysis
- 4) Risk Handling
- 5) Risk Monitoring

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 Program Manager (PM)/Product Manager (PdM) establish a Risk Management Plan (RMP) and charter a Risk Management Board (RMB) to execute the four phases of Risk Management. Further guidance can be found in the [Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs of June 2015](#) (Reference (p)) and the [MARCORSYSCOM Order 5000.3, 06 June 2008, NAVAL SYSCOM RISK MANAGEMENT POLICY](#) (Reference (q)).

For Program Management Reviews (PMRs) and Milestone/Decision Points, a Risk Reporting Matrix and Risk Burn Down charts are required. Detailed instructions to populate these charts are found in the [RMP template](#). PoPS core briefing charts can be found on PoPS Core Charts DROP DOWN menu on the [MAP SharePoint](#).

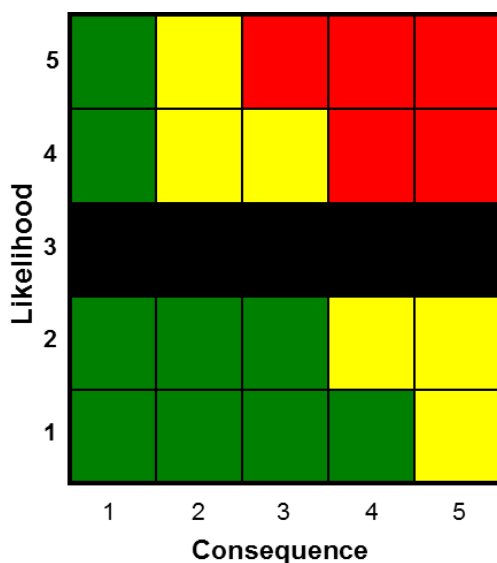


Figure 8C. Graphical Representation of Risk Reporting Matrix

Significant Risks Burn-down

Description:
Provide brief description of risk

Mitigation Steps:

- 1. List current and future tasks to mitigate risk add provide dates
- 2. Check off those that are completed
-
-

Figure 8D. Risk Burn-Down Chart

MCSC endorses and provides an automated tool, Project Recon (access instructions can be located in Appendix D of the [RMP template](#)), to help manage program risk data and populate the two charts shown in Figures 8C and 8D. Use of this tool is encouraged though not mandated.

8.3 Clinger-Cohen Act (CCA).

The Clinger-Cohen Act (CCA) is a statutory requirement defined in the [DoDI 5000.02](#) and [SECNAVINST 5000.2E](#) as "all programs that acquire IT, including NSS, at any acquisition category (ACAT)

level" and identifies the specific requirements for CCA Compliance.

The Marine Corps System Command (MCSC) [Clinger Cohen Act Compliance Guidebook](#) provides the latest CCA requirements and guidance for achieving compliance. It describes the MCSC CCA Compliance Process and provides an overall process flow for the CCA confirmation processes.

This Guidebook is applicable to all MCSC PMs who serve as the Milestone/Program Decision Authority for any ACAT or AAP programs that contain Information Technology (IT) or IT components.

8.4 Test and Evaluation (T&E) Planning.

Integrated testing is fundamental to the effective execution of all acquisition programs to include Abbreviated Acquisition Programs (AAPs). The T&E strategy and results ensure the product or capability we are acquiring meets its intended purposes as defined in the requirements document. The T&E strategy is tailored to the specific characteristics of each individual program. Lower risk programs may require developmental test (DT) only. In a DT effort, the PM/PdM develops and oversees all testing. The PM/PdM should ensure the appropriate rigor and discipline are applied to the planning and execution of all DT. This includes ensuring a senior Government test advisor (preferably independent from the Program Management Office) oversees and monitors the development of T&E strategies, as well as the conduct of T&E events. This may be the Tier-0 IPT, Assistant Program Manager for Engineering (APM-E), Marine Corps Operational Test and Evaluation Activity (MCOTEA) advisor, etc.

Some programs will warrant independent T&E from an independent Operational Test Agency (OTA). MCOTEA serves as the OTA for most MCSC programs which require an OTA. The PM/PdM shall assess the specific characteristics of each proposed program and provide a recommendation regarding the category of test required as described in [Chapter 4](#). Additional guidance regarding the T&E process and procedures are provided in the [USMC Integrated Test and Evaluation Handbook](#) (Reference (j)).

It is imperative the PM/PdM begin planning for integrated T&E activities as early as possible in the program lifecycle. The program test advisor or Test Working Integrated Product Team (WIPT) should be involved in the review of all program documentation to include requirements documentation. This will

ensure all T&E considerations have been planned for and are fully addressed within the program schedule and budget. See [DAG Chapter 9](#) for more guidance.

8.5 Defense Business Systems (DBS) Acquisition.

Purpose. Summarize the detailed DBS acquisition guidance contained in DoDI 5000.02 Enclosure 12. The summary includes requirements definition, management oversight, and tailored processes used to acquire and certify Defense Business Systems (DBS).

DBS Defined. A DBS is an information system, other than a National Security System, operated by, for, or on behalf of the DoD. DBSs are projected to have a life-cycle cost in excess of \$1 million over the current Future Years Defense Program (FYDP). The Component Chief Management Officer (CMO) makes the determination that a program is a DBS. The USMC Chief Information Officer (CIO) is the USMC CMO.

DBS examples include the following:

- Financial Systems
- Management Information Systems
- Financial Data Feeder Systems
- Information Technology
- Cybersecurity Infrastructure

DBSs are used to support business activities such as:

- Contracting
- Pay and Personnel Management
- Logistics
- Financial Planning and Budgeting
- Installations Management
- Human Resource Management

Requirements Definition. DBS programs derive requirements from a [Problem Statement](#) (PS) in lieu of traditional Joint Capability Integration and Development Systems (JCIDS) documents.

Component Functional Sponsors (i.e. I&L, M&RA, P&R...) develop the PS based on a perceived business problem, capability gap, or opportunity. The Component Functional Sponsor will vet DBS Problem Statements with appropriate CD&I capability portfolio managers to prioritize the DBS requirement and assess affordability.

The Investment Review Board (IRB) certifies that a PS meets the statutory requirements contained within **10 U.S.C. 2222** prior to the Materiel Development Decision (MDD) and all other subsequent program decisions made by the Milestone Decision Authority (MDA)/Program Decision Authority (PDA).

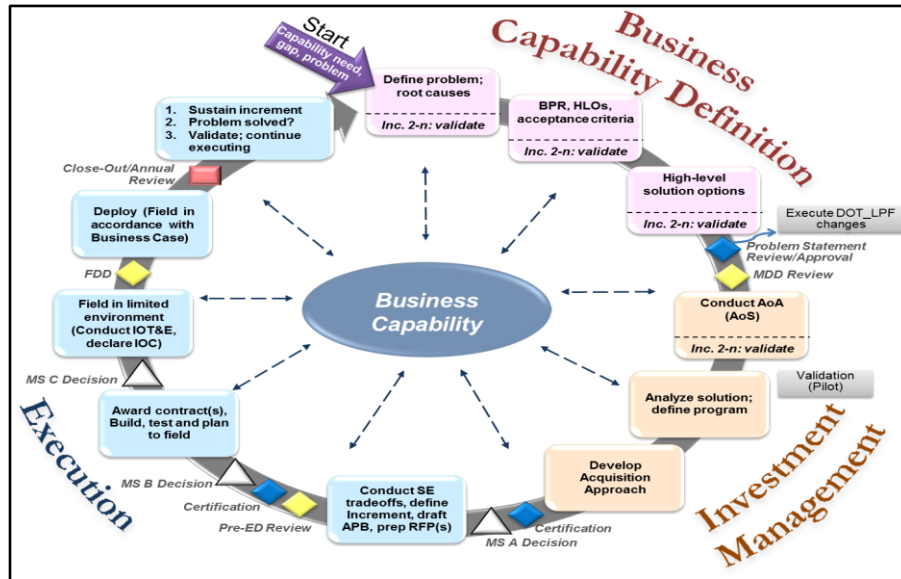
Management Oversight. There are numerous internal and external Marine Corps organizations that are involved with reviewing and certifying DBSs. These organizations and their roles and responsibilities are identified as follows:

Roles	General Responsibilities
Component Acquisition Executive (CAE) (USMC CDR MCSC)	<ul style="list-style-type: none"> ◆ Designates the Milestone Decision Authority (MDA) for an ACAT III DBS.
Pre-Certification Authority (PCA) (Deputy Under Secretary of the Navy - Management (DUSN-M))	<ul style="list-style-type: none"> ◆ Assesses and pre-certifies compliance with the Business Enterprise Architecture (BEA) and ensures that required documentation is available for IRB review prior to the IRB meeting. ◆ Determines whether defense agencies' DBS modernization investments and in vestments that will support the business processes of more than one military department or defense agency have adequately performed Business Process Reengineering (BPR) and comply with the BEA. ◆ Ensures that BPR has been performed in accordance with 10 U.S.C. § 2222(a)(1)(A).
Principal Staff Assistants (PSA) For USMC (HQMC CIO)?	<ul style="list-style-type: none"> ◆ Develop functional strategies. ◆ Certifies and forwards IRB packages to Defense Business Systems Management Committee (DBSMC) for final approval.
Defense Business Systems Management Committee (DBSMC)	<ul style="list-style-type: none"> ◆ Advises the DBSMC chair, who is responsible for approving certification of funds associated with modernization efforts.
Component Acquisition Decision Authority (CADA) For USMC (HQMC CIO)?	<ul style="list-style-type: none"> ◆ Provides Marine Corps specific policy, guidance, and oversight and dispositions recommendations for problem statements, business case analysis, and certification requests ◆ Determines whether DBS programs within his or her area of responsibility have adequately performed BPR and whether DBSs comply with the BEA. ◆ Prepares, approves, and submits the analysis of alternatives (AoA) study guidance to Component Functional Sponsor. ◆ Approves the AoA study plan. ◆ Reviews and provides independent assessments of cost estimates and cost analyses as appropriate. ◆ Submits approved AoA study guidance and AoA study plan to the IRB chair.

Component Chief Information Officer (CIO) For USMC (HQMC C4)?	<ul style="list-style-type: none"> ◆ Works with the component, IRBs, DBSMC, and other stakeholders to ensure the development of DBSs are in compliance with applicable statutes and regulations and are also in accordance with DoD policy on architecture, design, interoperability, security, and information assurance.
Component Functional Sponsor For USMC (CD&I/Advocates/Proponents)?	<ul style="list-style-type: none"> ◆ Identifies and obtains funding for all phases throughout the DBS. ◆ Responsible for the Doctrine, Organization, Training, Leadership and Education, Personnel, Facilities, and Policy (DOTmLPF-P) nonmaterial portions of the solution. ◆ Represents the user's needs throughout the process. ◆ Develops the AoA study plan in coordination with the IRB and in accordance with CADA-approved AoA study guidance.
IRB	<ul style="list-style-type: none"> ◆ Certifies DBS program is authorized to execute funds. ◆ Reviews the following documents to certify they are in accordance with Title 10 USC 2222: <ul style="list-style-type: none"> ▪ Problem statement, which must be approved by the IRB chair. ▪ Requirements changes and technical configuration changes, for programs in development that could affect cost and schedule.
MDA	<ul style="list-style-type: none"> ◆ Makes DBS acquisition decisions and determines the appropriate DBS entry/ acquisition phases. The MDA will not approve program changes unless the program increment is fully funded and schedule impacts mitigated. The MDA does the following: <ul style="list-style-type: none"> ▪ Establishes mandatory procedures for assigned programs. ▪ Tailors regulatory information requirements and acquisition processes and procedures to achieve cost, schedule, and performance goals. ▪ Submits reports to Congress as required by statute.
FUNCTIONAL AREA MANAGERS (FAMs)	<ul style="list-style-type: none"> ◆ Determine and validate DBS program portfolio priorities. ◆ Review and approve DBS program DITPR-DON records. ◆ Prepare and submit DBS portfolio packages for IRB certification packages.
COMPROLLERS	<ul style="list-style-type: none"> ◆ Coordinate all DBS financial resources with the appropriate PM and FAM prior to submission to HQMC C4. ◆ Confirm programs have IRB certification before approving funds execution.
CD&I	<ul style="list-style-type: none"> ◆ Coordinate with FAMs to validate DBS portfolio prioritization. ◆ Validate Problem Statements.
Enterprise Business Transformation	<ul style="list-style-type: none"> ◆ Represents Marine Corps with DBS management committee. ◆ Develops DBS policy. ◆ Manage acquisition portfolios (e.g., PR Builder), Financial Management (e.g., MCFIAS, MFS), Logistics (e.g., GCSS-MC), and Manpower (e.g., MCTFS), as well as, the Business Enterprise Architecture (supports overhead, end-to-end processes (e.g., Hire to Retire).
PM	<ul style="list-style-type: none"> ◆ Is accountable for the successful development and deployment of the DBS. ◆ Compile all required documentation for certification including all DITPR-

Tailored Processes. [Figure 8E](#) is a tailored process that illustrates how a DBS goes through the acquisition process and aligns with DBS management oversight.

Figure 8E. Business Capability Acquisition



The DoDI 5000.02 provides acquisition process models that have been specifically tailored to acquire DBS hardware and software. Refer to Models 3 and 6 in DoDI 5000.02 for more guidance.

8.6 Memorandum of Agreement (MOA).

A MOA is used to formalize an association between organizations and outline their responsibilities. The purpose of a MOA is to establish a written agreement between parties. The term MOA is generic and includes Memorandum of Understanding (MOU), Operating Agreement (OA), Letter of Agreement (LOA) or other similar documents. All MOAs must fully describe the relationship and responsibilities of the parties, to include all relevant expectations and resources (funding, personnel, structure, facilities, etc.). An example of a MOA is included in [Enclosure \(g\)](#).

Note: All stakeholders should be included in the development of a MOA. An inclusive approach will help prevent inadvertently omitting a potentially interested organization.

External. MOAs with organizations external to MCSC should be submitted for Executive Director (ED) review. Prior to ED review, MOAs should be staffed to the below organizations:

- Deputy Commander, Resource Management (DC RM) - Financial or Personnel/Manpower issues.
- Assistant Commander, Contracts (AC Contracts) - Contracting issues.
- Assistant Commander, Programs (AC PROG) - Programmatic or Analytical issues.
- Deputy Commander, Systems Engineering, Interoperability, Architectures, & Technology (DC SIAT) - Technical or Engineering issues.
- Additional staffing through relevant PMs, APMs, and Special Staff functions may be required if the situation warrants.
- Command Counsel - Reviews all external MOAs.

All MOAs with external organizations shall reflect a fully vetted corporate view of the relationship and responsibilities being documented. The MOA shall specify a recurring review by all signatories; during which the MOA will be updated, cancelled, or continued. This recurring review may be triggered by a specific timeframe or achievement of a key event.

Internal. MOAs internal to MCSC should be submitted for review by AC PROG.

8.7 Modifications.

During the program life cycle, it is often necessary to make configuration changes to an existing ACAT program. This is typically accomplished via a modification. MCSC policy regarding modifications is based on whether the system to be modified is in development/production, or is out of production. MCSC policy requires modifications be treated with the appropriate level of rigor and management oversight. Detailed information and guidance is provided in [Acquisition Policy Letter 02-09 "Modification to Systems"](#) (Reference (h)).

8.8 Acquisition Program Baseline (APB).

Below provides a brief summary of APB content and management. Detailed guidance is provided within [DAG Chapter 10.9](#) and [DoDI 5000.02](#). In addition, a sample [APB](#) is provided in the Template section of MAG.

Description. The APB defines the acquisition program and documents the program's C/S/P goals. While many new initiatives supporting streamlining documentation requirements for acquisition programs are implemented, given the importance of the document and binding agreement between the requirements and acquisition community, the APB cannot be "tailored" out of the acquisition process. An APB is required for all acquisition programs (including AAPs) beginning at program initiation (typically MS B or MS C) and through completion of the Production & Deployment acquisition phase. The APB shall be reviewed for relevance at each MDA program review or Decision Point.

Approval. The APB requires three signatures. The PM Office 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 MDA approves the APB.

APB Content - 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.
- Objective values reflect the "best case" scenario. An objective value may be the same as the threshold when appropriate.

(Note - a program is successful if it meets threshold values for C/S/P. The goal of the PM/PdM is to ensure the program attains threshold values for C/S/P).

APB Content - Performance Parameters. At a minimum, the [Key Performance Parameters \(KPPs\)](#) 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.

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

- Materiel Development Decision Review (MDD)
- Program Initiation (Milestone B or later if approved at the MDD Review)
- Milestone C
- Full Rate Production Decision (may be combined with Milestone C)
- Fielding Decision Review
- Initial Operating Capability (IOC)

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 6 months. However, the PM/PdM may propose an alternative default threshold value to optimize program trade space, subject to MDA approval.

Program achievement of events depicted in Section B (Schedule) portion of the APB require documentation supporting and demonstrating their completion. For Milestone decisions and acquisition Decision Points, an ADM is issued by the MDA communicating the approval/disapproval of the Milestone decision being sought. It is important to remember that any Schedule event included in the APB will require some form of documentation from the MDA, or Technical Authority (if Testing and/or Technical Review Events are included) to prove completion of the event. IOC and FOC declarations should be issued by MCCDC to the PM to indicate the PM has met the defined IOC/FOC objectives. However, in the absence of receiving such correspondence, the PM should take the initiative to prepare similar correspondence for MCCDC concurrence, and establish a Memorandum-for-the-Record (MFR).

APB Content – Cost Parameters. Cost parameters are based on the program's life cycle cost estimate. The APB contains cost parameters (objectives and thresholds) for major elements of program life cycle costs and total ownership cost. This includes total quantity, Research, Development, Test and Evaluation (RDT&E), Military Construction (MILCON), Procurement (PMC), Operations and Maintenance (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 base year is the year of program initiation (typically MS B or C).

APB Management – Revisions. The APB is revised at MS decisions, and at the Full Rate Production (FRP) decision (Full Deployment decision for IT programs). Revising the APB at these events enables the PM/PdM 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:

- as a result of major program restructure which is fully funded and approved by the MDA.
- as a result of a program deviation (breach).

A record of all revisions will be shown on the APB to provide the MDA with a historical record of all revisions and the corresponding change in C/S/P values. This is reflected in the [APB template](#).

The MDA will not authorize multiple revisions to the APB between milestones since this is an indication the program may not be executable. The determination of whether to revise the APB rests with the MDA.

8.9 Program Deviations (also called "breaches").

Applicability.

The below provides a tailored process and timeframes, based on the DoDI 5000.02, the Program Manager (PM)/Product Manager (PdM) shall follow to notify the Milestone Decision Authority (MDA)/Program Decision Authority (PDA) of program deviations or breaches to an approved Acquisition Program Baseline (APB). The tailored process and timeframes are applicable to MCSC Acquisition Category (ACAT) III & IV programs and Abbreviated Acquisition Programs (AAPs). This guidance is not applicable to affiliated Program Executive Officers (PEOs).

Definitions.

- A program deviation occurs **as soon as** the PM/PdM has reason to believe that the current estimate of an approved APB cost, performance, or schedule (C/S/P) parameter will breach the threshold value.
- A Program Deviation Report describes the program deviation(s) to an approved APB, reason(s) for the program deviation(s), and actions to bring the program back within the baseline parameters.

Timeframes.

The following are timeframes a PM/PdM shall follow for notification of a program deviation to the MDA/PDA. **Note: the MDA/PDA is the final approval for a revision to the APB.**

- **Immediately** provide an initial [MDA Notification](#) to the MDA/PDA when the PM/PdM estimates one or more approved APB threshold values for C/S/P are not achievable.
- **Within 30* working days of initial MDA notification**, the PM/PdM, in collaboration with the Tier-0 IPT, CD&I and key stakeholders, shall submit a [Program Deviation Report](#) that informs the MDA/PDA of the reason(s) for the deviation and planned actions to bring the program back within the baseline parameters to include revision of APB. **Note: When the PM is the MDA/PDA, a copy of the Program Deviation Report shall be provided to the Commander, Marine Corps Systems Command via ACPROG.**

- **Within 90* working days of initial MDA notification**, the program is within APB parameters or a new or revised APB (changing only the parameters that were breached) has been submitted to the MDA/PDA and approved. Chapter 8.8 describes the steps and products required to develop and prepare an APB.

***Changes to Required Timeframes.** The 30 working days timeframe for submission of the Program Deviation Report and 90 working days limit for submission of new or revised APB are regulatory requirements per DoDI 5000.02. The PM/PdM may request the MDA/PDA modify either or both timeframes, by including the proposed target date(s) and supporting rationale in the initial MDA/PDA notification.

All new/revised APBs shall be submitted for upload using the "Submit a signed ADM or APB" link, located on the front page of TOPIC, in accordance with MARCORSSYSCOMO 5000.3B and Chapter 9.2.

8.9.1 PM/Stakeholder Responsibilities & Mandatory Timeframes.

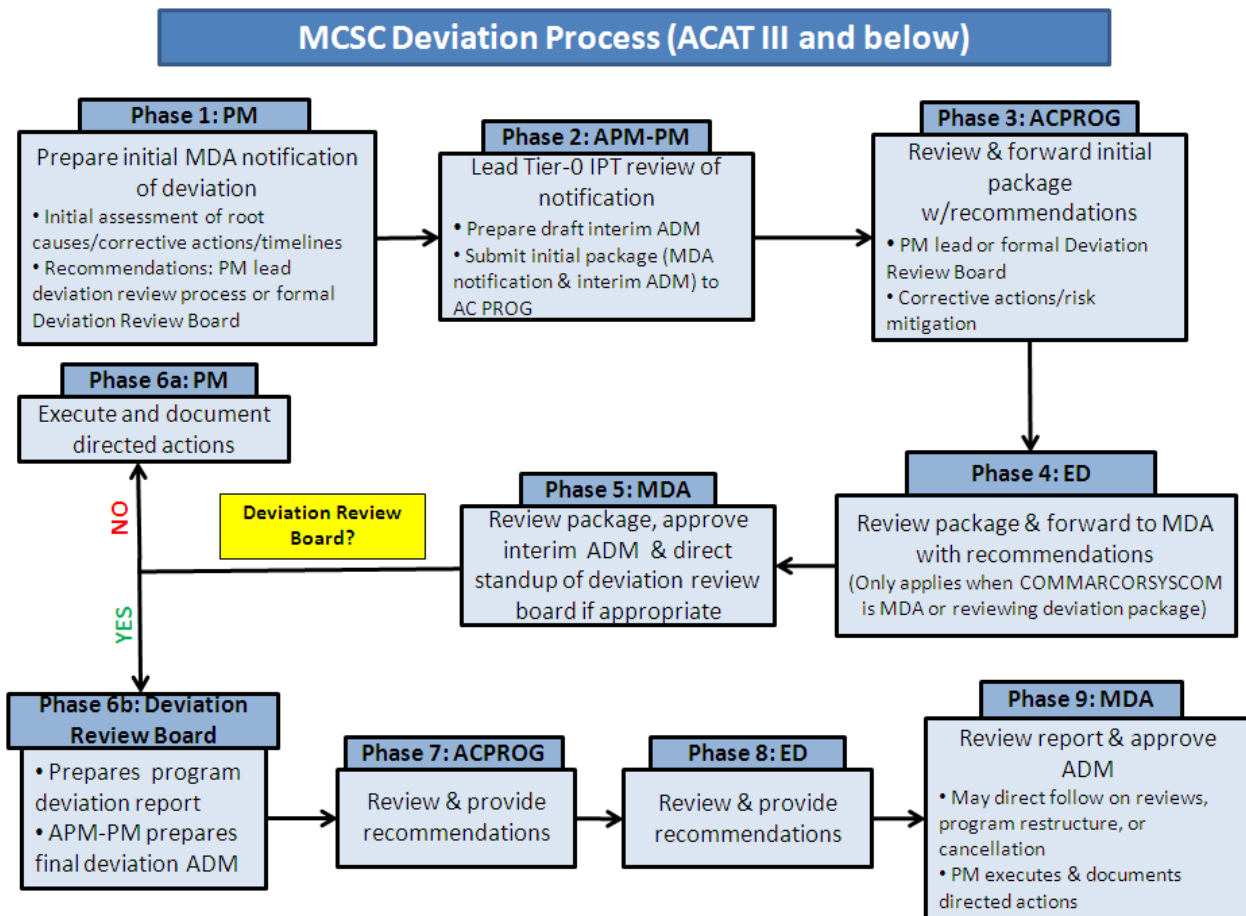
The PM shall:

- Immediately notify the MDA (via AC PROG) when the PM estimates that one or more APB threshold values for C/S/P are not achievable. [Table 8A](#) describes the associated steps and products. A initial MDA deviation notification template is located [here](#).
- Within 30* days from the initial deviation notification, the PM shall prepare a program deviation report for the MDA. [Table 8B](#) describes the associated steps and products. A program deviation report template is located [here](#).
- Within 90* days of the deviation, the PM shall submit a revised APB for MDA approval. The APB updates shall be limited to only the breached parameter and those parameters directly affected by the breached parameter. Chapter 8.9 describes the steps and products required to support APB preparation and submission. A template of the APB can be found [here](#).

***Changes to Required Timeframes.** 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 MDA modify either or both timeframes, by including the proposed target date(s) and supporting rationale in the initial MDA notification.

Process Overview and Stakeholder Responsibilities. Roles and responsibilities of all stakeholders to include the Tier-0 IPT, MCSC Competency Directors, and CD&I are outlined in [Tables 8A](#) and [8B](#). [Figure 8F](#) provides an overview of the MCSC deviation review process and a summary of stakeholder responsibilities.

Figure 8F. MCSC Deviation Process



8.9.2 Deviation Review Board.

Purpose. Determine the root cause of the deviation, develop appropriate mitigation strategies, and inform preparation of the program deviation report. This provides the MDA with an independent assessment informed by input from all competencies and stakeholders.

Tailoring. The PM may propose eliminating or streamlining the deviation review board process when:

- The root cause of the deviation is known and all corrective actions have been identified, and

- The impact of the deviation is minor and poses low risk to program executability.

The PM will submit the recommended tailoring strategy and supporting rationale for MDA consideration in the initial MDA notification of program deviation.

Membership. Membership and chair of the board is proposed by the PM in the initial MDA notification of program deviation and approved by the MDA. At a minimum, required participants are the PM, Tier-0 IPT, CD&I, program sponsor, and any other key stakeholder organizations. Typically the APM-PM shall serve as the chair. However, for programs of high impact or risk the PM/AC PROG may recommend an alternative chair from AC PROG Assessments or other organization.

AC PROG shall consider the scope and impact of the deviation when reviewing proposed chairperson and membership of the deviation review board. At a minimum, the definitions of [critical change](#) and Nunn McCurdy ([DoDI 5000.02](#) Table 6) breaches should be considered. Although not directly applicable to ACAT III and below programs, MCSC program deviations which meet or exceed either definition should be managed at the Command level and COMMCSC provided with regular updates.

Management. The chair of the deviation review board shall ensure that all competencies and stakeholders are represented and:

- Assure alignment with the requirements and timeframes established herein
- Leverage the MAT procedures established in [Chapter 6.4.1](#). At a minimum, the MAT procedures for conflict resolution, recording membership concurrence/non-concurrence, and tracking/disposition of action items shall be used. This ensures that the proceedings and results of the deviation review board are appropriately documented.

8.9.3 Documenting MDA Guidance and Decisions.

MDA direction must be documented and posted in TOPIC to ensure all stakeholders have a common understanding of MDA intent WRT strategy, required actions, and timeframes. This mandate extends from time of initial MDA notification of program deviation through implementation and ongoing follow-up of corrective actions. At a minimum, MDA guidance subsequent to the initial MDA notification of program deviation notification

and review of the program deviation report shall be documented via Acquisition Decision Memorandums (ADMs) as described below.

ADMs. Below guidance should be used together with the MCSC [ADM template](#).

- **Interim ADM - Initial MDA Guidance Regarding Program Deviation.** This ADM directs appropriate actions pending submittal of the program deviation report. It is prepared by the APM-PM, reviewed by the Tier-0 IPT, and forwarded with the initial notification of program deviation for MDA approval. The ADM shall address the following as appropriate:
 - Target date(s) for submission of program deviation report, revised LCCE and APB or other required products.
 - Designate that the PM shall conduct the analysis and develop corrective actions or direct stand up of a deviation review board. In either case, the MDA will specify required output products and timeframes.
 - Interim actions to minimize the extent/impact of the deviation pending completion of the program deviation report to the MDA. This may include limitations on obligation of funds, award of contract(s), stop work order(s), or other tools to limit the government's risk exposure.

- **Post Program Deviation Report ADM.** This ADM documents MDA direction based upon review of the program deviation report. It is prepared by the APM-PM, reviewed by the Tier-0 IPT, or the deviation review board if applicable. It shall address the following as appropriate:
 - Target date(s) for submission of required products that are pending completion, such as revised LCCE and APB.
 - Execution of corrective actions to address the deviation.
 - Periodic status reports to MDA and required metrics to assess effectiveness of corrective actions.
 - Stand down of deviation review board or continuation of specified activities.
 - **Include the following mandatory statement: "Based on my review of the program deviation report I have determined that:
 - The capabilities or products to be acquired under the (INSERT PROGRAM NAME) program are essential

to the national security or to the efficient management of the Department of Defense.

- There is no alternative to the system or information technology investment which will provide equal or greater capability at less cost.
- The new estimates of the C/S/P parameters are reasonable.
- The management structure for the program is adequate to manage and control program costs.”

****IMPORTANT:** The above determinations are mandatory and should be met before submitting the ADM for MDA approval.

Notes:

(a) These determinations shall be based upon a comprehensive analysis of causes, impact, consideration of alternatives, and recommended mitigations.

(b) DAG Chapter 10 outlines ACAT I criteria ISO each MDA determination. This will require interpretation/tailoring for MCSC programs, but provides a valuable benchmark.

(c) Sub-paragraphs 10 a-d may be deleted and replaced with appropriate narrative if the recommendation is to cancel the program.

8.9.4 Responsibilities and Timelines for Delegated Programs.

In cases where COMMARCORSYSCOM has delegated MDA/PDA to a PM or other official the MDA shall:

- Implement procedures which directly align with the deviation management process described herein, to include mandatory timelines, products, and review boards.
- Immediately notify AC PROG of all program deviations and provide copies of the initial MDA notification of program deviation and subsequent program deviation report.

Table 8A. Responsibilities & Timeframes for Initial MDA Notification of Program Deviation

Responsibilities & Timeframes for Initial MDA Notification of Program Deviation				
Step	Who	What	When	References & Comments
1	PM	<ul style="list-style-type: none"> Notify the MDA (via AC PROG) of anticipated program deviation using template. <ul style="list-style-type: none"> Propose deviation review board chair/members Describe deviation and initial assessment of root causes Establish timelines for follow-on recommendations to MDA Document key decisions and events in TOPIC 	Immediately upon discovery of potential or actual deviation	May recommend PM leadership of the deviation process or standup of a formal deviation review board. A board is appropriate when deviation is of high impact/risk and recurring in nature. See Chapter 8.9.2
2	APM-PM	<ul style="list-style-type: none"> Facilitate communication between AC PROG and PM Prepare interim ADM per Chapter 8.9.3 Coordinate Tier-0 IPT review of initial MDA notification and interim ADM Forward initial MDA notification and interim ADM to AC PROG after review by Tier-0 IPT 	On-going	Ensure compliance with Chapter 8.9
3	Tier-0 IPT	<ul style="list-style-type: none"> Review initial MDA notification and interim ADM Inform and obtain concurrence from respective CDs 	Within 5 working days	All competencies
4	AC PROG	<ul style="list-style-type: none"> Review/forward initial MDA notification and interim ADM to ED, to include recommended chair/members of deviation review board. Provide additional recommendations to: <ul style="list-style-type: none"> Enable a fully informed MDA decision Mitigate the government’s risk exposure 	Within 5 working days	Provides MDA with an independent perspective
5	Executive Director	<ul style="list-style-type: none"> Review and forward initial MDA notification and interim ADM to MDA (COMMARCORSSYSCOM) with appropriate recommendations 	Within 5 working days	ED may provide additional guidance to address enterprise level trends
6	MDA	<ul style="list-style-type: none"> Review initial MDA notification and approve/disapprove interim ADM Provide additional guidance to PM as appropriate 	N/A	MDA may require the PM to provide a briefing or other supplementary information as applicable
7	CD&I Stakeholders	<ul style="list-style-type: none"> Participate in review of initial MDA notification and interim ADM and notify respective leadership 	Upon request	

Table 8B. Responsibilities & Timeframes for Preparation of the Program Deviation Report

Responsibilities & Timeframes for Preparation of the Program Deviation Report				
Step	Who	What	When	References & Comments
1	PM	<ul style="list-style-type: none"> Prepare report or participate in/chair deviation review board as directed by MDA Update & post PoPS Assessment, APB, and relevant program documents to reflect deviation in TOPIC/DASHBOARD 		See program deviation report template
2	Deviation Review Board/PM Advisors	<ul style="list-style-type: none"> Assist in preparation of program deviation report and review of post deviation ADM per Chapter 8.9.3 Inform and obtain concurrence from leadership and respective CDs Ensure compliance with MDA guidance contained in the interim deviation ADM 	Within 30 days of the deviation or as directed by MDA	See program deviation report template PM, Tier-0 IPT, CD&I, and stakeholders are members of the deviation review board or advisors to the PM when there is no formal board
3	APM-PM	<ul style="list-style-type: none"> Participate in or chair deviation review board Facilitate communication with AC PROG and PM Prepare post deviation ADM per Chapter 8.9.3 Forward program deviation report and post deviation ADM to AC PROG upon completion of deviation review board 	On-going	Ensure compliance with Chapter 8.9
4	AC PROG	<ul style="list-style-type: none"> Participate in or chair deviation review board Review & forward program deviation report and post deviation ADM to ED with appropriate recommendations May provide additional guidance to enable a fully informed MDA decision and mitigate the government’s risk exposure May recommend metrics/on-going MDA reviews to assess effectiveness of corrective actions 	Within 5 working days	May recommend extending deviation review board activities in cases of continuing high risk to program executability
5	Executive Director	<ul style="list-style-type: none"> Review draft ADM and program deviation report; forward to MDA (COMMARCORSYSCOM) with additional recommendations as appropriate 	Within 5 working days	May provide additional guidance to address enterprise level trends
6	MDA	<ul style="list-style-type: none"> Approve/disapprove ADM and program deviation report and provide additional guidance to PM as appropriate. 	N/A	The MDA may elect to cancel, restructure, or continue the program.

8.10 Acquisition Strategy/Acquisition Plan (AS/AP) .

Description. The AS describes the overall strategy for managing the acquisition program, PM's plan to achieve program goals, and summarizes program planning, key events, schedule and program structure. The AP provides a comprehensive plan for implementing the contracting strategy.

MCSC has combined the AS and AP into a single document called an AS/AP. Content tailoring is encouraged per [Chapter 7.4](#). All programs are required to use the [MCSC AS/AP template](#).

Approval. The MDA/PDA approves the AS/AP.

For more information see your APM-PM, PCO and [DAG Chapter 2.7](#).

8.11 Program Objective Memorandum (POM) Process .

The POM is an annual resource allocation process designed to build a balanced set of programs that responds to Office of the Secretary of Defense (OSD), Department of Navy (DON) and Commandant of the Marine Corps (CMC) guidance within published fiscal targets. When completed, the POM provides a detailed five year projection of force structure and supporting programs that becomes the Marine Corps portion of the DON POM.

The associated budget submit converts the POM program view into the Congressional appropriation structure. Along with additional budget justification documents, it is incorporated in the President's Budget Request to Congress after review by OSD and the Office of Management and Budget (OMB).

The POM Branch in the office of the Assistant Commander, Programs (PROG-POM) coordinates MCSC participation in the Marine Corps POM process with assistance from the DC RM, PMs, and other staff offices.

The Assistant Program Managers for Financial Management (APM-FM) are the primary contacts for the POM process and members of the POM Coordinating Group (PCG) network within MCSC. PROG-POM analysts are assigned to MCSC PMs/PdMs, principal staff offices, and external customers. These assignments are identified in cyclic bulletins and standing rosters.

Success in the POM process depends on engagement and expert participation by PMs, PdMs, Project Officers and their support staff throughout the phases of:

- 1) Campaign Planning

- 2) Baseline Reviews
- 3) Initiative Development
- 4) POM build by 3-star Program Evaluation Boards
- 5) Approval of the Tentative POM (T-POM)
- 6) Transition to the Budget

PROG-POM publishes a series of detailed information bulletins and updates to provide information, guidance and a framework for MCSC support of and participation in the POM process. PROG-POM also provides essential tools and training. For additional information, please contact your PROG-POM analyst.

8.12 Intelligence Mission Data (IMD) Dependency.

Scope and Applicability. IMD dependency screening is required for all ACAT programs (to include AAPs, legacy programs, and modifications to existing programs) at all milestones. This shall be documented in the AS/AP and captured in TOPIC. The Defense Intelligence Agency has assisted MCSC in the development of simple screening questions that will assist programs in determining IMD dependency. These are provided in [Enclosure \(h\)](#).

Definition. In general, a program is IMD dependent if it uses software and its sensor platform or information system relies on intelligence data used for the design, development, testing of sensors or models, and can take action autonomously without “a man in the loop”. See [DoD Directive 5250.01 22 Jan 2013](#) for the complete definition.

Overview. [DoD Directive 5250.01 22 Jan 2013](#) establishes requirements for management of IMD in DoD acquisition. Programs determined to be IMD dependent are required to develop a Life Cycle Mission Data Plan (LMDP).

The LMDP documents program intelligence data needs across the program lifecycle and enables the MDA to make risk informed decisions based on the cost and availability of IMD. It also enables the Intelligence community to prioritize and allocate resources. The LMDP replaces what was formerly called the Life Cycle Signature Support Plan (LSSP).

Defense Acquisition Guidebook (DAG) [Chapter 4.3.18.12](#) and [Chapter 8](#) provide additional information on IMD and LMDP.

Chapter 9: REPORTING TOOLS

9.1 ASN RDAIS.

The Assistant Secretary of the Navy (ASN) Research Development & Acquisition (RDA) Information System (RDAIS) is the Navy's Acquisition program reporting and tracking system. Replacing the former ASN Dashboard in September 2013, RDAIS now serves as the authoritative source for programmatic information of Navy and Marine Corps Acquisition Category (ACAT) programs. The system is designed to streamline both data collection and exposure by providing a consistent interface throughout the Department of the Navy, to include Program Offices, Systems Commands, Program Executive Offices, Deputy ASNs (DASNs), ASN (RDA) staff, program stakeholders, and others. Any questions regarding the process and policy for RDAIS reporting at Marine Corps Systems Command (MCSC) should be directed to the Assistant Commander for Programs (ACPROG) Assessments branch.

9.1.1 Applicability.

All active ACAT programs are required to submit updated program information in RDAIS. Abbreviated Acquisition Programs (AAPs) are not required to report program information in RDAIS.

An active ACAT program is defined as a program which is between Milestone (MS) B and 90% expended/delivered. The 90% expended/delivered refers to:

- Expenditure of at least 90% of total program investment accounts (Research, Development, Test and Evaluation (RDT&E), Procurement (PMC), Military Construction (MILCON), etc. as defined in Section C of the Acquisition Program Baseline (APB).
- Delivery/acceptance of 90% of the program Approved Acquisition Objective (AAO) per Section C of the APB.

Once an ACAT program obtains a MS B (or later MS, if entering the Defense Acquisition Framework at a point beyond MS B), that program is required to begin reporting in RDAIS. Upon receiving the program initiating milestone the Program Manager (PM)/ Product Manager (PdM) shall immediately provide ACPROG Assessments a copy of the following items:

- 1) Signed Acquisition Decision Memorandum (ADM) indicating MS B or later MS if applicable.
- 2) Signed ADM designating the program ACAT level.

- 3) Signed Acquisition Program Baseline (APB) supporting the MS B (or later MS) decision.
- 4) Approved requirements document (signature page only), such as a CDD, CPD, or SON.

9.1.2 Reporting Requirements.

9.1.2.1 Quarterly Submissions.

Per ASN (RDA) Memo, "Updating of Programmatic Information in DASHBOARD", program updates shall be submitted in RDAIS at least quarterly and by the 15th of the program's reporting month. A program's RDAIS reporting month is pre-determined by ACAT level as follows:

ACAT I-III programs: January, April, July, and October
ACAT IV programs: March, June, September, and December

A program is required to continue these quarterly RDAIS submissions until it has reached 90% expended/delivered and ASN (RDA) has removed the program from active ACAT status.

ACPROG Assessments typically releases a courtesy reminder to the Assistant Program Manager - Program Management (APM-PM) prior to the 15th of the reporting month. However, as reporting is on an established, regular schedule, the PMS/PdMs are responsible for ensuring programs complete their quarterly submissions on time whether a reminder is issued or not.

9.1.2.2 Ad Hoc Submissions.

ASN (RDA) may require programs to update their information outside of the quarterly cycle. Examples include submissions for the Program Memorandum Objective, Budget Estimate Submission, and the President's Budget. The requirement for an Ad Hoc submission is typically announced in the RDAIS News Feed. The requirement may also be announced via an e-mail or tasker from ASN (RDA) via ACPROG Assessments. In addition to any required Ad Hoc submissions, PM/PdMs may also use an Ad Hoc submission to submit program updates in between the established quarterly assessments.

9.1.3 RDAIS Access and Account Registration.

Anyone requiring access to RDAIS must register for an account on the [RDAIS homepage](#). Unlike its predecessor, ASN Dashboard, RDAIS access is determined by the user's needs and responsibilities within the RDAIS workflow. This new data security feature includes varied access privileges and working levels. If unsure

of which working level and access privileges to register for, contact the APM-PM or ACPROG Assessments for assistance.

9.1.4 RDAIS Roles and Responsibilities.

In addition to those already stated, [Table 9A](#) presents MCSC’s RDAIS roles and responsibilities.

Table 9A. RDAIS Roles and Responsibilities

RDAIS Roles and Responsibilities	
Program Manager (PM)	<ul style="list-style-type: none"> • Ensure all active ACAT programs within their PM Office are identified and entered into RDAIS. • Ensure all active ACAT programs within their PM Office submit quarterly reports on time. • Review submitted RDAIS information for accuracy. • Ensure all program issues are identified and well explained. • Approve RDAIS submission. May delegate authority to APM-PM or PdMs. • Attend all scheduled RDAIS meetings with the Commander or the Commander’s designated representative.
Assistant Program Manager for Program Management (APM-PM)	<ul style="list-style-type: none"> • Ensure AC PROG Assessments receives required documentation for program entry into RDAIS. • Ensure PdMs are aware of upcoming quarterly RDAIS update deadlines and that quarterly submissions are completed on time. • Notify PdMs of any Ad Hoc submissions. • Notify PdMs if submitted information requires changes. • Review submitted RDAIS information for accuracy and completeness prior to submission approval. • Approve RDAIS submission if delegated authority.
Product Manager (PdM)	<ul style="list-style-type: none"> • Prepare RDAIS quarterly and Ad Hoc submissions ensuring all fields contain current information and estimates. • Ensure all program information is accurate and the issues are identified and well explained. • Notify APM-PM when RDAIS submission is ready for review prior to submittal. • Make any identified changes to submission information. • Approve RDAIS submission if delegated authority. • Accompany all RDAIS meetings with the Commander or the Commander’s designated representative.

RDAIS Roles and Responsibilities

Assistant Commander, Programs (ACPROG)

- Submit required information of all ACAT programs to ASN(RDA) to establish program record in RDAIS and the Navy
- Review program RDAIS submissions for completeness.
- Notify APM-PM of any needed submission changes.
- Prepare an Independent Program Assessment (IPA) highlighting program issues, breaches, or major changes since the last reporting period and proposes appropriate actions.
- Forward the IPA with a copy of the program RDAIS report to the Commander or the Commander's designated representative.
- Notify PM, APM-PM, and PdM if Commander or the Commander's designated representative requests a meeting regarding RDAIS information.
- Approve RDAIS submission for publishing following IPA review.
- Provide guidance to PM/PdMs regarding preparation and submission of RDAIS information.

9.2 TOPIC.

TOPIC is the authoritative data source for MCSC acquisition program information, and serves as the authoritative centralized acquisition program information database within the Command. Use of TOPIC is mandated via MARCORSYSCOMO 5000.3B. And, update of programmatic information within TOPIC serves as standard language in all Acquisition Decision Memorandums (ADMs).

TOPIC allows the managers of each program to retain ownership of program data while providing access of this data to the broader Marine Corps Acquisition Community.

- TOPIC serves as a central repository of Command Program/Project information , such as:
 - Program pedigree, current acquisition phase and oversight responsibilities
 - Program office contact information
 - Program schedule to include major Milestone Events and Systems Engineering and Technical Review schedule/events
 - Approved acquisition documentation, to include:
 - ADMs, APBs, Test & Evaluation plans, CCA and other IA certifications
 - System Production/Fielding information (TIPS)
- TOPIC serves as an analytical tool for the Command, ACPROG and the PMs to assess programs compliance and performance

in establishing and executing prescribed [DoDI 5000.02/SECNAVINST 5000.2E](#) acquisition management metrics and milestones.

- TOPIC decreases the burden and resource demand of the PM and staff in responding to internal and external organizations requests for information. Data fields in TOPIC are used extensively to answer many of the types of inquiries received from P&R, ASN, and other external agencies. And, is the baseline listing of programs used for enterprise and strategic planning initiatives within the Command.
- ACPROG Assessments currently serves as the Administrator, Developer, and Configuration Manager of TOPIC.

9.2.1 TOPIC Content.

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 Commander, Marine Corps Systems Command (COMMARCORSSYSCOM) and is reported to external organizations. 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. 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 entered into TOPIC is accurate and current:

Program Management

Program Information/ADMs: This field will contain information relative to the official acquisition program name, acronym, description of the program, organization managing the program, Acquisition Category (ACAT) level, current acquisition phase, and program decision authority/oversight responsibilities.

Information in this section is entered by ACPROG upon receipt of signed Acquisition Decision Memorandums (ADMs) from the Milestone Decision Authority (MDA).

Program Name: Program Name reflected in TOPIC is taken directly from the Acquisition Decision Memorandum (ADM) issued by the Milestone Decision Authority (MDA) that first establishes or formally recognizes the acquisition program. This usually occurs during the Materiel Development Decision (MDD) review. The ADM serves as the Official record and establishes the acquisition program name. For MCSC and greater enterprise consistency and efficiency, the

same program name should be used throughout the USMC enterprise for program planning, acquisition documentation, information systems (e.g. TFSMS), and program briefings. The acquisition program name cannot be changed unless by issuance of an ADM from the MDA noting the name change.

Program Acronym: The program acronym is the short version and/or reference to the acquisition program name.

ACAT Level: ACAT level depicted is taken directly from the ADM that designated the program. Programs depicted as "**Pre-ACAT**" are MCSC acquisition programs that have been recognized and assigned to a program office by the MDA, but have not yet been formally ACAT designated. Programs depicting a "**Post-ACAT**" status are acquisition programs that are in the Operations & Support acquisition phase. This typically correlates with programs at or beyond Full Operational Capability (FOC), in Sustainment and supported with Operations & Maintenance funding, and have completed a PoPS Gate 6.5 Sustainment assessment.

Acquisition Phase: The acquisition phase depicted is based upon the latest ADM that recognizes completion of a Decision Point or Milestone decision, thus moving the program through the various phases of the acquisition process. Programs depicting a "Pre-JCIDS" phase are those programs that have been formally assigned to a program office by the MDA for action, but have not yet completed the MDD decision review, or otherwise entered the acquisition process.

Description: Information in this section is populated by the Program Office and provides a brief overview and description of the acquisition program system(s) and capabilities.

Lead Service: MCSC participates in many other service led acquisition programs. Programs are required to obtain an Authority-to-Participate Decision Memorandum from the Commander granting approval to participate with the other service led acquisition program. The information depicted in this field will denote the service branch with formal responsibility and overall management responsibilities of the acquisition program.

MDA: Information depicted reflects what Service Acquisition Executive, DoD component and/or agency is

assigned as the Milestone Decision Authority for the acquisition program. The term MDA does not apply for Abbreviated Acquisition Programs (AAPs). Unless otherwise delegated by the Commander, the Commander is the MDA for all MCSC led ACAT-III and below programs.

PDA: Program Decision Authority (PDA) is a term used in lieu of MDA for AAPs within MCSC and DoN. The term has expanded application at MCSC to also encompass those programs led by another service where the MDA resides with the Lead Service. In those cases, PDA is also used at MCSC to communicate who has the obligation authority for the USMC, the Commander or Program Manager (delegated by Commander). Furthermore, once an acquisition program has completed their PoPS Gate 6.5 Sustainment review and placed in the Operations & Support acquisition phase (via ADM), the term MDA is no longer applicable and PDA is used to identify who retains Program Decision Authority for the remainder of the acquisition program life-cycle period.

Organization: Identified what Program Management Office within MCSC is currently assigned management responsibilities for the acquisition program.

Date of Last LCCE: Depicts the date of the last completed Life Cycle Cost Estimate approved by the ACPROG EBAT.

UNS: Information in this field reflects any UUNS/USON/UNS reference numbers for requirements received and assigned prior to any potential ACAT designation.

Acquisition Decision Memorandums (ADMs): Contains the listing and .pdf file of all approved acquisition decisions or guidance to the Program Manager in the form of Official record or Acquisition Decision Memorandum (ADM). This would include any Milestone decisions, or other decision points. **This section is also managed independently by ACPROG Assessments upon receipt of signed ADMs from the Program Office.**

Milestone: Depicts what Milestone Decision or Decision Point the ADM supports.

Title: A brief narrative description of the decision being made by the MDA.

Date approved: The date the ADM was signed by the MDA.

Program Management Information: Information provided identifies the current Program Manager (PM) and Project Officer (PO) managing the program. Other Management information provided includes identification of the Marine Corps Program Code (MCPC, a resource identification), and the applicable to the acquisition program.

Program Manager: Identifies the Program Manager assigned overall responsibilities for the acquisition program.

Product Manager: Is the Tier 1 IPT Team Leader responsible for oversight and management of commodity group(s) or portfolio with numerous acquisition programs and Projects Officers under their cognizance.

Project Officer: Is the Tier I or II IPT Team Leader responsible for the day-to-day management and execution of the designated acquisition program. **MCPC:** Identifies the Marine Corps Program Code that provides the resources to the acquisition program for program execution.

TAMCN: Identifies the Table of Authorized Materiel Control Number (TAMCN) assigned to the particular acquisition program.

Information in this section is maintained by the program office.

When populating the required information in this section of TOPIC, if you cannot find a specific TAMCN, or name for Program Manager, Product Manager, or Project Officer, please notify ACPROG Assessments for their addition to the drop-down menu. However, no TAMCN should be added to TOPIC that has not been formally established in the TFSMS database.

Milestone Events/Approved APBs: Table identifies the approved Section B (Schedule) portion of the Acquisition Program Baseline (APB). Information depicted in this section identifies threshold and objective dates of Decision Points and Milestones throughout the acquisition cycle until Full Operational Capability (FOC) is achieved.

Event Name: Identifies the specific Decision Point or Milestone to be achieved.

Description: Provides a narrative overall description or qualifier.

Objective: Identifies the optimal date for completion of the identified event.

Threshold: Identifies the deadline for completion of the event identified. Threshold is negotiated with the MDA and is usually within 6 months of the Objective date.

Actual: Actual date is the date of the ADM issued (or other supporting documentation for Non-Milestone events that were identified events in Section B: Schedule of the APB) recognizing completion of the event identified.

The Milestone Events section and corresponding APBs supporting the exhibit is maintained and updated by ACPROG Assessments based upon their receipt of signed/approved APBs and correlating ADMs demonstrating completion of the events depicted in Section B of the respective APB. To upload an approved APB, please use the link "Submit a signed ADM or APB" located on the front page of TOPIC.

Acquisition Program Baselines (APBs): APBs are required for ALL acquisition programs by the time the program has reached Milestone B. It is required to be updated for each Milestone review. This section holds and depicts the acquisition program's APBs that support the programs through the acquisition process. Besides containing the Schedule metrics used for the Milestone Events exhibit in TOPIC, it also contains important Performance and Cost metrics negotiated between MCCDC, the PM, and the MDA.

Milestone: Depicts the Milestone decision the document supports, or latest Milestone decision in the event of a revision.

Title: Provides a brief narrative description of the document or any needed qualifier.

Date Approved: Date the APB was approved by the MDA. Similar to management of ADMs, APBs identified in TOPIC are uploaded only by AC PROG upon receipt of an approved/signed APB.

Probability of Program Success (PoPS): PoPS provides Marine Corps leadership with an objective and quantifiable method for comparing and evaluating the likely successes and issues of acquisition programs during Gate Reviews, Acquisition Milestone Reviews, and any other periodic program reviews. All programs

are required to complete a PoPS assessment commensurate with their current approved acquisition phase. In the PoPS section of TOPIC, PMs will ensure the color coded rating for the four factors are reflected and maintained in TOPIC based upon the latest approved PoPS Gate Assessment:

PoPS Gate: Identification of the Gate Review Assessment performed.

Health: Consolidated PoPS Health Assessment color code and corresponding score.

Requirements: PoPS Requirements Assessment color code and corresponding score.

Resources: PoPS Resources Assessment color code and corresponding score.

Planning & Execution: PoPS Planning and Execution Assessment color code and corresponding score.

External Influences: PoPS External Influences Assessment color code and corresponding score.

Assessment Date: Date PoPS Assessment was approved by Tier-0 IPT and/or MAT.

As previously stated, PoPS Assessments depicted in TOPIC should be reflective of Tier-0 IPT/MAT approved PoPS Assessments. **The PoPS section of TOPIC is maintained by the Program Office staff.** In addition to ensuring TOPIC is reflective of current PoPS Assessment information, the Program Offices should also ensure the corresponding PoPS Health Summary exhibit is uploaded to their respective program documents section of TOPIC. See [Chapter 3](#) for more information relative to PoPS.

ENGINEERING

Systems/Applications Information: System(s)/Application(s) listed here are connected and sourced from the Marine Corps Systems and Applications List (MCSAL) maintained by DC, SIAT, and the Dashboard links take you to pages on SIAT's VIPER Portal that contain extended information about the system/application. Besides supporting command-level decision-making and acquisition processes, this mapping of system(s)/application(s) to TOPIC programs provides the command a more granular, structured accounting for MCSC-developed capabilities provided to the

Operating Forces. This section is maintained by the program office. However, For more detailed inquiries concerning this data view, [please contact DC, SIAT](#) (Attn: Architectures and Interoperability Certification).

If the mapping of systems/applications to a program is incorrect, or if you do not see one of your systems/applications in the drop-down, a link is provided for program office personnel to submit an Intake change request to have it changed or added (select PPSD/MCSAL as Area of Change). **This area is maintained jointly between SIAT and the Program Office staff.**

Technical Review Events: Section identifies the programs planned and actual dates of Systems Engineering and Technical Reviews (SETRs). Some levels of SETRs are required for all ACAT programs throughout the acquisition process. **This section is maintained by the program office.**

Event Name: Identify the specific Technical Review event to be conducted (e.g. SRR, CDR, SVR, etc.)

Review Date: Date when review is scheduled.

Actual Date: Date the review was actually completed.

Description: Brief description of the SETR event and any needed qualifiers.

Authority-to-Operate (ATO) Events: Identifies authorization granted by a Designated Accrediting Authority (DAA) for a DoD Information System to process, store, or transmit information. Information provided in this section provides granted and expiration dates of any authorizations obtained by the DAA. **This section is maintained by the program office.**

Event Name: Identify if event is Authority-to-Connect (ATC), Authority-to-Operate (ATO), Interim Authority-to-Connect (IATC), Interim Authority-to-Operate (IATO), or Interim Authority-to-Test (IATT).

Date Granted: Identify the date in which the certifying authority was provided.

Expires: Enter the date the applicable Authority expires.

Joint Interoperability Certification (JIC) Events: National Security Systems (NSS) and Information Technology (IT) systems

for joint and combined use must be certified as interoperable with systems with which they exchange information. Information contained in this area identifies current program certifications for compliance. **This section is maintained by the program office.**

Event Name: Identify if event pertains to Interim Certification-to-Operate (ICTO), Certification-to-Operate (CTO), or Spectrum Certification for Milestones A, B, or C.

Date Granted: Enter the date when the applicable Certification was obtained.

Joint Interoperability Test Commands (JITC) Events: The Joint Interoperability Test Command (JITC) issues and JITC Interoperability Test Certification indicating that a system has successfully passed interoperability testing and has met the NR-KPP. **This section is maintained by the program office.**

Event Name: Enter the applicable certification for JITC Certification/Compliance, JITC Interoperability Certification, or JITC Interoperability Limited Certification.

Date Granted: Enter the date when the certifying official issued the certification.

Safety Related Events: As the equipping authority for the Marine Corps, MCSC has the responsibility to ensure that our systems are safe for Marines to use. As a federal activity, MCSC has the responsibility to maximize the safety of our Marines and Civilian Marines. Information in this area identifies ensuring compliance, and safety releases obtained to support demonstrations, developmental, and operational testing and fielding events. **This section is maintained by the program office.**

Event Name: Identify the applicable Safety Related Event relative to Demonstration Safety Release, Developmental Test safety Release, Emergency Safety Release, Operational Environment Safety Release, or Range Safety Release.

Safety Release Date: Enter date applicable Safety Release was obtained from the certifying official.

Test & Evaluation Events: Identifies planned and actual dates for any program formal or informal test events, assessments, or

evaluations planned or scheduled for the program. **This section is maintained by the program office.**

Event Name: Enter the T&E event (e.g. DT/OT, OA, FUE, IOT&E, etc.)

Planned Date: Enter the date the Program Office has planned for the Test event.

Actual Date: Enter the date the respective Test event was officially completed.

LOGISTICS

Integrated Logistics Assessments (ILAs): An Integrated Logistics Assessments (ILA) event is required between Milestone decision points, and consists of detailed reviews of program strategies specifically in the areas of program or system supportability. The review is led by Subject Matter Experts (SME) from the Acquisition Logistics competency. Information in this area will identify current planned and/or completion dates of ILA events that support the program schedules and milestone decision points. **This section is maintained by the program office.**

Event Name: Identify what Milestone decision the ILA supports (Milestone B, C, FRP, or Fielding).

ILA Date: Identify the date the ILA was completed.

Description: Provide any amplifying information relative the ILA.

Production Schedule(s): The TOPIC In-Production Schedule (TIPS) SharePoint site located within TOPIC is designed to capture contract production schedule of the equipment being procured by MCSC. Marine Corps Logistics Commands (MCLCs) will use the information as a basis to plan for the sourcing of Marine Corps Equipment. It provides a snapshot of the by month delivery calendar as well as the units that are scheduled to receive the equipment to be fielded. The TIPS SharePoint site is managed by AC ALPS and resides within TOPIC to provide a comprehensive view of programs and corresponding production information. **The information in this section, however, is maintained by the program office. If you have any difficulties or issues with the TIPS/Production portion of TOPIC, please contact your respective AC ALPS POC.**

TAMCN: Identifies the TAMCN associated with the acquisition program and under contract for production.

Scheduled Quantity: Identifies a specific quantity to be produced under a specific contract and CLIN.

Delivery Date: Date production articles are to be provided to the Fleet.

Contract: Identifies the specific contract that produces the applicable item.

CLIN: Identifies the specific Contract Line Item Number (CLIN) that provides the production article.

CONTRACTS

Contracts: PM/POs should identify the major contract efforts that support the program. In most cases, this will entail identification of Prime Contractors, or major contributing contracts that are critical for program performance/accomplishment. This section is maintained by the program office.

PIID: Identify the specific contract number relative to the program.

Program: Identify the acquisition program associated with the contract number previously entered.

Contract Type: Identify the type contract vehicle used (e.g. Fixed Priced, Cost Reimbursable, etc.)

Prime Contractor: Identify the name of the Prime Contractor (e.g. Northrup Grumman, Remington, etc.)

Description: Provide a brief description of the contract effort.

CPARS Complete: Identify if the program has completed the required CPARS Assessment for the reporting period (Yes/No).

CPARS Date: Identify the date of completion of the latest CPARS Assessment.

PROGRAM LIBRARY

Approved Documents/Exhibits/Presentations: Serves as a library for each acquisition program. Acquisition documents/decision memorandums/plans/studies/certifications/briefs etc. required to support the program through the acquisition process should be populated and maintained in TOPIC. CLASSIFIED and SOURCE SELECTION SENSITIVE information SHOULD NOT be stored in TOPIC. More simply put, the Milestone Assessment Team (MAT) will review and define at each Milestone/Decision Point what program documents are required to support the next Milestone/Decision Point. The list of documents defined from the MAT is an excellent starting point for defining such a list of required documents for any given program in TOPIC. Maintaining the program library in TOPIC will aid greatly in conducting reviews of program data and information needed to obtain certifications necessary to achieve Milestone/Decision Point. Viewers may read any of the documents posted in TOPIC by clicking on the magnifying glass on the right of the window. The documents library portion of TOPIC is maintained by the program office.

Other Useful Tools within TOPIC

Program Status & Performance Reports (updated monthly by AC PROG Assessments): Updated monthly by ACPROG Assessments, the depicted reports display consolidated Command program status and management performance metrics for current MCSC acquisition programs and program offices. Specific information is provided relative to the Program Management competency and performance metrics. Information includes Command/PMM APB compliancy, Milestone event completion rates, and PoPS compliancy and status.

MCSC Acquisition Portal (MAP) link: ACPROG Assessments managed SharePoint site serving as the Commands "one stop shop" for all acquisition related information for MCSC ACAT III, IV, and AAPs.

RDAIS: The ASN (RD&A) Information System (RDAIS) is the Navy's reporting and tracking system for its Acquisition programs and the authoritative source for programmatic information within the Navy. All USN/USMC ACAT-IV and above acquisition programs between Milestone B and 90% expended/delivered are required by Secretary of the Navy Instruction to report quarterly on program performance relative to C/S/P Thresholds and EVM performance (monthly). A link to RDAIS is conveniently located on the front page of TOPIC in the upper left-hand side of the Home page. You

must have an account with RDAIS to access the site. If you do not have access, the link will enable your request. See [Chapter 9.1](#) for more information on RDAIS.

RDAIS Reporting periods for MCSC:

ACAT-III and above programs: January, April, July, and October. Submissions/updates are required NLT the last day of the month where reporting is required.

ACAT-IV programs: March, June, September, and December. Submissions/updates are required NLT the last day of the month where reporting is required.

PROGRAM MANGEMENT REVIEWS (PMRs)

Action Items: Identifies by Organization (PMM) identified action items from the most recent Program Management reviews conducted with the Commander, and the item's current status. See [Chapter 6.7](#) for more information on PMRs.

9.2.2 PM/PdM Responsibilities.

In order for ACPROG to establish the initial program record in TOPIC, the PM/PdM shall attach a signed ADM using the link, "Submit a signed ADM or APB," located on the [front page of TOPIC](#).

Once the program has been established in TOPIC, the PM/PdM is responsible for entering program information into the below sections:

Program Management	JIC Certifications
PoPS	JITC Events
ILA Events	Safety
Contracts	Test & Evaluation Events
Technical Reviews	Program Documents
ATO Events	

The PM/PdM shall ensure all information in TOPIC is kept current and reflects approved program schedules, plans and events. In addition, the PM/PdM shall upload all approved ADMs and APBs, within five (5) days of approval, using the electronic drop box titled, "Submit a signed ADM or APB," located on the [front page of TOPIC](#).

9.2.3 ACPROG Responsibilities.

ACPROG will be responsible for entering all ADMs and APB Section B schedule metrics (approved by the MDA and submitted by the PM/PdM) in the Program Information and MS Events sections. This process will ensure accuracy and currency of approved program pedigree and schedule information. Therefore, it is very important for PM/PdMs to ensure ACPROG receives all approved copies of ADMs and APBs within 5 days of approval via the electronic drop box titled, "Submit a signed ADM or APB," located on the [front page of TOPIC](#).

Chapter 10: JOINT PROGRAMS

10.1 Overview.

A joint program is defined as any defense acquisition system, subsystem, component, or technology program that involves formal management or funding by more than one Department of Defense (DoD) Service during any phase of a system's life cycle. Detailed guidance regarding the management of joint programs is included in the [Joint Program Managers Handbook](#) (Reference (r)) and the [Defense Acquisition Guidebook \(DAG\) Chapter 11.1](#).

There are many types of joint programs ranging from a joint major defense acquisition program to one Service serving as a procuring agent for another Service.

Marine Corps Systems Command (MCSC) participation in joint programs can take a variety of forms. We may serve as the lead Service for an Acquisition Category (ACAT) program, we may participate in a joint program where another Service serves as the lead Service, or we may simply leverage another Service's contracting vehicle. In each of these cases, a Memorandum of Agreement (MOA) is required and must be submitted for COMMARCORSYSCOM review and approval. The MOA defines the roles and responsibilities of the individual Services. Examples of MOAs are provided in the Joint Program Managers Handbook and [Enclosure \(g\)](#) of this Guidebook.

The Program Manager (PM)/Product Manager (PdM) shall consult with the Tier-0 IPT and Assistant Commander, Programs (ACPROG) Assessments before initiating or participating in any joint program management scenario.

The following are some of the characteristics of joint programs:

- One lead PM/PdM from the lead Service. In most cases, participating Services will appoint a PM/PdM to serve as liaison.
- Milestone (MS) decisions rendered in the lead Service's chain of command. The other Services will participate in the review process and preparation of MS documentation, however, the approval authority resides within the lead Service chain of command. The management focus should be on minimizing duplication of documentation and reviews, while maximizing the participation and influence of all Services.
- A single set of documentation and reports (such as one joint requirements document, one Information Support Plan

(ISP), one Test and Evaluation Master Plan (TEMP), one Acquisition Program Baseline (APB), etc.). In some cases, Service unique requirements will be addressed as an annex within the overarching document or may be managed separately by the individual Service. The specific procedures for each joint program should be included within the MOA.

- Joint participation established by MOA. For MCSC programs the PM/PdM shall prepare and submit a MOA for Milestone Decision Authority (MDA) signature. If MDA has been delegated to the Program Manager (PM), the PM may serve as the MCSC signatory on the MOA.
- Lead Service budgets for and manages the common Research, Development, Test and Evaluation (RDT&E) effort (subject to the MOA).
- Individual Services budget for unique requirements.

10.2 Request to Participate

In some cases, MCSC PM/PdMs may recommend participation in another Service's program limited to leveraging the other Service's contracting vehicle(s). In these cases, the decision to participate and forward funds to the other Service must be approved by COMMARCORSYSCOM and documented within an Acquisition Decision Memorandum (ADM).

To begin the process of obtaining COMMARCORSYSCOM approval for participation, the PM/PdM shall execute the following steps:

- Draft a Request to Participate per the sample provided in [Enclosure \(i\)](#).
- Submit the Request to Participate to ACPROG Assessments via the Tier-0 IPT and PM.
- ACPROG Assessments will prepare an ADM authorizing the participation and submit it for review and approval by COMMARCORSYSCOM.
- Upon approval of the ADM, the PM/PdM shall prepare a MOA which outlines the roles and responsibilities of each Service. The MOA must be submitted for MDA/Program Decision Authority (PDA) approval and subsequent signature by the other Service.

Chapter 11: REMOVAL OF ACAT STATUS

The Program Manager (PM)/Product Manager (PdM) may request, via the Assistant Commander, Programs (ACPROG) Assessments, a program be removed from the Assistant Secretary of the Navy (ASN) DASHBOARD and listing of active Acquisition Category (ACAT) programs when the following conditions have been met:

- The program has achieved Full Operational Capability (FOC) and delivered greater than 90% of its total quantity.
- The program has expended greater than 90% of total program cost, e.g. Research, Development, Test and Evaluation (RDT&E) and Procurement as defined in the Acquisition Program Baseline (APB).

Chapter 12: ROLES AND RESPONSIBILITIES

The below captures key Marine Corps Systems Command (MCSC) organizational roles and responsibilities along with key stakeholder organizations. Each entity listed below supports the Milestone Decision Process (MDP).

Commander, MARCORSSYSCOM (COMMARCORSYSCOM) - has authority, responsibility, and accountability for life cycle management of all acquisition programs within MCSC. COMMARCORSYSCOM is responsible for establishing and implementing appropriate management controls to ensure compliance with law and regulation.

Program Manager (PM) - manages a portfolio of related programs to provide an integrated and sustainable warfighting capability; milestone/program decision authority for some programs within the portfolio may be delegated to the PM.

Tier-0 IPT - provides the program offices and project teams with expert level advice on approaches, problems and issues. Other roles of the Tier-0 IPT members include advising the PM/PdM on program decisions, mentoring and career counseling, and providing information on new processes and initiatives for members of their competency within the program management office.

Product Manager (PdM) - has the authority, responsibility and accountability to manage a program from "cradle to grave." The PdM leads a team of acquisition professionals, including specialists in engineering, financial management, logistics and contracting.

Deputy Commander, Systems Engineering, Interoperability, Architectures and Technology (DC SIAT) - is the technical authority, the information assurance crediting authority, the architect of the Marine Air-Ground Task Force (MAGTF), and the coordinator of science and technology efforts. DC SIAT provides system-of-systems engineering to ensure delivery of integrated and effective capabilities to the operating forces and supporting establishments.

Deputy Commander, Resource Management (DC RM) - provides both financial support (Comptroller) and Workforce Management and Development (WMD). The Comptroller provides financial policy, advice, and services to ensure the Command's budgets are defensible and program resources are properly and efficiently

executed. WMD is responsible for manpower and personnel management that support acquisition mission accomplishment and related individual needs.

Assistant Commander, Programs (AC PROG) - serves as a primary staff advisor to the Command's senior leadership and key external customers in matters of program management, contract support, POM development, and operations research.

Assistant Commander, Contracts (AC Contracts) - contributes to the Marine Corps warfighting mission by providing procurement solutions for Marine Corps customers.

Assistant Commander, Acquisition Logistics & Product Support (AC ALPS) - serves as the Command's principal agent for integrated product support providing processes, policy, tools, training and services that enable PMs to support the warfighter in TILCM and TILCSM.

Marine Corps Tactical Systems Support Activity (MCTSSA) - provides technical support to the Command throughout the acquisition lifecycle to include engineering, test and evaluation, and post deployment technical support to the operating forces.

Safety Office - oversees the Commander's Command requirements for Environment, Safety and Occupational Health (ESOH) and develops ESOH expertise and processes to enhance the testing and fielding of safe and environmentally sound equipment.

Marine Corps Operational Test and Evaluation Activity (MCOTEA) - serves as the independent operational testing (OT) activity within the USMC. MCOTEA ensures OT for all ACAT programs is effectively planned, conducted, evaluated, and reported. Serves as a key member on the T&E Working Integrated Product Team (WIPT) and is critical to developing an integrated testing plan that addresses risk at the appropriate time for the PM/PdM.

Headquarters Marine Corps (HQMC) - HQMC includes a variety of organizations which provide advice to the Commandant of the Marine Corps and participate in the planning, programming, budgeting, and execution for MCSC programs. This includes:

- Combat Development and Integration (CD&I)
- Intelligence
- Command, Control, Communication, and Computers (C4)
- Manpower and Reserve Affairs (M&RA)

- Plans, Policies, and Operations (PP&O)
- Programs and Resources (P&R)
- Installations and Logistics (I&L)

A complete description of the functions of each organization can be found at the [HQMC website](#).

Marine Corps Logistics Command (MCLC/MARCORLOGCOM) -

MARCORLOGCOM's mission is to provide worldwide, integrated logistics/supply chain and distribution management, maintenance management, and strategic prepositioning capability in support of the operating forces and other supported units to maximize their readiness and sustainability and to support enterprise and program level total life cycle management.

Chapter 13: Cyber Acquisition

In Apr 2015, DC, CD&I established the Marine Corps Cyber Task Force (MCCTF) to overhaul the Corps' approach to Cyber warfare. The MCCTF directed USMC Cyber stakeholders to seek disruptive improvements, and it specifically tasked Marine Corps Systems Command (MCSC) to improve Cyber acquisition responsiveness. Commander, Marine Corps Systems Command (COMMARCORSSYSCOM) issued a [decision memorandum](#) dated, 15 Sep 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. The Commander established the Cyber Acquisition Team (CAT) to develop a tailored process to support Rapid Cyber Acquisition at MCSC. The following describes this process.

13.1 Rapid Cyber Acquisition Process Applicability

The tailored Rapid Cyber Acquisition process only addresses MCSC programs for which COMMARCORSSYSCOM serves as the Milestone Decision Authority (MDA). It does not address affiliated Program Executive Officer (PEO) processes. Per the 15 Sep 2015 COMMARCORSSYSCOM's [decision memorandum](#), the Rapid Cyber Acquisition Process described below is effective immediately.

Key terms defined.

- **MCSC Rapid Cyber Acquisition Process** - A process specifically tailored for MCSC to execute Emergency and Urgent Cyber requirements. Detailed process flow is provided in [Enclosure \(k\)](#).
- **Emergency Cyber Requirement** - A mission critical requirement needed between 1 - 30 calendar days conveyed via the Requirements Transition Process (RTP) using an Urgent Statement of Need.
- **Urgent Cyber Requirement** - A mission critical requirement needed between 31 - 180 calendar days conveyed via the RTP using an Urgent Statement of Need.
- **The Cyber Acquisition Team (CAT)** - A team comprised of Command competency and PMO subject matter experts (SMEs) to plan, execute, and deliver materiel solutions for Emergency and Urgent Cyber requirements. The CAT will lead the acquisition and fielding effort for Emergency Cyber requirements (less than 30 calendar days) and assist

Program Management Offices (PMOs), as needed, with Urgent Cyber requirements (30-180 calendar days).

13.2 Rapid Cyber Acquisition Approach

Emergency and Urgent Cyber requirements will be identified by Combat Development & Integration (CD&I) via the Urgent Needs Process and conveyed to MCSC via the RTP (outlined in [Chapter 2](#)). The Requirements Transition Team (RTT) will pass the requirement to the CAT or PMO, depending on the level of urgency. CD&I shall clearly identify the urgency, priority, and source of funding relative to other requirements. The CAT will participate throughout the RTP to assist with the definition and acceptance of all Cyber requirements.

13.2.1 CAT Roles and Responsibilities

The CAT will use [Enclosure \(k\)](#) to guide its rapid planning to meet validated Emergency and Urgent Cyber requirements.

The CAT supports the RTT in validating the incoming requirement (Urgent Statement of Need - USON) to ensure there is sufficient detail to be actionable. The CAT supports the RTT by providing SME support (RTP 1.0) when a Cyber Urgent Universal Needs Statement (UUNS) is received by CD&I. If the CAT does not have the resident expertise to support the USON validation, the CAT will request PMO provided SME support. The CAT, working with CD&I during the RTP, accomplishes the following:

- Coordinates participation of appropriate PMO SMEs as early as possible in the requirements development process.
- Ensures that the requirement is designated Cyber Emergency or Urgent.
- Analyzes the USON to see if the requirement aligns to an existing program.
- Validates that the requirement is executable within the Cyber Emergency/Urgent timelines.

The difference between processing an Emergency and Urgent Cyber requirement involves teaming as shown in Table 3A.

Cyber Requirements Processing Responsibilities	
Emergency	Urgent
The CAT is the "SUPPORTED" organization, and the Command Staff/PMOs are "SUPPORTING."	The CAT is the "SUPPORTING" organization and the assigned PMO is the "SUPPORTED" organization.
The CAT is responsible for leading the delivery of the solution and is augmented with dedicated PMO SMEs who will remain with the CAT until the requirement has been satisfied.	The lead PMO is responsible for satisfying the requirement and the CAT, which is not augmented with PMO SMEs, supports as needed.
The CAT is authorized in certain instances to use informal approvals (i.e. email, and sometimes verbal, if necessary) and defer completing documentation until after materiel solution delivery in order to expedite fielding.	The PMO will use standard approval and documentation protocols.

Table 3A. Cyber Requirements Processing Responsibilities

13.3 Rapid Cyber Acquisition Process

The Rapid Cyber Acquisition Process that the CAT developed to comply with the Commander’s direction was built within the general acquisition model framework contained in the current DoDI 5000.02. The tailored Rapid Cyber Acquisition Process still conforms with all of the key activities that are associated with the traditional acquisition model (e.g. requirements definition, analysis of alternatives, product development, procurement, testing, and fielding). The primary key to success implementing the Rapid Cyber Acquisition Process compared to the traditional acquisition process is accelerating the review and approval times for required documentation and program review decisions. The process flowchart that illustrates the MCSC Rapid Cyber Acquisition Process with narrative explaining how the process will be implemented is provided in [Enclosure \(k\)](#).

Enclosure (a). 12 Steps to Program Success

1. Work with the Requirements Officer (RO), MCOTEA, and Assistant Program Managers (APMs) to ensure capabilities are well understood, affordable, achievable, and able to be tested and evaluated.

Stable and executable requirements are the foundation of a successful program. A change in the requirement will typically result in cost increases and schedule delays. A recent [General Accounting Office \(GAO\) Report](#) found programs with requirement changes after system development (MS B) had an average cost growth of 72%, while costs grew by an average of 11% in programs with no requirements change. PMs should work closely with:

- RO to conduct affordability trades per [Chapter 7.3](#), highlight the importance of minimizing requirements changes, and deferring non-critical changes to future increments.
- The Tier-0 IPT (**All Competencies**) to ensure the cost, supportability, and schedule implications of the requirement are clearly understood. This should include emphasis on the importance of adequate "trade space" between threshold and objective target values for cost, schedule, and performance (C/S/P) in the requirements document. This provides the PM flexibility to deliver an affordable materiel solution that provides effective capability to Marines within cost and schedule constraints.
- The APM-E and Tier-0 IPT to ensure [disciplined systems engineering practices](#) (Reference (k)) are used to analyze the requirement to determine its reasonableness prior to preparation of the System Design Specification (SDS) and Request for Proposal (RFP).

2. Start Planning Early and Leverage MCSC Resources.

The PM should begin the planning process as soon as possible. Consult the [MAP SharePoint site](#), the notional timelines, and step by step instructions in the MCSC PoPS core briefing charts for the desired Milestone (MS) or Decision Point. If you are not certain which MS or Decision Point applies, consult [Chapter 2.6](#). As described in the notional timelines chart the PM should:

- Meet with the Tier-0 IPT as soon as possible to ensure all competencies have concurrent input into the program strategy.

Enclosure (a). 12 Steps to Program Success

- Meet with the APM-E to determine the appropriate approach to establish and mature the technical baseline. This will include the development of the Systems Engineering Technical Review (SETR) strategy. This is critical, as the integrated program strategy (acquisition, logistics, financial, test, and contracting) must build upon and align with the SETR strategy.
- Develop a Life Cycle Cost Estimate (LCCE) that accurately captures program costs. Understanding your program's cost drivers is essential to developing quality program plans, program objective memorandum (POM) submissions, acquisition program baseline (APB), and meaningful metrics.

3. Develop and Maintain a Realistic Integrated Plan and Schedule. PMs should develop a **realistic** integrated program schedule as soon as possible; that includes:

- Key program, technical, logistics, test and contracting events and documents. (This should reflect the MDA approved tailoring strategy as described in [Chapter 7.4](#) and the [ADM Template](#).)
- Key Dependencies. In many cases, delivery of a required product, document or event cannot be accomplished until supporting documentation or events have been completed. Dependencies should be identified and tracked in the schedule.
- Program's Critical Path Schedule (events or documents that take the longest to complete).

To begin populating the schedule, the PM should consult the notional timelines provided for the applicable MS or Decision Point and the [sample program schedule template](#) chart provided in the MCSC PoPS core briefing charts, found in the [MAP SharePoint site](#). relevant historical information, and this Guidebook ([Chapter 8.1](#)). The PM should:

- Regularly monitor status of schedule events, and take appropriate action to address gaps in achieving target dates.
- Update the schedule as additional information becomes available over the program lifecycle. This includes revising schedule dates as part of MDA approved affordability trades described in [Chapter 7.3](#).

Enclosure (a). 12 Steps to Program Success

- Ensure all competencies have reviewed the schedule for realism (both within the individual competency areas and from an integrated perspective across all competency lines).

4. **Develop and Monitor Meaningful Metrics.** The PM should regularly monitor progress/status relative to:

- The C/S/P targets in the APB.
- Technical, contracting, program and logistics reviews, test events and resolution of any open deficiencies.
- Mitigation of red or yellow criteria identified in the program PoPS health assessment.
- Status of handling strategies to address critical risks.
- The program compliance with the entrance criteria for the next MS or Decision Point (per the MCSC PoPS core briefing charts).
- Compliance with the exit criteria for the next MS or Decision Point (per the program previous ADM).
- Financial Execution (obligation & expenditure rates vs. OSD goals).
- Performance of prime contractors (to include both Commercial sector and Government performers) relative to C/S/P/Quality. In some cases Earned Value Management (EVM) is used (for cost acquisitions over \$20M). For programs where EVM does not apply, appropriate metrics should be used to ensure the PM has visibility into contract status to include cost, schedule, progress towards completion of key events or products required by the contract, status of quality metrics, and the identification and handling of risks and issues.
- Program documentation and events required for the next MS or Decision Point (especially those with extended staff/approval cycles). The MCSC PoPS core briefing charts contain notional timelines that identify documents with lengthy staff/approval cycles.

Enclosure (a). 12 Steps to Program Success

5. **Understand and Apply Knowledge Based Acquisition.** GAO has assessed multiple DoD programs and found the following factors or "knowledge points" critical to program success. These factors are reflected in [DoDD 5000.01](#), [DoDI 5000.02](#) and the MCSC PoPS core briefing charts, found in the [MAP SharePoint site](#). mandatory entrance criteria slides. However, the three most critical knowledge based acquisition points are summarized below.

- **Program Initiation.** There should be a match between the needed capability and available resources before an effort receives a MS B. This means:
 - Technology has been demonstrated in a relevant environment (TRL of 6 or higher).
 - The requirement is reasonable and executable within defined C/S/P parameters per the APB.
 - Sufficient funding is available.
- **Post-Critical Design Review Assessment (CDR-A).** Knowledge should indicate the product or capability can be built consistent with APB C/S/P parameters. This means the design is of sufficient stability to support continuation to testing, verification, and MS C.
- **Production Decision.** Based on demonstrated test results the product or capability is operationally capable; and producible within APB C/S/P targets. A key component of this is demonstration that the manufacturing processes are under process control.

6. **Communicate with Leadership and Stakeholders Early and Often.** Identify key stakeholders and involve them in program planning and decisions throughout the acquisition life cycle. This will include the requirements/capabilities sponsor's organization, Tier-0 IPT, MAT, HQMC program advocate, and MCOTEA. This ensures a common understanding and buy-in to program strategy. Programs that do not follow this principle are often delayed; since one or more key stakeholders may non-concur with the program approach, thus generating re-work.

Meet with decision makers up front to define the desired end-state and obtain support for program strategy and schedule. Surface bad news early and provide alternatives for MDA consideration. Do not wait until a problem has occurred; be

Enclosure (a). 12 Steps to Program Success

proactive and present tradeoffs or alternatives required to meet APB C/S/P and affordability constraints. Ensure the alternatives you present are worked in collaboration with all stakeholders before presentation to the MDA.

7. **Manage Your Risks**. The PM should conduct regular risk reviews, assess the effectiveness of the handling strategies, and make appropriate adjustments. The risk board should include representatives from all competencies and stakeholders. Note: many MCSC programs are focused on the integration of existing off-the-shelf products. Integration or introduction of new/updated interfaces always introduces an element of risk to program execution, and should be managed appropriately.

8. **Manage to Threshold**. The requirements document and APB establish threshold (minimum acceptable) and objective (desired) C/S/P targets. A program is deemed successful once it has met all threshold C/S/P targets. As such, the PM should manage to achieve threshold in all three areas. For example, a materiel solution that meets threshold in all three areas is preferred to a solution that meets objective performance; but cannot meet threshold cost targets.

If a PM determines the program will be unable to meet any C/S/P threshold, this should be immediately surfaced to leadership. The PM should propose mitigation strategies and work with all key stakeholders to prepare a recommendation for MDA consideration. This may be accomplished via population of the MCSC PoPS core briefing charts. In addition, the PM should reference [Chapter 8.9](#) for instructions relative to notifying the MDA regarding an anticipated APB breach.

9. **IPTs Work - Use Them**. No program decision occurs in a vacuum. A change in any one area such as acquisition strategy will impact all other program areas (e.g. technical, logistics, contracting, budget, and test).

Thus, to make an effective decision, the PM should consult the program IPT (with membership from all competencies and affected stakeholders) to identify and assess the cost and benefits of any program change or decision. This approach allows for the PM to receive input from all competencies and stakeholders concurrently, and develop a fully informed decision. ***Decisions made without participation from all competencies are often***

flawed; as they do not reflect consideration of all impacts and consequences.

Enclosure (a). 12 Steps to Program Success

10. Incremental Acquisition Works - Consider It. Incremental acquisition is a phased or multiple step (phased) approach to delivering full capability. In this scenario, a program may be divided into several increments and/or phases. Each increment provides a fully operational and affordable stand-alone capability. This is a risk reduction tool because it enables the PM to quickly deliver that capability which is based on mature technologies, is affordable, and is of highest priority to the warfighter. Capabilities which require further technology maturation, are not currently affordable, or of lower user priority may be delayed to later increments. PMs should carefully consider this approach and consult with the requirements organization and Tier-0 IPT regarding the applicability of an incremental approach as opposed to a single step strategy where appropriate. It is imperative the requirements document align with and support incremental delivery of capability where appropriate.

11. Establish Robust Configuration Management (CM) Processes. A robust CM process should be established very early in the acquisition cycle and include representatives from all key stakeholder organizations and competencies. The CM process will provide the PM with the information and tools to:

- Identify and understand the implications of requirements changes.
- Identify strategies to mitigate the impact of necessary changes, and reject other changes.
- Surface "de-scoping" options to improve/preserve affordability, cost and schedule.
- Guard against "scope creep". (Scope creep occurs when a series of small changes – none of which appear to affect the program individually – can accumulate and have a significant overall impact by increasing cost or delaying schedule).

For specific guidance see [MARCORSYSCOMO 4130.1A](#) (Reference (s)).

12. Software Management. GAO found roughly half of the programs they studied with software development had at least 25% growth in estimated lines of code after MS B. This results in cost overruns and delayed schedules. PMs should work closely

with their APM-E to ensure software has been appropriately assessed, and accurately estimated before RFP release.

**Enclosure (b). Example of Entry and Exit Criteria for
Milestones and Decision Points**

Milestone or Key Acquisition Event

Milestone B (MS B) Decision				
<p>Briefer PM/PdM</p> <p>References*** 1. MARCORSYSCOM PoPS Guidebook 2. ASN PoPS Gate Charts 3. MARCORSYSCOM Cost Analysis Guidebook 4. MARCORSYSCOM Acquisition Guidebook (MAG) 5. Timeline (in this brief) 6. Documents (in this brief) 7. Relevant excerpts in DoDI 5000.02</p>	<p>Membership Chair MDA</p> <p>Review Lead APM-PM</p> <p>Participants MARCORSYSCOM (APMs, DC RM, DC SIAT, AC Contracts, AC ALPS, ACPROG, Safety, Security), DC CD&I, HQMC Advocate(s), LOGCOM, MCOTEA</p>	<p>Entrance Criteria 1. Approved CDD, SON, or other validated capability/requirement document 2. Approved CONOPS 3. Approved System Design Specification (SDS) or waiver 4. Completed LCCE 5. Demonstration that the program is fully funded across the FYDP or propose full funding COAs for MDA consideration 6. Approved Source Selection Plan 7. All statutory and regulatory documents completed, or complete pending MDA signature (as tailored per MDA guidance) 8. Peer Review of RFP and Pre-EMD completed or waived by MDA 9. Exit criteria from previous ADM met 10. MAT review (non-delegated) or Tier-0 IPT review (delegated) of MS B PoPS Program Health package 11. ILA completed</p>	<p>Output 1. MDA approval for RFP Release 2. MDA approval of ADM* authorizing MS B and entry to EMD phase with exit criteria and determination of next milestone or key acquisition event 3. MDA approves appropriate statutory and regulatory documents (as tailored per MDA guidance) 4. MDA approval of Acquisition Program Baseline</p>	<p>Briefing Content MARCORSYSCOM MS B PoPS core briefing charts**</p>

* The ADM may direct strategy changes to address cost, schedule or performance risk as appropriate.
 ** References are available on the MAP SharePoint: <https://mcscviper.usmc.mil/sites/mcscimdp/default.aspx> (e-mail certificate).

MCSC PoPS Milestone B (MS B)

This is an example of the entry and exit criteria for MS B. Entry and exit criteria are provided for each milestone and decision point at the [MAP SharePoint](https://mcscviper.usmc.mil/sites/mcscimdp/default.aspx) site.

Enclosure (c). Example of Initial Operational Capability (IOC)
Declaration



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
3000 MARINE CORPS PENTAGON
WASHINGTON, DC 20350-3000

IN REPLY REFER TO:

1000

C4

JUL 06 2011

From: Commandant of the Marine Corps
To: Commander, Marine Corps Systems Command
Via: Deputy Commandant, Combat Development & Integration

Subj: MARINE CORPS ENTERPRISE INFORMATION TECHNOLOGY SERVICES (MCEITS)
DECLARATION OF INITIAL OPERATIONAL CAPABILITY (IOC)

Ref: (a) MROC DM 36-2010, MCEITS CPD, 20 May 2010

1. As the Functional Advocate and Resource Sponsor for the MCEITS program, I have determined the program has met the capabilities and requirements as documented in reference (a) to meet IOC.

2. The point of contact regarding this matter is Mr. David Green Chief Technology Advisor, (703)693-3462, DSN 263, email: david.e.green1@usmc.mil.

A handwritten signature in black ink, appearing to read "K. J. Nally", with a long, sweeping flourish extending to the right.

K. J. NALLY
Brigadier General, U.S. Marine Corps
Director, Command, Control,
Communication and Computers (C4)

Copy to:
CO, MCNOSC

Enclosure (d). Decision Review Scheduling Process

The APM-PM should coordinate and schedule all meetings with COMMARCORSYSCOM and the Executive Director (ED) at least 30 days prior to the desired meeting date.

The APM-PM will contact the MCSC Command Suite Administrative Assistant to schedule all briefings with COMMARCORSYSCOM and the ED. Attendees must include representatives from all competencies and key stakeholders. The APM-PM shall work with the PM/PdM to ensure all appropriate organizations and attendees are represented.

The APM-PM shall ensure:

- All required pre-briefs have been conducted
- All associated products, such as an ADM, PoPS briefing charts, criteria questions, etc. have been reviewed by the Competency Directors/MAT/Tier-0 IPT/PM as applicable.
- A pre-briefing with the ED is scheduled at least 14 days prior to any proposed briefing to COMMARCORSYSCOM.

The APM-PM shall ensure distribution of the read ahead to the Command Group and all attendees 3 working days prior to each scheduled briefing.

Enclosure (e). Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria

List of MCSC & Stakeholder Affordability Roles and Responsibilities

Who	What
RA (typically CD&I)	<ul style="list-style-type: none"> • Conduct enterprise portfolio analyses and prioritization to inform affordability decisions at the portfolio and individual program level • Conduct requirements trade space analysis at the individual program level to ensure requirements documents reflect acceptable capability trade-offs, and align with enterprise portfolio priorities/budget constraints • Team with MDA, P&R, and all stakeholders to develop/update program affordability strategies to include acceptable C/S/P trades • Conduct CDD validation before Development RFP release to ensure requirement is affordable, executable, reflects results of SE trade-off analyses, and meets minimum capability thresholds • Team with PM and all stakeholders to ensure updated affordability results are reflected in the budget/Program Objective Memorandum (POM) processes
P&R, Program Sponsor/ Advocate (typically DIRINT, HQMC, I&L, C4, PP&O, M&RA or other)	<ul style="list-style-type: none"> • Team with MDA and all stakeholders to develop/update program affordability strategies to include acceptable C/S/P trades • Team with PM and all stakeholders to ensure updated affordability results are reflected in the budget/POM processes
COMMARCORSSYSCOM	<ul style="list-style-type: none"> • Ensure compliance with BBP affordability guidelines throughout MCSC to include implementing policy, business rules, and metrics • Communicate with external organizations to ensure enterprise level alignment of affordability policies and business rules • Periodically review MCSC enterprise affordability trends and issue Command - level guidance as appropriate

Enclosure (e). Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria

List of MCSC & Stakeholder Affordability Roles and Responsibilities	
Who	What
MDA (COMMARCORSSYSKOM or delegated official)	<ul style="list-style-type: none"> • Assess affordability at each milestone (MS) and review point, and direct actions via ADM to ensure each program is affordable throughout its lifecycle (from Materiel Development Decision (MDD) through Disposal) • Consider program cancellation or restructure at every decision point if lifecycle affordability cannot be demonstrated • Establish/update program strategy/acquisition approach to ensure that each program is affordable and executable over its lifecycle <ul style="list-style-type: none"> ◦ Establish and monitor program specific affordability constraints and tools ◦ Ensure program documentation reflects approved affordability trade space, constraints, and use of appropriate affordability tools
PMs <i>Note: Where a PM serves as MDA then the PM may delegate appropriate responsibilities to the Tier-0 IPT or PdM as appropriate</i>	<ul style="list-style-type: none"> • Recommend affordability constraints and framework for MDA approval prior to each MS, PMR or MDA decision point in consultation with RA, Tier-0 IPT and all stakeholders • Immediately surface issues to MDA and appropriate Command leadership WRT program affordability • Document and monitor status of affordability for each assigned program and pre-ACAT effort and report results to MDA on a regular basis <ul style="list-style-type: none"> ◦ Recommend trade-offs to address affordability to include SE tradeoffs in support of CDD validation • Ensure Product Managers (PdMs) address affordability in all program execution plans • Team with all stakeholders to ensure updated affordability results are reflected in the budget/POM processes

Enclosure (e). Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria

List of MCSC & Stakeholder Affordability Roles and Responsibilities	
Who	What
Competency Directors (CDs)	<ul style="list-style-type: none"> • Support the conduct of affordability analyses within respective organization • Advise the PM/MDA/COMMARCORSYSCOM regarding program affordability and appropriate trade-offs at each MS, Program Manager Review (PMR) or MDA decision point <ul style="list-style-type: none"> ◦ DC SIAT will conduct trade-off analysis prior to CDD validation per DoDI 5000.02 Enclosure 8 ◦ DC SIAT will assist in generating affordability targets and should cost goals by analyzing and verifying technical assumptions used in the cost analyses and related cost goals
AC PROG	<ul style="list-style-type: none"> • Establish and monitor/update MCSC affordability policy to include tools and metrics aligned with BBP and HHQ guidance • Provide COMMARCORSYSCOM regular risk-informed updates WRT affordability metrics and enterprise trends • Communicate with CDs and stakeholders to ensure alignment of organizational policies and procedures • Communicate with external organizations WRT affordability matters on behalf of COMMARCORSYSCOM • Surface unresolved issues to COMMARCORSYSCOM
RTO/RTT	<ul style="list-style-type: none"> • Ensure affordability is addressed within Requirement Transition Process (RTP) policy and procedures • Work with external organizations to ensure requirements packages and subsequent updates address affordability per Chapter 2.1

Enclosure (e). Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria

List of MCSC & Stakeholder Affordability Roles and Responsibilities	
Who	What
Tier-0 IPT/MAT	<ul style="list-style-type: none"> • Participate in Requirement Transition Team (RTT), Milestone Assessment Team (MAT) and other affordability reviews • Ensure respective CDs are fully informed WRT to affordability for each specific program and pre-ACAT effort to include trade-offs, mitigation strategies, and associated risks • Support the PM and MDA in execution of all assigned responsibilities to include timely review and update of affordability constraints and framework • Propose affordability tools and strategies for PM/MDA consideration and ensure they are documented appropriately

Enclosure (e). Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria

Event	<p align="center">List of Example ADM Exit Criteria (for illustrative purposes only) Specific exit criteria will be tailored to each unique program or pre-ACAT effort (Use this table together with the ADM Template when preparing ADMs)</p>
All Milestones or MDA Decision Points	<ul style="list-style-type: none"> • Establish/update affordability analytical framework to include follow on affordability reviews and analyses. This may include: <ul style="list-style-type: none"> o Key trades between C/S/P and associated risks required to meet projected affordability goals o Key cost drivers and mitigation strategies o Consideration of alternative approaches to include appropriate affordability tools per Table 8A • <i>Reminder: The framework will be tailored to program unique characteristics and based on consideration of all affordability tools per Table 8A</i> • Establish/update affordability constraints (goals and/or caps) • Return to the MDA (by a specific date/event) to present results of affordability framework analyses, recommended actions and associated risks • Inform the MDA immediately when the PM has reason to believe the materiel solution cannot be delivered within established affordability constraints. Provide recommended affordability C/S/P trades and associated risks to include potential cancellation. • Ensure program documentation is updated to reflect current MDA approved affordability strategy • Work with RA to ensure that POM submission narrative and content align with MDA approved affordability strategy • <i>Note: In some cases a legacy effort will enter the acquisition process directly at EMD, production or sustainment phase. In these cases, exit criteria shall be tailored to the specific level of program maturity and knowledge. At a minimum, consider and leverage relevant exit criteria from all previous milestones to establish an appropriate analytical framework and affordability constraints.</i>

Enclosure (e). Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria

Event	<p align="center">List of Example ADM Exit Criteria (for illustrative purposes only) Specific exit criteria will be tailored to each unique program or pre-ACAT effort (Use this table together with the ADM Template when preparing ADMs)</p>
MDD	<ul style="list-style-type: none"> • Establish initial <u>notional</u> affordability goals and analytical framework to inform the AoA, market research, or other MDA approved analyses <ul style="list-style-type: none"> ◦ Goals may be expressed as broad ranges or tentative boundaries to guide conduct of analyses and provide MDA visibility into trade-offs and risks. Notional MDD affordability goals may include: <ul style="list-style-type: none"> ▪ APUC of \$XX - \$YY; lifecycle sustainment costs of \$XX - \$YY ▪ Total funding of \$XX - \$YY ▪ Annual funding profiles of \$XX - \$YY ▪ Total Ownership Cost (TOC) of \$XX - \$YY • The affordability framework should at a minimum, identify key C/S/P affordability trade-offs (to include risk and opportunity cost) between alternatives based on known budget constraints and RA portfolio priorities (Note: If no AoA and/or MS A is anticipated, use AoA/MS A exit criteria at MDD in addition to the above. This ensures the program will be ready to support CDD validation and release of development RFP.)
AoA	<ul style="list-style-type: none"> • Establish/update MDD affordability goals and framework based on results of initial trade-off analyses, updated portfolio priorities established by RA, and known budget constraints • Direct the conduct of additional trade-off analyses required to inform CDD validation and enable continued assessment of overall program affordability
MS A	<ul style="list-style-type: none"> • Establish or update affordability goals and framework based on AoA results, updated portfolio priorities established by RA, and known budget constraints • Conduct SE trade-off analyses to inform CDD Validation. Work with CD&I or appropriate RA to ensure results are provided in time to support scheduled CDD Validation and subsequent release of the Development RFP. <ul style="list-style-type: none"> ◦ Note: The above will ultimately support MDA determination at MS B that the program is affordable and executable • Conduct additional analyses based on affordability tools to include assessment of acquisition approach targeted to affordability

Enclosure (e). Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria

Event	<p align="center">List of Example ADM Exit Criteria (for illustrative purposes only) Specific exit criteria will be tailored to each unique program or pre-ACAT effort (Use this table together with the ADM Template when preparing ADMs)</p>
CDD Validation	<ul style="list-style-type: none"> • Establish or update affordability goals and framework based on CDD Validation results, updated portfolio priorities established by RA, and known budget constraints • Examples include: <ul style="list-style-type: none"> ◦ Establish initial affordability caps where appropriate ◦ Conduct additional market research and appropriate analyses to mature knowledge and risk WRT affordability trade-offs. Use results to: <ul style="list-style-type: none"> ▪ Inform preparation of final RFP ▪ Ensure acquisition approach is executable and aligns with affordability constraints ▪ Stabilize design in support of RFP release ▪ Use source selection criteria to incentivize industry focus on affordability • <i>Note: CDD validation is led by the RA and is not an MDA decision or MS event; however, the MDA participates in validation of the CDD (or equivalent) to ensure requirements are affordable, achievable, testable, and that requirements trades are fully informed by SE trade-off analyses completed by the PM</i>
Development RFP	<ul style="list-style-type: none"> • Return for a MS B decision with updated affordability goals based on analysis of contractor proposals and final LCCE or POE <ul style="list-style-type: none"> ◦ Initial Affordability Caps where feasible ◦ Ensure that framework is in place to provide the MDA a risk-informed, affordable and executable program strategy at MS B
MS B	<ul style="list-style-type: none"> • Establish affordability caps per Chapter 7.3 and DAG Chapter 3.2.3.4 • If the MDA determines it is not feasible to establish affordability caps at MS B, then the MS B exit criteria will establish/update affordability goals and mandate the establishment of affordability caps at MS C or beyond. • <i>Note: DoDI 5000.02 preferred approach is that caps be established at MS B within the ADM as well as APB. For ACAT III and below programs the establishment of affordability caps may be deferred to MS C or beyond if the MDA determines this is more appropriate based on program maturity, budget stability, or other factors.</i>
MS C/LRIP/FRP	<ul style="list-style-type: none"> • Establish/update affordability caps per Chapter 7.3 and DAG Chapter 3.2.3.4 • Programs with a separate MS C and LRIP <ul style="list-style-type: none"> ◦ Update affordability constraints/analytical framework based on LRIP results

Enclosure (e). Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria

Event	<p align="center">List of Example ADM Exit Criteria (for illustrative purposes only) Specific exit criteria will be tailored to each unique program or pre-ACAT effort (Use this table together with the ADM Template when preparing ADMs)</p>
Sustainment (Includes Ongoing MDA Reviews & Configuration Control Board (CCB) activities)	<ul style="list-style-type: none"> • Establish/update affordability caps per Chapter 7.3 and DAG Chapter 3.2.3.4 • Refine O&S phase strategy established at MS C/LRIP/FRP

Enclosure (f). Example of Notional Timeline

MARCORSYSCOM ACAT III & IV MS B Notional Timeline

Sequence of Products & Events	Approx Duration	NLT Completion Date	Lead
1a. Schedule planning meeting with APM-PM & Tier-0 IPT 1b. Meet with APM-E to determine TRAP schedule	1 day	MS B Decision - 365 days	PM/PdM
2. Begin development of Integrated Master Plan (IMP) and Integrated Master Schedule (IMS) with dependencies, float, resources, and critical path.	2 months initial (on-going updates)	MS B Decision - 300 days	PM/PdM
3. Development of SDS and approval by DC SIAT (Note: if SRR is required, the SDS must be completed prior to SRR)	4-6 months (if SRR required add an additional 45 days)	RFP Release - 120 days	PM/PdM
4. Begin preparation of critical documentation with extended staff cycles (IA Strategy, DECAT worksheet, ISP & all required architectures, TEMP, SEP, CARD, LCCE)	9-12 months	MS B Decision - 45 days	PM/PdM
5. Develop Should Cost Analysis (Prerequisite: LCCE)	6-9 months	MS B Decision - 45 days	PM/PdM
6. Exit criteria from previous ADM met	9-12 months	MS B Decision - 30 days	PM/PdM
7. Peer Review of RFP	1 week	RFP Release - 90 days	PM/PdM/AC Contracts
8. Prepare for ILA and meet with APM-LCL to obtain entry & exit criteria and required documentation	9-12 months	MS B Decision - 90 days	PM/PdM
9. Prepare all other MS & contractual documentation not listed in #4	6-9 months	MS B Decision - 60 days	PM/PdM
10. Final approved CDD or other Capabilities/Requirement Document	3-6 months	MS B Decision - 120 days	CD&I or Other Requirements Organization
11. Begin CCA package which requires a DECAT worksheet, approved CDD, draft ISP and IA strategy signed by HQMC DAA	4-6 months	MS B Decision - 45 days	PM/PdM
12. Draft MS B Briefing Package/Pre-EMD Review (PoPS Gate 5 criteria questions & core charts)	1 month	MS B Decision - 45 days	PM/PdM
13. Formal MAT/Tier-0 IPT review of MS B package (PoPS Gate 5 criteria questions, core charts, & Draft ADM)	3 weeks	MS B Decision - 28 days	MAT/Tier-0 IPT
14. ADM	1 month	MS B Decision - 28 days	APM-PM/Tier-0 IPT
15. Final MS B Briefing Package submitted for MDA approval** (PoPS Gate 5 criteria questions, core charts, & ADM)	2 weeks	MS B Decision - 21 days	PM/PdM/APM-PM/Tier-0 IPT

This is a notional top-level initial timeline for planning purposes. Check with your MAT/Tier-0 IPT for further guidance. Timelines will vary dependent on each program's complexity. This does not include all events and activities required for MS B.

MCSC PoPS Milestone B (MS B) Notional Timeline

This is an example of a notional timeline for MS B. Notional timelines are provided for each milestone and decision point at the [MAP SharePoint](#) site.

Enclosure (g). Example of Memorandum of Agreement (MOA)

MEMORANDUM OF AGREEMENT
BETWEEN
THE ASSISTANT SECRETARY OF THE NAVY
(RESEARCH, DEVELOPMENT AND ACQUISITION)
AND
THE ASSISTANT SECRETARY OF THE ARMY
(ACQUISITION, LOGISTICS, and TECHNOLOGY)

SUBJECT: LIGHTWEIGHT 155MM TOWED HOWITZER (LW155)

1. **Purpose.** This Memorandum of Agreement (MOA) delineates the responsibilities between the Department of the Navy and the United States Army with respect to the management of the LW155 Program. Specifically, it provides detailed guidelines for the Commander, Marine Corps Systems Command (COMMARCORSSYSCOM), the Program Executive Officer for Ground Combat Systems (PEO-GCS), and the Joint Program Manager (JPM) LW155.

2. **Background.** The Marine Corps successfully competed the LW155 program and provided funding for its development beginning in FY96. The Army initiated support for the program by providing funding for the pre-planned product improvement for a digital fire control system beginning in FY99. On 10 November 1994, the Assistant Secretary of the Navy for Research, Development and Acquisition (ASN(RDA)) designated the LW155 an Acquisition Category II (ACAT II) program and retained Milestone Decision Authority (MDA). A Milestone 0 decision briefing was presented to the MDA on 17 January 1995. On 3 February 1995, the MDA signed the Acquisition Decision Memorandum (ADM) and authorized the Marine Corps to initiate the Concept Exploration and Definition Phase. On 16 March 1995, the Assistant Secretary of the Army for Research, Development, and Acquisition (ASA (RDA)) designated the then Program Executive Officer for Field Artillery Systems (PEO-FAS), now PEO-GCS, as the Army Executive Agent for LW155. The LW155 is funded by the Marine Corps for the development of what is referred to as the "basic howitzer"; that is, the howitzer without any of the digitization product improvements detailed in the Joint Operational Requirements Document (JORD). In FY99, the Army initiated a research effort to develop the first block of a two-block program for the digitization enhancements to the LW155 (the digitization enhancements to be known as the Towed Artillery Digitization (TAD) program). The Army has designated the TAD program as an ACAT III program and selected the PEO-GCS to be the MDA. A TAD MS I/II was held on 29 October 1999. A Product Manager for TAD was chartered in July 2000. PEO-GCS, on 16 October 2001, approved having a single prime contractor for the gun and TAD, as well as, a blocked approach for the TAD development program. On 13 May 2002, the TAD contract with GDAS was novated to BAE, thereby implementing the PEO-GCS direction. The Marine Corps has the

This example is provided for illustration purposes only. Signatories and content of each MOA will vary depending on purpose and ACAT level of the program (if applicable). Please check with your APM-PM for guidance relative to your specific program.

Enclosure (g). Example of Memorandum of Agreement (MOA)

overall management lead for the LW155, which includes both the "basic howitzer" and the TAD program. A Joint Program Management Office headed by a Marine Corps colonel manages the program until such time as it is deemed appropriate by the two Services to designate the Army as lead Service. The Army's Product Manager for TAD reports to the JPM. Both Marine Corps and Army personnel support the office as established in this MOA.

3. **General Policy.** As the lead Service acting under the guidance of the ASN (RDA), the Marine Corps, represented by the COMMARCORSYSCOM, has the authority to direct the "basic howitzer" program under the policies and procedures set forth in appropriate Department of Defense (DoD) acquisition regulations. The PEO-GCS will execute the program per the decisions and direction of the COMMARCORSYSCOM and the ASN (RDA). The PEO-GCS is the MDA for the TAD program and will conduct this program under the policies and procedures set forth in appropriate DoD acquisition regulations. The JPM will report to the PEO-GCS on all matters concerning the execution of both programs. The PEO-GCS and the COMMARCORSYSCOM will commit organic organizational resources and will solicit appropriate support to execute contractual and program management activities. The Commander, Tank-automotive and Armaments Command (TACOM), as the Head of the Contracting Activity (HCA), shall utilize the ASA (ALT) as the Senior Procurement Executive. The JPM is stationed at Picatinny Arsenal, the location of the Armaments Research, Development and Engineering Center (ARDEC), which maintains DoD's programmatic and technical expertise for the acquisition of artillery weapon systems.

4. Responsibilities.

a. Joint Responsibilities:

- (1) COMMARCORSYSCOM and the PEO-GCS shall meet as required to review program progress and resolve any issues that may require joint action.
- (2) The JPM will present a formal executive review to COMMARCORSYSCOM and the PEO-GCS, as required.
- (3) The JPM will complete all milestone documentation requirements for both the TAD and "basic howitzer" programs. For the "basic howitzer" program, the JPM will provide this documentation to COMMARCORSYSCOM for examination by the Acquisition Review Board (ARB) prior to submission to the MDA for the milestone and other decision reviews. The JPM will ensure that Army unique documentation requirements are considered and appended to the common documentation as appropriate. The TAD milestone documentation will be coordinated with MARCORSYSCOM prior to being submitted to the PEO-GCS and will ensure that Marine Corps unique requirements are considered and appended to the common documentation as appropriate.
- (4) The COMMARCORSYSCOM and the PEO-GCS shall jointly sign

Enclosure (g). Example of Memorandum of Agreement (MOA)

the Acquisition Program Baseline (APB) for the "basic howitzer." The TAD APB will be signed by the PEO-GCS and coordinated with MARCORSYSCOM.

b. **Marine Corps.** As the Lead Service for the LW155 Program, the Marine Corps, through COMMARCORSYSCOM, has responsibilities that include, but are not limited to:

- (1) Retain reprogramming authority for all USMC LW155 program funds.
- (2) Compete in the POM process for necessary resources to support execution of the Marine Corps' portion of the program and insure expeditious transfer of program funds to the joint program management office.
- (3) Facilitate coordination with Marine Corps agencies (e.g. MCOTEA, MARCORLOGBASES, MCCDC, etc.) required for execution of the program.
- (4) Assign a USMC JPM and be the reviewing officer for his performance evaluation.
- (5) Provide Marine Corps personnel in conjunction with the PEO-GCS to adequately staff the JPMO at Picatinny Arsenal, NJ.

c. **Army.** As the participating Service for the LW 155 Program, the Army, through PEO-GCS, has responsibilities that include, but are not limited to:

- (1) Serve as Senior Procurement Executive.
- (2) Provide procurement and policy guidance to the PEO-GCS and HCA organizations.
- (3) Provide Army personnel in conjunction with the Marine Corps to adequately staff the JPMO at Picatinny Arsenal, NJ.
- (4) Provide adequate facilities at Picatinny Arsenal, NJ for the JPMO.
- (5) Provide oversight and guidance to the JPM and assume the responsibilities as the Reporting Senior for his performance evaluation.
- (6) Schedule Program Reviews at the request of ASN(RDA) in coordination with COMMARCORSYSCOM.
- (7) Ensure the joint program meets the cost, schedule, and performance thresholds outlined in the the TAD and "basic howitzer" APBs.
- (8) Execute contracting actions, as necessary, for the Marine Corps through the TACOM HCA.
- (9) Compete in the POM process for necessary resources to support execution of the Army portion of the program and insure expeditious transfer of program funds to the JPMO.

d. **The JPM shall:**

- (1) Develop the APBs with assistance from the PEO-GCS and COMMARCORSYSCOM.
- (2) Coordinate USMC POM funding requirements with

Enclosure (g). Example of Memorandum of Agreement (MOA)

MARCORSYSCOM and USA POM funding requirements with USAFAS to ensure the program is adequately funded.

(3) Execute the program as outlined in the milestone documentation with direction from the PEO-GCS.

(4) Supervise all program management and engineering support within the cost, schedule, and performance thresholds outlined in the approved APBs.

(5) Report to the PEO-GCS on all issues relating to the execution of both programs.

(6) Be in the rating chain for all JPMO and associated matrix support personnel.

(7) Maximize opportunities to integrate the basic howitzer and TAD by combining test events and endeavoring to have the basic howitzer's Full Rate Production decision be a M777E1 decision that would include TAD.

5. MOA Administration.

a. **Duration.** This agreement becomes effective upon the date of the last approving signatures and will remain in effect until revised or canceled by actions taken by participating organizations.

b. **Revision of MOA.** The COMMARCORSYSCOM and the PEO-GCS will review this MOA annually (60 days prior to the anniversary date) or at the request of any party for continuation, modification, or cancellation. With the consent of both parties, amendments to this agreement may be made at any time. Proposed amendments not agreed to by both parties will be forwarded to the MDA for decision. In the event funding for the LW155 is either reprogrammed or deferred, the COMMARCORSYSCOM and the PEO-GCS shall revise this MOA to reflect any modification of responsibilities and to reconcile funding.

c. **Cancellation.** Should either signatory want to cancel this memorandum, he shall provide at least three months written notification to the other signatories before the proposed date of termination.

Joseph L. Yakovac _____ Date
Major General, USA
Program Executive Officer for
Field Artillery Systems

William D. Catto _____ Date
Brigadier General
Commander, Marine Corps Systems Command

The Honorable John J. Young _____ Date
Assistant Secretary of the Navy (RDA)

Enclosure (h). IMD Dependency Screening Questions

If the PM 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) (imdc_lmdp_support@dodiis.mil) or the MCIA Future Threats Division (FTD) (HYPERLINK PENDING) 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 computer generated simulations of 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?

Enclosure (i). Example of Request to Participate



UNITED STATES MARINE CORPS
MARINE CORPS SYSTEMS COMMAND
2200 LESTER ST
QUANTICO, VIRGINIA 22134-6050

IN REPLY REFER TO
4215
CTES
APR 07 2011

From: Director, Ground Transportation and Engineer Systems
To: Commander, Marine Corps Systems Command
Via: Assistant Commander, Programs

Subj: REQUEST TO PARTICIPATE IN THE US ARMY LIGHT CAPABILITY
ROUGH TERRAIN FORKLIFT PROGRAM OF RECORD AND DELEGATION OF
THE PROGRAM DECISION AUTHORITY TO THE PRODUCT GROUP
DIRECTOR, GROUND TRANSPORTATION AND ENGINEER SYSTEMS

Ref: (a) SECNAVINST 5000.2E

Encl: (1) CD&I ltr 3900/C132 of 5 AUG 10

1. Per reference (a), request authorization to participate in the US Army Light Capability Rough Terrain Forklift (LCRTF) program. I also request delegation of Program Decision Authority to the Product Group Director, Ground Transportation and Engineer Systems.

2. Program Description: The acquisition of the LCRTF is managed by the Product Manager, Construction and Material Handling Equipment (CE/MHE), Tank and Automotive Command (TACOM), Warren, MI. The program is an Acquisition Category III program. The LCRTF contract has been awarded to KALMAR RT Center, LLC of San Antonio, TX, utilizing a Firm Fixed Price contract W56HZV-11-D-VK03. The LCRTF is a modified Commercial Off-the-Shelf forklift that is capable of accepting a modular (plug and play) armored cab.

The Marine Corps and Army LCRTF requirements are identical with the exception of the armored cab requirement for the Marine Corps. The LCRTF is a rubber-tired forklift with the capability of two-wheel, four-wheel and crab steering and lifting capacity of up to 5,000 pounds. The LCRTF will load and unload cargo aboard amphibious ships, cargo-carrying aircraft, combat support vehicles, and International Organization for Standardization containers.

Request to Participate (1 of 4)
Enclosure (i). Example of Request to Participate

Subj: REQUEST TO PARTICIPATE IN THE US ARMY LIGHT CAPABILITY
ROUGH TERRAIN FORKLIFT PROGRAM OF RECORD AND DELEGATION OF
THE PROGRAM DECISION AUTHORITY TO THE PRODUCT GROUP
DIRECTOR, GROUND TRANSPORTATION AND ENGINEER SYSTEMS

3. Prospective funding:

a. Appropriation (APPN): Procurement (PMC)

- Budget Year: FY11 thru FY14
- Budget Authority: 06
- Budget Line Item: 646200, Material Handling Equipment
- Dollars (FY11): \$ 1,300,000
- Dollars (FY12): \$35,428,000
- Dollars (FY13): \$25,683,000
- Dollars (FY14): \$47,169,000

Each LCRTF will cost approximately \$140,000 including armor.
The total estimated program cost is projected to be \$110M. The
LCRTF program is fully funded through FY14.

APPN		FY11	FY12	FY13	FY14	To Complete	Total
PMC	Required	1.300	35.428	25.683	47.169	0	109.967
	Budget	1.300	35.428	25.683	47.169	0	109.967
	Delta	0	0	0	0	0	0

b. Appropriation (APPN): Research Development Test &
Evaluation (RDT&E)

- Program Element (No./Title): 26624M, Marine Corps
Combat Services Support
- Program Number/Line Item (No./Title): C2316,
Engineering Combat Services Support Equipment
- Sub-project/Line Item (No./Title): Engineering Mod Kits
- Dollars (FY12): \$470,000

The RDT&E funding will be used to procure two armored forklifts
and test costs for ballistic testing.

APPN		FY12	To Complete	TOTAL
RDT&E	Required	.470	0	.470
	Budget	.470	0	.470
	Delta	0	0	\$0

4. Enclosure (1) validated the original Operational Requirement
Document of 6 March 2000. The current requirement provides for
the addition of a modular armored and unarmored cab, climate
controlled cab, and a rifle mount. Additionally, the Authorized
Acquisition Objective has increased from 573 to 760 systems.

Request to Participate (2 of 4)
Enclosure (i). Example of Request to Participate

Subj: REQUEST TO PARTICIPATE IN THE US ARMY LIGHT CAPABILITY
ROUGH TERRAIN FORKLIFT PROGRAM OF RECORD AND DELEGATION OF
THE PROGRAM DECISION AUTHORITY TO THE PRODUCT GROUP
DIRECTOR, GROUND TRANSPORTATION AND ENGINEER SYSTEMS

5. TACOM is scheduled to conduct Production Verification Testing (PVT) beginning June 2011, with tests concluding in October 2011. Testing will include mobility, environmental, performance, interoperability, and reliability testing. Testing will be conducted at Aberdeen Test Center, MD. Marine Corps unique testing will include ballistic, shipboard compatibility, and external helicopter lifting. Testing will also include a Field User Evaluation utilizing Marines from the Operating Forces.

6. US Army TACOM, Product Manager, CE/MHE has received its Milestone "C" 17 April 2009, which authorized procurement of test assets and conduct of PVT. Milestones schedules are as follows:

	TACOM:	MCSC:
Milestone C	17 Apr 09	
Full Rate Production	3QFY12	2QFY12
Fielding Decision	4QFY12	4QFY12
IOC	2QFY13	1QFY13
FOC	TBD	4QFY14

7. Amplifying information supporting authorization to participate is based on:

- Jointness
- Ability to leverage testing, logistics and program documentation
- Cost avoidance as a result of TACOM being lead service
- Reduced resource requirements for the Marine Corps Program Management Office

8. Delegation of authority is requested based upon:

- Not a developmental program
- Low execution risk
- Low funding risk
- Project Management Team adequately resourced

Request to Participate (3 of 4)
Enclosure (i). Example of Request to Participate

Subj: REQUEST TO PARTICIPATE IN THE US ARMY LIGHT CAPABILITY
ROUGH TERRAIN FORKLIFT PROGRAM OF RECORD AND DELEGATION OF
THE PROGRAM DECISION AUTHORITY TO THE PRODUCT GROUP
DIRECTOR, GROUND TRANSPORTATION AND ENGINEER SYSTEMS

9. The point of contact for the LCRTF is Mike Farley at (703)
432-3727 or email at michael.j.farley@usmc.mil.


JACK E. CAVE

Copy to:
PMM 152

Request to Participate (4 of 4)

**Note: Editable versions of the enclosures and templates
are available at the bottom of the [MAG Homepage](#).**

Enclosure (j). Affordability Roles and Responsibilities

List of Affordability Stakeholder Roles and Responsibilities

Who	What
Commandant of the Marine Corps	<ul style="list-style-type: none"> ● Determines and approves requirements and ensures availability of resources and personnel to meet validated requirements
RA (typically CD&I)	<ul style="list-style-type: none"> ● Conduct enterprise portfolio analyses and prioritization to inform affordability decisions at the portfolio and individual program level ● Conduct requirements trade space analysis at the individual program level to ensure requirements documents reflect acceptable capability trade-offs, and align with enterprise portfolio priorities/budget constraints ● Team with MDA/PDA, HQMC P&R, and all stakeholders to develop/update program affordability strategies to include acceptable C/S/P trades ● Conduct CDD Validation before Development RFP release to ensure requirement is affordable, executable, reflects results of SE trade-off analyses, and meets minimum capability thresholds ● Team with PM and all stakeholders to ensure updated affordability results are reflected in the budget/Program Objective Memorandum (POM) processes
Program Sponsor/ Advocate (typically DIRINT, HQMC, I&L, C4, PP&O, M&RA or other)	<ul style="list-style-type: none"> ● Team with MDA/PDA and all stakeholders to develop/update program affordability strategies to include acceptable C/S/P trades ● Team with PM and all stakeholders to ensure updated affordability results are reflected in the budget/POM processes
HQMC P&R PA&E	<ul style="list-style-type: none"> ● Establish, monitor, and update USMC affordability analysis to ensure it aligns with BBP and DoDI 5000.02 guidance ● Conduct affordability analysis for designated USMC pre-MDD and ACAT programs ● Provide affordability analysis waivers for selected programs, as required ● Set affordability constraints up front and continuously

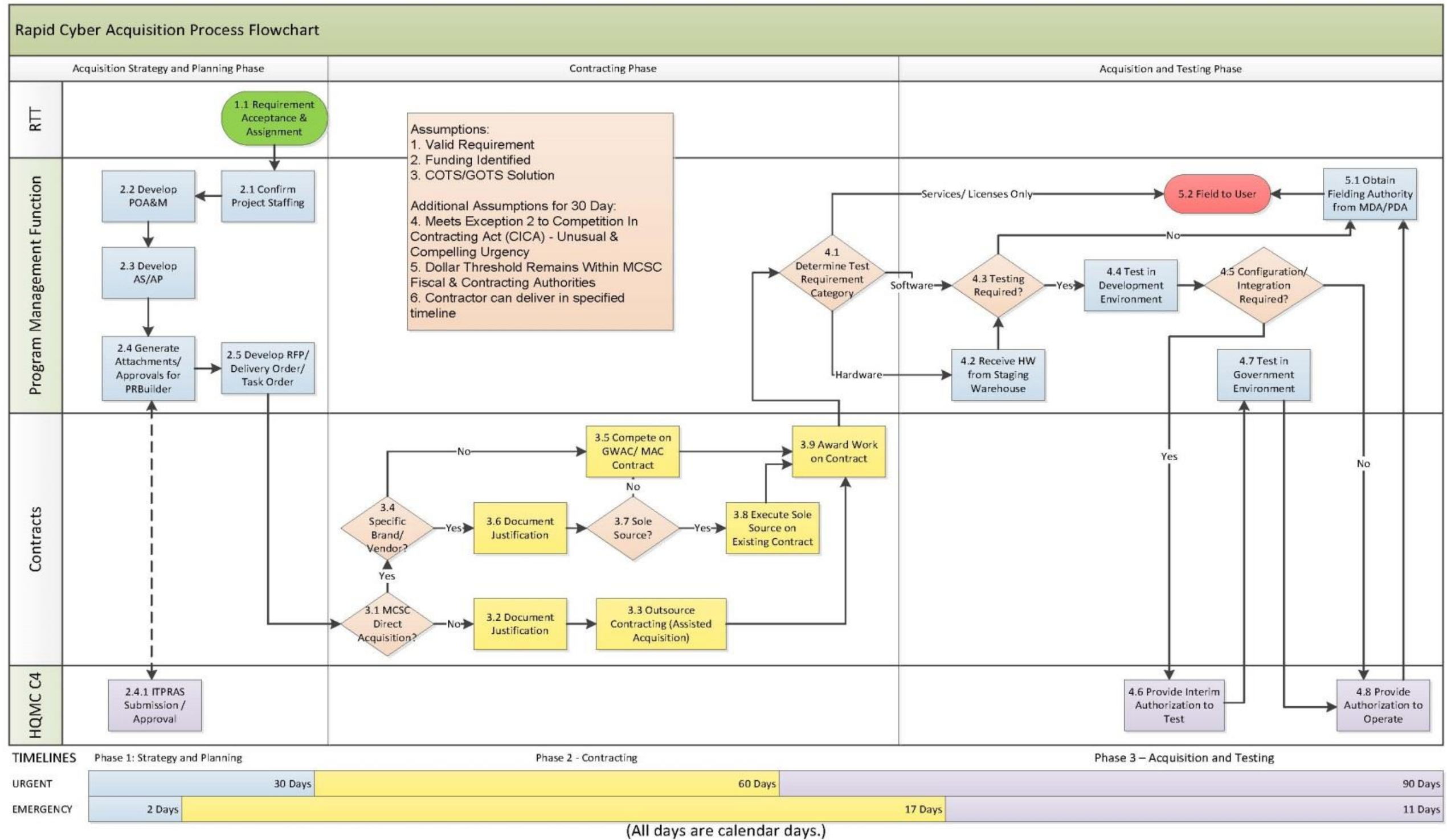
Enclosure (j). Affordability Roles and Responsibilities

List of Affordability Stakeholder Roles and Responsibilities	
Who	What
COMMARCORSSYSCOM	<ul style="list-style-type: none"> • Ensure MCSC compliance with BBP affordability guidelines to include implementation policy, business rules and metrics • Communicate with external organizations to ensure enterprise level alignment of affordability policies and business rules • Periodically review MCSC enterprise affordability trends and issue Command - level guidance as appropriate
MDA/PDA (COMMARCORSSYSCOM or delegated official)	<ul style="list-style-type: none"> • Assess affordability at each milestone (MS) and decision point, and direct actions via ADM to ensure each program is affordable throughout its lifecycle • Consider program cancellation or restructure at every decision point if lifecycle affordability cannot be demonstrated • Establish/update program strategy/acquisition approach to ensure that each program is affordable and executable over its lifecycle <ul style="list-style-type: none"> ◦ Establish and monitor program specific affordability constraints and tools ◦ Ensure program documentation reflects approved affordability trade space, constraints, and use of appropriate affordability techniques
PMs <i>Note: Where a PM serves as MDA/PDA then the PM may delegate appropriate responsibilities to the Tier-0 IPT or PdM as appropriate</i>	<ul style="list-style-type: none"> • Team with all stakeholders to ensure updated affordability results are reflected in the budget/POM processes as well as program documentation • Immediately surface issues to MDA/PDA and appropriate Command leadership with regards to program affordability • Document and monitor status of affordability for each assigned program and pre-MDD Initiative and report results to MDA/PDA on a regular basis <ul style="list-style-type: none"> ◦ Recommend trade-offs to address affordability to include SE tradeoffs in support of CDD Validation • Ensure Product Managers (PdMs) address affordability in all program execution plans • Contact HQMC PA&E at least 3-6 months prior to Milestone Decision

Enclosure (j). Affordability Roles and Responsibilities

List of Affordability Stakeholder Roles and Responsibilities	
Who	What
Competency Directors (CDs)	<ul style="list-style-type: none"> • Support the conduct of affordability analyses within respective organization • Advise the PM/MDA/PDA/COMMARCORSYSCOM regarding program affordability and appropriate trade-offs at each MS, Program Manager Review (PMR) or MDA/PDA decision point
DC SIAT	<ul style="list-style-type: none"> • Conduct early systems engineering analyses and assessments of how the proposed candidate materiel solution approaches are technically feasible • Conduct trade-off analysis, informed by and in support of the AoA, to support selection of a preferred materiel solution and development of the CDD
AC PROG	<ul style="list-style-type: none"> • Establish and monitor/update MCSC affordability policy aligned with BBP and Higher Headquarters guidance • Provide COMMARCORSYSCOM regular risk-informed updates with respect to affordability metrics and enterprise trends • Communicate with other CDs and stakeholders to ensure alignment of organizational policies and procedures • Communicate with external organizations WRT affordability matters on behalf of COMMARCORSYSCOM • Surface unresolved issues to COMMARCORSYSCOM
AC PROG/RTT	<ul style="list-style-type: none"> • Ensure affordability is addressed within Requirement Transition Process (RTP) policy and procedures • Work with external organizations to ensure requirements packages and subsequent updates address affordability per Section 2.1
Tier-0 IPT/MAT	<ul style="list-style-type: none"> • Participate in Requirement Transition Team (RTT), Milestone Assessment Team (MAT) and other affordability reviews • Ensure respective CDs are fully informed WRT affordability for each specific program and pre-MDD initiatives to include trade-offs, mitigation strategies, and associated risks • Support the PM and MDA/PDA in execution of all assigned responsibilities to include timely review and update of affordability constraints and framework • Propose affordability tools and strategies for PM/MDA/PDA consideration and ensure they are documented appropriately

Enclosure (k). Rapid Cyber Acquisition Process Flowchart



Enclosure (k). Rapid Cyber Acquisition Process

Detailed Rapid Cyber Acquisition Process Flowchart steps

(All days are calendar days and are listed as
(Emergency/Urgent))

1.0 Acquisition Strategy: (2 Days)/(30 Days)

1.1 Requirement Acceptance & Assignment

Description: Emergency or Urgent: RTT formally accepts the requirement (Emergency or Urgent) and recommends the project lead, Cyber Acquisition Team (CAT) for Emergency and PMO for Urgent.

Output: AC PROG will assign the project lead (CAT/PMO). The assigned project lead drafts an ADM, provides to AC PROG for concurrence and receives approval from the MDA (if the PMO is not the MDA).

2.0 Acquisition Planning: (2 Days)/(30 Days)

2.1 Confirm Project Staffing

Description: Emergency or Urgent

Emergency: IPT member names are finalized and members are expected to be dedicated full time until the project is complete.

Output: Staffing roster.

Urgent: PMO - For the 180 day duration, IPT member names and Level of Effort (LOE) for each will be identified and personnel are expected to be available as needed. Interaction of the CAT after this point is limited.

Output: Staffing roster.

2.2 Develop POA&M

Description: Emergency or Urgent

Emergency: The CAT will analyze the Urgent Statement of Need (USON) to derive materiel requirements as needed. The POA&M will include key events and dates.

Output: POA&M.

Urgent: The PMO develops a POA&M. The PMO Team will analyze the USON; derive requirements tracing to USON; identify the resources needed to support the Urgent requirement across the life cycle, and develop assumptions and risks.

Output: POA&M, identification of resources, and commitment of funding.

2.3 Develop AS/AP

Description: Emergency or Urgent: Acquisition Strategy /Acquisition Plan (AS/AP): The lead develops an AS/AP in order to integrate the efforts of all personnel responsible for significant aspects of the acquisition and to ensure that Cyber Emergency and Cyber Urgent requirements are met in the most effective, economical, and timely manner (Marine Corps Programming Code (MCPC)), types of appropriation, limits), contracting strategy, fielding strategy, external dependencies to include customer involvement, testing strategy, assumptions, and risks.

Output: Develop a high level AS/AP plan and brief MDA/PDA.

2.4 Generate Attachments/Approvals for PR-Builder

Description: Emergency or Urgent: Based on the AS/AP, develop documents to satisfy PR-Builder requirements. Obtain any document or approval waivers that may be required.

Output: Required PR-Builder documents.

2.4.1 Information Technology Procurement Request Review and Approval System (ITPRAS) Submission / Approval

Description: Emergency or Urgent: Obtain ITPRAS approval to satisfy PR-Builder documentation requirements in 2.4.

Output: ITPRAS approval.

2.5 Develop RFP/Delivery Order/Task Order

Description: Emergency or Urgent: The perspective for Emergency solicitation is the amount of time the team is allowed to spend developing the details. The information needed is the same. Limited detail injects program and contracting risk and may drive the need for more schedule, greater costs, and reduced performance as well as a need to use Time and Material (T&M) and cost reimbursement contracts vs Firm Fixed Price (FFP).

Develop Solicitation - In this series of activities, the requirements are given sufficient technical and/or performance detail to release, evaluate, and award contract(s) to meet the requirement. The sub-processes are expected to be worked in parallel or concurrently.

Scope - Hardware, software, licenses, services, or a combination. In accordance with the Cyber Security Strategy (CSS), develop specifications

to ensure all components needed to meet the requirement.

Hardware - Specify form, fit, function, and any technology/technical constraints, e.g., network interface cards, transport configurations, processing speed, etc.

Software/Licenses - Specify functional requirements as well as technical parameters/constraints needed to meet the requirements, e.g., compatibility with existing operating system or software tools that will provide data.

Services - Detail contractor performance requirements and Quality Assurance Surveillance Plan (QASP), including technical expertise, tasks (as applicable), and written and/or electronic deliverables.

Output: Functional and technical specifications, Independent Government Cost Estimate (IGCE), Statement of Objective (SOO)/Statement of Work (SOW)/Performance Work Statement (PWS), and QASP.

3.0 Contract Actions: (17 Days)/(60 Days)

3.1 MCSC Direct Acquisition? (Decision)

Description: Emergency or Urgent: Determine if MCSC contracts or other agency will be performing the contracting actions.

Output: Decision to assign MCSC contracting responsibility or outsource to external agency.

3.2 Document Justification

Description: Emergency or Urgent: Document the decision in 3.1 that what we need to buy will be done by an outsourced contracting agency (Assisted Acquisition).

Output: Decision memorandum (external contracting waiver, if applicable).

3.3. Outsource Contracting (Assisted Acquisition)

Description: Emergency or Urgent: Outsourced contracting agency is assigned.

Output: Support request to external contracting agency.

3.4 Specific Brand/Vendor? (Decision)

Description: Emergency or Urgent: Determine if the materiel solution is required to be vendor or brand specific.

Output: Decision validating specific brand name requirement or open solution.

3.5 Compete on GWAC/MAC Contract

Description: Emergency or Urgent: If materiel solution is open competition, compete on Government Wide Acquisition Contract (GWAC)/Multiple Agency Contract (MAC).

Output: Competitively awarded RFP, see 2.5.

3.6 Document Justification

Description: Emergency or Urgent: Document decision to use specific brand or vendor.

Output: Document decision in the AS/AP.

3.7 Sole Source? (Decision)

Description: Emergency or Urgent: If Emergency, may have to accept less than desired pricing. If Urgent, a conventional pricing negotiation strategy can be used.

Output: A sole source decision.

3.8 Execute Sole Source on Existing Contract

Description: Emergency or Urgent: Use existing contract to execute sole source procurement.

Output: A delivery order.

3.9 Award Work on Contract

Description: Emergency or Urgent: Award contract based on procurement decision adopted.

Output: Award contract.

4.0 Acquisition and Testing: (11 Days)/(90 Days)

4.1 Determine Test Requirement Category (Decision)

Description: Emergency and Urgent: Determine the test category for the procured materiel solution (if service/licenses only, see 5.2. If software, see 4.3. If hardware, see 4.2).

Output: Follow appropriate test procedures associated with each category as depicted in the flow chart.

Enclosure (k). Rapid Cyber Acquisition Process

4.2 Receive Hardware from Staging Warehouse

Description: Emergency or Urgent: Receive hardware from Enterprise Staging Activity.

Output: Receive materiel solution for testing or fielding.

4.3 Testing Required? (Decision)

Description: Emergency or Urgent: Determine if integration testing is required. If testing is required, see 4.4. Otherwise, see 5.1.

Output: Integration testing decision.

4.4 Test in Development Environment

Description: Emergency or Urgent: Product will be installed in a government testable environment (e.g. IA Range, MCEITS Zone A) and integration testing performed according to a test plan aligned to the original USON and its derived requirements.

Output: Initial Government Integration Test Report.

4.5 Configuration/Integration Required? (Decision)

Description: Emergency or Urgent: If configuration/integration testing is required in the production environment, see 4.6. Otherwise, see 4.8. The fielding strategy should be updated.

Output: Test decision. If yes, request Interim Authority to Test (IATT). If no, request an Authority to Operate (ATO).

4.6 Provide Interim Authorization to Test

Description: Emergency or Urgent: HQMC C4 provides IATT.

Output: HQMC C4 provide IATT.

4.7 Test in Government Environment

Description: Emergency or Urgent: The capability will be installed and configured in a live environment and external connections and users enabled as authorized in the IATT. Baseline configuration is locked and placed under formal configuration management.

Output: Production environment Test Report.

4.8 Provide Authorization to Operate (ATO)

Description: Emergency or Urgent: HQMC C4, upon the system successfully satisfying Cyber requirements, provides ATO.

Output: HQMC C4 provide ATO.

5.0 Fielding

5.1 Obtain Fielding Authorization from MDA/PDA

Description: Emergency or Urgent

Emergency: Approval to field an Emergency requirement is delegated to the CAT from the MDA.

Output: Decision memorandum with authority to field.

Urgent: Approval of a Fielding Plan is delegated at least to the PM, and to the PdM wherever possible, who has oversight of the Program to which the requirement is aligned. Development of the fielding plan occurs throughout the process as information becomes available. Review and signature of a Fielding Plan constitutes a fielding decision and no additional briefings should be required.

Output: Decision memorandum with authority to field.

5.2 Field to User

Description: Field to user in accordance with the fielding plan.

Output: Delivery of equipment/capability to user community.

Enclosure (1). Glossary

Please see the [DAU Glossary](#) for a more extensive listing of acronyms.

Acronym	Referenced Phrase
AAO	Approved Acquisition Objective
AAP	Abbreviated Acquisition Program
AAR	After Action Review
AC ALPS	Assistant Commander, Acquisition Logistics & Product Support
AC Contacts	Assistant Commander, Contracts
AC PROG	Assistant Commander, Programs
ACPROG	Assistant Commander, Programs (organization)
ACPROG C&AB	Assistant Commander, Programs Cost & Analysis Branch
ACAT	Acquisition Category
ACC	Acquisition Community Connection
ADM	Acquisition Decision Memorandum
AoA	Analysis of Alternatives
AP	Acquisition Plan
APB	Acquisition Program Baseline
APH	Acquisition Procedures Handbook
APL	Acquisition Policy Letter
APM	Assistant Program Manager
APM-CT	Assistant Program Manager - Contracts
APM-E	Assistant Program Manager - Engineering
APM-FM	Assistant Program Manager - Financial Management
APM-ICL	Assistant Program Manager - Life Cycle Logistics
APM-PM	Assistant Program Manager - Program Management
APUC	Average Procurement Unit Cost
AS	Acquisition Strategy
ASN RDA	Assistant Secretary of the Navy for Research, Development, and Acquisition
ASN RDAIS	Assistant Secretary of the Navy Research Development &

Acronym	Referenced Phrase
	Acquisition Information System
ATC	Authority-to-Connect
ATO	Authority to Operate
BBP	Better Buying Power
BCL	Business Capability Lifecycle
BEA	Business Enterprise Architecture
BY	Base Year
C/S/P	Cost/Schedule/Performance
C4	Command, Control, Communications, and Computers
CA	Certification Authority
CAM	Commodity Acquisition Management
CAO	Competency Aligned Organization
CARD	Cost Analysis Requirements Description
CAT	Cyber Acquisition Team
CCA	Clinger-Cohen Act
CD	Competency Director
CD&I	Combat Development & Integration
CDD	Capability Development Document
CDR-A	Critical Design Review Assessment
CI	Component Item
CI	Configuration Item
C-IMS	Contract-Integrated Master Schedule
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CLIN	Contract Line Item Number
CM	Configuration Management
CMC	Commandant of the Marine Corps
COA	Course of Action
COE	Concept of Employment
COMMARCORSYSCOM	Commander, Marine Corps Systems Command
CONOPS	Concept of Operations

Acronym	Referenced Phrase
CPD	Capability Production Document
CRM	Comment Resolution Matrix
CSPS	Command, Staffing, Planning, and Strategies
CTO	Certification-to-Operate
DAA	Designating Accrediting Authority
DAG	Defense Acquisition Guidebook
DAP	Defense Acquisition Portal
DASN	Deputy Assistant Secretary of the Navy
DAU	Defense Acquisition University
DBS	Defense Business Systems
DBSMC	Defense Business Systems Management Council
DC CD&I	Deputy Commandant, Combat Development & Integration
DC RM	Deputy Commander, Resource Management
DC SIAT	Deputy Commander, Systems Engineering, Interoperability, Architectures, & Technology
DFM	Director, Financial Management
DM	Decision Memorandum
DoD	Department of Defense
DoDD	Department of Defense Directive
DoDI	Department of Defense Instruction
DON	Department of the Navy
DT	Developmental Testing
EA	Evolutionary Acquisition
ECP	Engineering Change Proposal
ED	Executive Director
EMD	Engineering and Manufacturing Development
ESOH	Environment, Safety & Occupational Health
EVM	Earned Value Management
FAQ	Frequently Asked Question
FD	Full Deployment
FDD	Full Deployment Decision

Acronym	Referenced Phrase
FOC	Full Operational Capability
FRP DR	Full Rate Production Decision Review
FYDP	Future Years Defense Program
GAO	General Accounting Office
GO	General Officer
GWAC	Government Wide Acquisition Contract
HQMC	Headquarters, Marine Corps
HW	Hardware
I&L	Installations and Logistics
IA	Information Assurance
IATC	Interim Authority-to-Connect
IATO	Interim Authority-to-Operate
IATT	Interim Authority-to-Test
IBR	Integrated Baseline Review
ICD	Initial Capabilities Document
ICTO	Interim Certification-to-Operate
IGS	Integrated Government Schedule
ILA	Independent Logistics Assessment
IMD	Intelligence Mission Data
IMP	Integrated Master Plan
IMS	Integrated Master Schedule
IOC	Initial Operational Capability
IPA	Independent Program Assessment
IPMR DID	Integrated Program Management Report Data Item Description
IPPD	Integrated Product and Process Development
IPMT	Integrated Program Management Team
IPT	Integrated Product Team
IRB	Investment Review Board
ISP	Information Support Plan
IT	Information Technology

Acronym	Referenced Phrase
ITPRAS	Information Technology Procurement Request Review and Approval System
JCIDS	Joint Capabilities Integration and Development System
JIC	Joint Interoperability Certification
JITC	Joint Interoperability Test Command
KBA	Knowledge Based Acquisition
KPP	Key Performance Parameter
LCCE	Life Cycle Cost Estimate
LD	Limited Deployment
LDD	Limited Deployment Decision
LMDP	Lifecycle Mission Data Plan
LOA	Letter of Agreement
LOC	Letter of Clarification
LOE	Level of Effort
LOGCOM	Logistics Command
LRIP	Low Rate Initial Production
LSSP	Life Cycle Signature Support Plan
M	Monitor
M&RA	Manpower and Reserve Affairs
MAC	Multiple Agency Contract
MAG	MCSC Acquisition Guidebook
MAGTF	Marine Air Ground Task Force
MAIL	MCSC Acquisition Information Letter
MAP	MCSC Acquisition Portal
MCSC	Marine Corps Systems Command
MARCORSYSCOMO	Marine Corps Systems Command Order
MAT	Milestone Assessment Team
MC	Mission-Critical
MCBEO	Marine Corps Business Enterprise Office
MCEIP	Marine Corps Enterprise Integration Plan
MCLC	Marine Corps Logistics Command

Acronym	Referenced Phrase
MCO	Marine Corps Order
MCOTEA	Marine Corps Operational Test & Evaluation Activity
MCPC	Marine Corps Program Code
MCSAL	Marine Corps Systems and Applications List
MCTSSA	Marine Corps Tactical Systems Support Activity
MDA	Milestone Decision Authority
MDD	Materiel Development Decision
MDP	Milestone Decision Process
ME	Mission-Essential
MFR	Memorandum for the Record
MILCON	Military Construction
MIL-STD	Military Standard
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MPT	Manpower, Personnel and Training
MS	Milestone
NR-KPP	Net Ready Key Performance Parameter
NSS	National Security System
O&M	Operations & Maintenance
O&O	Operational and Organizational
O&S	Operations and Support
OA	Operating Agreement
OBS	Organizational Breakdown Structure
OMB	Office of Management and Budget
OPS	Operations
ORD	Operational Requirements Document
OSD	Office of Secretary of Defense
OT&E	Operational Test & Evaluation
OTA	Operational Test Agency
P-Spec	Performance Spec

Acronym	Referenced Phrase
P3I	Pre-Planned Product Improvement
P&D	Production and Deployment
P&R	Programs and Resources
PA&E	Program Analysis and Evaluation
PAUC	Program Acquisition Unit Cost
PCA	Pre-Certification Authority
PCG	POM Coordinating Group
PCO	Procurement Contracting Officer
PDA	Program Decision Authority
PdM	Product Manager
PDR-A	Preliminary Design Review Assessment
PEB	Program Evaluation Board
PEI	Principle End Item
PEO LS	Program Executive Officer Land Systems
PESHE	Programmatic Environment Safety & Occupational Health Evaluation
PID	Project Initiating Directive
PIR	Post Implementation Review
PLCCE	Program Life-Cycle Cost Estimate
PM	Program Manager
PMB	Performance Measurement Baseline
PMC	Procurement Marine Corps
PMM	Program Manager Marine
PMO	Program Management Office
PMR	Program Management Review
PO	Project Officer
POA&M	Plan of Action and Milestones
POE	Program Office Estimate
POM	Program Objective Memorandum
PoPS	Probability of Program Success
POR	Program of Record (Limit usage to refer to budgetary

Acronym	Referenced Phrase
	status only)
PPBE	Planning, Programming, Budgeting, and Execution
PP&O	Plans, Policies and Operations
PPP	Program Protection Plan
PTL	Project Team Leaders
RA	Requirements Authority
R&D	Research & Development
RDAIS	Research Development & Acquisition Information System
RDT&E	Research, Development, Test and Evaluation
RFP	Request for Proposal
RMB	Risk Management Board
RMP	Risk Management Plan
RTO	Requirements Transition Officer
RTP	Requirements Transition Process
RTT	Requirements Transition Team
SDS	System Design Specification
SE	Support Equipment
SECNAVINST	Secretary of the Navy Instruction
SEP	Systems Engineering Plan
SES	Senior Executive Service
SETR	Systems Engineering Technical Review
SI	Support Item
SIAT	Systems Engineering, Interoperability, Architectures, and Technology
SME	Subject Matter Expert
SON	Statement of Need
SOW	Statement of Work
SRB	Solution Recommendation Brief
SW	Software
SYSCOM	Systems Command
T	Test

Acronym	Referenced Phrase
TAMCN	Table of Material Control Number
T&E	Test and Evaluation
TD	Technology Development
TECOM	Training and Education Command
TEMP	Test and Evaluation Master Plan
TFSMS	Total Force Structure Management System
TIPS	TOPIC In-Production Schedule
T&M	Time and Material
TMRR	Technology Maturation and Risk Reduction
TOC	Total Ownership Cost
TOPIC	The Online Project Information Center
T-POM	Tentative POM
TRL	Technology Readiness Level
TY	Then Year
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, Logistics
UNP	Urgent Needs Process
USMC	United States Marine Corps
USON	Urgent Statement of Need
UUNS	Urgent Universal Needs Statement
WBS	Work Breakdown Structure
WIPT	Working Integrated Product Team
WMD	Workforce Management and Development
WRT	With Respect To

Template (a) ACAT Change Request

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

Sample ACAT Designation and Delegation Request (ACAT III & IV) (includes ACAT Change Request Instructions)

The memorandum requesting an Acquisition Category (ACAT) III or IV designation for a weapon system or requesting a change in ACAT designation shall be prepared by the Product Manager (PdM) and sent to the COMMARCORSYSCOM via the Program Manager (PM) and Assistant Commander, Programs (ACPROG) and shall contain the following information:

From: PdM
To: COMMARCORSYSCOM
Via: (1) PM
(2) ACPROG

Subj: ACAT DESIGNATION REQUEST FOR (Program Name)

Ref: (a) SECNAVINST 5000.2E

Encl: (1) MCOTEA Concurrence Letter (this is required only for ACAT IV(M) designation requests)
(2) Requirements Document e.g. Statement of Need, Capability Development Document, etc. (this may be provided as a reference if quite lengthy)
(3) PoPS Summary Chart for the proposed next milestone and key acquisition event

1. Acquisition program short and long title.
2. Prospective claimant/COMMARCORSYSCOM or PM/PdM.
3. Program description. (Provide a brief description of the program, including its mission).
4. Prospective funding:
 - a. Appropriation (APPN):[repeat for each appropriation]
 - (1) [Repeat for each program element (PE/Line Item (LI)/sub-project (Sub)]

- Program Element (No./Title):
- Project Number/Line Item (No./Title):

- Sub-project/Line Item (No./Title):
- Dollars: (\$000)

APPN		FY	FY	FY	FY	FY	FY	To Complete	Total
	Required								
	Budget								
	Delta								

5. A reference to, or a copy of, the validated requirement for the program. The requirement must be validated by the appropriate requirements organization (typically CD&I, or other organization like PP&O or C4 for IT programs).

6. Summary of testing planned or already conducted on the program. For ACAT IV(M) designation requests, the planned DT summary should be detailed enough to provide the MDA visibility into the scope and appropriateness of the PM/PdM's test strategy.

7. Milestone status. PM/PdMs should identify a notional schedule of milestones, key acquisition events and technical reviews. This information will serve as a "notional" program schedule until such time as the program office can formalize the C/S/P metrics identified in an approved APB Section B.

8. Recommended ACAT assignment, or change, and rationale, as described in Chapter 5 of the MAG.

9. Recommended delegation strategy. This may include a recommendation that MDA be delegated from COMMARCORSYSCOM to the PM for ACAT IVs. Rationale should be provided for any such delegation request as described in Chapter 5.4 of the MAG.

SIGNATURE

Copy to:
 HQMC (DC, CD&I, key stakeholders such as HQMC C4, PP&O, etc.)
 Dir, MCOTEA

Template (b) Acquisition Decision Memorandum

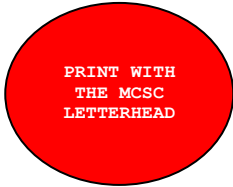
Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

MCSC ADM Template Key Features

- Establishes a disciplined and repeatable process across MCSC.
- Provides mandatory guidance relative to content and structure of MCSC Acquisition Decision Memorandums (ADMs). This ensures compliance with DoDI 5000.02, as well as ASN and USD AT&L policy to include Better Buying Power (BBP).
- Applies to all MCSC ACAT programs and pre-ACAT efforts including those delegated to the Program Manager as well as efforts where COMMARCORSYSCOM has retained Milestone Decision Authority (MDA).
- Consists of two parts:
 - The "basic" ADM template with instructions applicable to all Milestone (MS)/Key Acquisition Events (KAEs).
 - A mandatory ADM checklist which includes additional required content for each specific MS/KAЕ.
- Enables program specific tailoring. The specific content of each ADM will vary based upon the decision requested, and the unique aspects of each individual program. However, all ADMs must comply with the overarching content and structure guidelines established by the ADM template. In the case of ACAT designation or MDA delegation, the template may be tailored appropriately.
- A separate template for AAP designation is provided in the MAG.
- Ensures integrated participation of all competencies in the development and review of ADM content. (Note: The Tier-0 IPT is required to review all ADMs before forwarding to MDA.)

Note: A draft ADM may be presented at the MDA review, the final version should be submitted for MDA signature within five working days of the MDA review.

The ADM template is NOT format guide. Consult your Administrative Officer and the Naval Correspondence Manual for additional formatting guidance.



[Insert SSIC]
[Insert Serial#]
[Space for date]

DECISION MEMORANDUM

From: Commander

To: [Insert Title of Receiving Official. If text continues to the next line, then make it flush with the text above it.]

Subj: ACQUISITION DECISION MEMORANDUM FOR THE [INSERT PROGRAM NAME]

Ref: (a) SECNAVINST 5000.2E [Insert applicable references; Examples provided]
(b) MCSC Acquisition Guidebook (MAG)
(c) ACPROG Memo XXXX Ser XXXX of XX Jul XX [List prior ADMS]
(d) MDA Meeting XXXX of XX Jul XX [Reference MDA meetings]
(e) PoPS Core Briefing Charts of XX Jul XX [Reference PoPS Core Briefing Charts or other program documentation that supports the decision]
(f) MCO 5311.1D

Encl: (1) [Insert Title of Material Enclosed, if applicable]

1. Purpose and Decisions. Briefly describe the following:

a. Decision granted such as Milestone (MS) decision, Acquisition Category designation, delegation of Milestone Decision Authority (MDA), etc.

b. Next MS/Key Acquisition Event (KAE) and the applicable Probability of Program Success (PoPS) gate.

c. Next MDA review point if this will occur prior to the next MS/KAE. For example, specify if the MDA will conduct an interim PoPS program review before the next MS review.

d. Target timeframe for the next MS/KAE or MDA review. Note that these decisions/reviews are event driven. However, it is important to specify notional desired timelines to ensure MDA visibility into any substantial delays and that the effort is being executed within a reasonable timeframe.

e. Reference previous Acquisition Decision Memorandums (ADMs) and MDA guidance and indicate if they are still applicable, partially updated, or cancelled/superseded.

Subj: ACQUISITION DECISION MEMORANDUM FOR THE [INSERT PROGRAM NAME]

f. The "get well" plan to restructure a program that is not in compliance with Cost, Schedule, and Performance targets/Acquisition Program Baseline thresholds with associated metrics if applicable.

g. Any revisions to program strategy to address critical risks or issues as required.

2. Exit Criteria. List the MDA assigned exit criteria that must be met prior to the next MS/KAE. See [Chapter 2.6](#) for guidance relative to exit criteria.

3. Tailoring Strategy. Summarize the program tailoring strategy per [Chapter 7.4](#). The documentation, reviews, and events for each program should be the minimum necessary to ensure effective and disciplined program execution. Once the MDA has approved the tailoring strategy, it does not need to be repeated in subsequent ADMs; you may reference the ADM in which the MDA approved the strategy. The tailoring strategy typically includes the following:

a. Required Documentation/Functional Reviews. Functional reviews include engineering, test, logistics, etc. Include rationale for tailoring out or streamlining specific program documents and reviews. Document tailoring may include delegation of signatory authority, reduction of content, as well as the elimination of certain documents. Attach the MDA approved list of tailored documents and reviews to the ADM.

b. MS/Acquisition Approach. Summarize the recommended program milestones and rationale for tailoring out specific MS/KAEs.

c. Point of Program Initiation. Identify the point of program initiation (e.g., the MS at which the effort formally enters the DoDI 5000.02 acquisition framework). See [Chapter 2.6](#) for guidance.

4. Action Items

a. List all actions assigned by the MDA. Include target resolution date and responsible parties. These may be included as an enclosure to the ADM.

b. Note: The Assistant Program Manager for Program Management (APM-PM) will monitor the status of all assigned action items and provide the MDA with updated status at each MDA review.

5. Discussion and Additional Guidance

a. Summarize relevant background or key MDA guidance not captured elsewhere in the ADM.

Subj: ACQUISITION DECISION MEMORANDUM FOR THE [INSERT PROGRAM NAME]

b. Identify and provide rationale for those cases where the MDA is waiving entrance criteria or exit criteria from the previous ADM. See [Chapter 2.6](#) for guidance.

c. Insert Command required narrative. Check with Assistant Commander for Programs (AC PROG) Assessments for assistance with this section if required. Current Command level required narratives are shown below.

***** (1) *If any substantive program issues arise, to include delays in the program's ability to comply with the guidance, timelines, and exit criteria specified in this ADM, return to me immediately for guidance.

(2) Ensure all program information in The Online Project Information Center (TOPIC) is current and accurate.

(3) Coordinate with the Assistant Commander for Acquisition Logistics & Product Support (AC ALPS) to record and maintain program life cycle data, to include schedules and documentation, in TOPIC and the Total Force Structure Management System (TFSMS) per Appendix H in reference (f). Complete these actions and provide the products for review by AC ALPS within 30 days of this ADM. Conduct semi-annual status reviews for applicable Table of Authorized Materiel Control Numbers in TFSMS.

6. Point of Contact. Insert name and contact information of the individual that is responsible for this ADM. This is typically a member of the MDA staff (e.g., APM-PM or AC PROG Assessments).

[Insert name and if appropriate
title of MDA]

Copy to:

[You may add organizations as appropriate]

ASN (RDA)

HQMC (DC CD&I; DC, I&L; DC, P&R; DC, PP&O; DIR, C4)

COMMARCORSYSCOM (RMGT; ACCT; ACPROG; ACPROG TOPIC; ACALPS; SIAT;
PMMXXX; OPS CELL)

Dir, MCOTEA

Event	MCSC ADM CHECKLIST
MDD	<ul style="list-style-type: none"> Establish limit on expenditures during Materiel Solution Analysis Phase Approve AoA study guidance or fulfillment Establish notional program initiation point (e.g., MS B/MS C) Establish affordability goals per Better Buying Power (BBP)
AoA	<ul style="list-style-type: none"> Approve AoA preferred alternative Establish point of program initiation (e.g., MS B/MS C) Update affordability goals per BBP
MS A	<ul style="list-style-type: none"> Approve entry into Technology Development (TD) Phase Establish point of program initiation (e.g., MS B/MS C) Confirm/Update affordability goals per BBP
RFP release*	<ul style="list-style-type: none"> Approve RFP release
MS B*	<ul style="list-style-type: none"> Approve RFP release and entry into EMD Phase Authorize Program Initiation & establish LRIP quantities or Limited Deployment (LD) strategy if applicable
PDR-A*	<ul style="list-style-type: none"> Approve PDR report & direct C/S/P trades required to meet APB objectives
MS C* MS C/LRIP* MS C/LD*	<ul style="list-style-type: none"> Authorize Program Initiation, LRIP quantities/LD strategy, & criteria & timing for FRP/Full Deployment (FD) if applicable Authorize entry into P&D Phase Establish Post Implementation Review (PIR) & fielding strategies
MS C/FRP* MS C/FD*	<ul style="list-style-type: none"> Approve PIR Strategy Authorize FRP or FD Establish and approve fielding strategy
FRP* FD*	<ul style="list-style-type: none"> Authorize FRP or FD and Fielding Establish PIR Frequency
Sustainment*	<ul style="list-style-type: none"> Establish PIR report date and disposal strategy Determine frequency of MDA reviews and transition of MDA as applicable

*The following is required for all ADMs from RFP Release through Sustainment.

- Establish full funding strategy if not fully funded over the FYDP per Chapter 2.
- ACAT Designation and Delegation of MDA per MAG Chapter 5. Note: ADMs which include ACAT designations must be supported by the information specified in MAG Enclosures (f) and (g).
- Insert the program information into the ASN RDA DASHBOARD within 10 working days of the date of this memo for ACAT III and IV programs only.
- Specify affordability caps per [MAG Chapter 7.3](#), [BBP 2.0](#), [5 Aug 13 USD AT&L Memorandum "Recording and Tracking Affordability Constraints..."](#) and [Defense Acquisition Guidebook \(DAG\) Chapter 3.2](#).
- Summarize actions required (if applicable) to achieve the program outcomes specified in the APB to include affordability caps.

All acronyms can be found in [DAU Glossary](#)

Template (c) Acquisition Program Baseline (APB)

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

PROGRAM NAME

(Indicate what Milestone this APB is prepared for, or identify the Revision # as a result of breach)



Date

Prepared by:

Program Manager/Product Manager

Program Name

Program Management Office Name

For Official Use Only

ACQUISITION PROGRAM BASELINE

We intend to manage the program within programmatic, scheduling, and budgetary constraints identified in this baseline. The Government agrees to support the program within material and personnel resources within the context of the Planning, Programming, Budgeting, and Execution (PPBE) cycle.

This baseline document is a summary and does not provide detailed information on cost, performance, or schedule. However, it does provide a baseline of key performance, schedule, and cost parameters that form the basis for meeting specific mission needs.

Program Manager
Marine Corps Systems Command

Date

Capabilities Development Directorate
Marine Corps Combat Development Command

Date

MDA Approval

Commander
Marine Corps Systems Command

Date

Executive Summary:

In this section the Program Manager (PM)/Product Manager (PdM) will provide a description of the program. Program description should include a detailed description of the program in terms of capability the system(s) are providing. Description should also include an overview of the program strategy to include addressing any Incremental or Evolutionary approaches. As such, the enclosed Sections A, B, and C must reflect, if applicable, the incremental approach by providing Cost/Schedule/Performance metrics for each Incremental release. The same is true for any changes to the APB resulting from a program breach.

If a change is required to the APB, all changes need to be identified and included as part of the Section A, B, and C exhibits as a separate column. Each column should be properly identified to reflect the Incremental/Evolutionary approach, or any changes made throughout the lifecycle of the program.

Furthermore, this section should include a brief description of any changes to the APB, or reasons the enclosed document is being staffed for revision/approval (e.g. Milestone decision, program deviation, re-defined/increased AAO, etc.)

Section A: Performance

**MS B
Proposed Baseline**

<u>Attribute:</u>	<u>Objective</u>	<u>Threshold</u>
Length	20ft	25ft
Weight	50,000lbs	65,000lbs
Range	2500k	1800k
MTBF	100hrs	110hrs

Performance. The total number of performance parameters should be the minimum number needed to characterize the major drivers of operational performance. Performance parameters should include the key performance parameters identified in the capability needs document(s) (i.e., CDD and CPD), and the values and meanings of thresholds and objectives should be consistent. (See also CJCS Instruction 3170.01G.) The number and specificity of performance parameters may change over time. Early in a program, the APB should reflect broadly defined, operational-level measures of effectiveness or measures of performance to describe needed capabilities. As a program matures, system-level requirements become better defined.

Section B: Schedule

**MS B
Proposed Baseline**

<u>Event:</u>	<u>Objective</u>	<u>Threshold</u>
Milestone B	Jun 2011	Dec 2011
PDR	Feb 2012	Apr 2012
CDR	Apr 2012	Aug 2012
IOT&E	Oct 2012	Feb 2013
MS C/LRIP	Jun 2013	Dec 2013
FRP	Dec 2013	Jun 2014
Fielding	Feb 2014	Aug 2014
IOC	Dec 2014	Feb 2015
FOC	Jul 2015	Oct 2015

The above events are notional and can be combined at the discretion of the MDA. Furthermore, the MDA can direct the PM/PdM to include additional program events if program risk warrants additional oversight.

Note: Objective and Threshold dates are to be provided **only** in the format identified above and should reflect the Month and Calendar Year the event will be accomplished. Standard time allowance between Threshold and Objective is six (6) months. However, the time can be increased at the discretion of the MDA if program risks justify the increased duration. Also, revisions to the APB should be reflected in a new column to the right of the Proposed Baseline and identified as a revision.

Section C: Cost

NOTE: The APB Section C should not be utilized for ACAT level determination. However, if Base Year (BY) values are converted to Constant FY 2000 dollars, this could inform of ACAT level criteria.

Then Year (\$K)	ORIGINAL APB (Date)		UPDATED APB (Date)	
	Objective		Objective	
Item				
Acquisition Cost, RDT&E				
Procurement Cost (Acquisition), (e.g., PMC)				
Acquisition Cost, MILCON				
Acquisition Cost, O&M				
Acquisition Cost, (other Appn as required)				
Acquisition Cost Sub-total				
Other Cost, RDT&E				
Other Cost, Procurement				
Other Cost, MILCON				
Other Cost, O&M				
Other Cost, (other Appn as required)				
Other Cost Sub-total				
Total				
Base Year (BY\$K)				
Item	Objective	Threshold	Objective	Threshold
Acquisition Cost, RDT&E				
Procurement Cost (Acquisition), (e.g., PMC)				
Acquisition Cost, MILCON				
Acquisition Cost, O&M				
Acquisition Cost, (other Appn as required)				
Acquisition Cost Sub-total				
Other Cost, RDT&E				
Other Cost, Procurement				
Other Cost, MILCON				
Other Cost, O&M				
Other Cost, (other Appn as required)				
Other Cost Sub-total				
Total				
Unit Cost (BY20XX \$K)				
Item	Objective	Threshold	Objective	Threshold
Average Procurement Unit Cost (APUC)				
Program Acquisition Unit Cost (PAUC)				
Quantities				
Procurement Quantity				
Program Acquisition Quantity				

Please see next page for notes.

APB Section C Notes:

This template should be used for both weapon and IT/AIS systems, reflect the LCCE, and populated per these notes.

The base year of the APB should be in the year of "program initiation" (normally MS B) and any subsequent APB should also be converted to that same base year as the original APB for comparison. Sunk costs should be included from "program initiation" and further should be defined within the ADM.

Acquisition Cost (RDT&E, MILCON, O&M and other appropriations based on LCCE, excluding procurement) is equal to the sum of the development cost for prime mission equipment, the development cost for support items; and the system-specific facilities cost. These are only costs associated with program initiation through FOC.

Procurement Cost (Acquisition) equals the sum of the procurement cost for prime mission equipment, the procurement cost for support items, and the procurement cost for initial spares. These are only costs associated with program initiation through FOC.

Other Cost (RDT&E, Procurement, MILCON, O&M and other appropriations based on LCCE) is all other costs associated with the respective appropriation beyond FOC and those other costs not associated with any of the Acquisition costs.

Total rows for the objective values, which are in Then Year (TY) adjusted for inflation and Base Year (BY), should reflect the LCCE.

Objective values for each appropriation are derived from the highest total cost of the unadjusted point estimate, median, or mean.

Threshold values for each appropriation are 10% higher than the objective value.

Procurement Quantity is the quantity associated with the procurement costs. This is typically "N/A" for IT/AIS.

Program Acquisition Quantity is the total number of fully configured end items (to include research and development (R&D) units) a DOD component intends to buy through the life of the program, as approved by USD(AT&L). This quantity may extend beyond the FYDP years but shall be consistent with the current approved program. This is typically "N/A" for IT/AIS.

APUC is calculated by dividing the Procurement Costs (Base Year) by the Procurement Quantity row (this item is sometimes referred to Average Unit Procurement Cost (AUPC) and is calculated the same). If the Procurement Quantity is "N/A", then this category is also "N/A".

PAUC is calculated by dividing the Acquisition Costs (Base Year) by the Program Acquisition Quantity row. If the Program Acquisition Quantity is "N/A", then this category is also "N/A".

Section C: Cost (continued)

Cost. Cost figures should reflect realistic cost estimates of the total program and/or increment. Budgeted amounts should never exceed the total cost thresholds (i.e., maximum costs) in the APB. As the program progresses, the PM/PdM can refine procurement costs based on contractor actual (return) costs from Technology Development, Integrated System Design, System Capability and Manufacturing Process Demonstration, and Low-Rate Initial Production.

The APB should contain cost parameters (objectives and thresholds) for major elements of program life cycle costs (or total ownership costs). These elements include:

1. Research, development, test, and evaluation costs
2. Procurement costs (including the logistics cost elements required to implement the approved sustainment strategy)
3. Military construction costs
4. Operations and maintenance (O&M) costs (that support the production and deployment phase, as well as acquisition related (O&M)) if any
5. Total system quantity (to include both fully configured development and production units)
6. Average Procurement Unit Cost defined as total procurement cost divided by total procurement quantity (Note: This item and item 7 below do not usually apply to business information technology systems or other software-intensive systems with no production components)
7. Program Acquisition Unit Cost defined as the total of all acquisition-related appropriations divided by the total quantity of fully configured end items
8. Any other cost objectives established by the Milestone Decision Authority (e.g. Ownership cost)

The cost parameters are presented in both base year and then year dollars. The threshold parameters for cost are only presented in base year dollars.

Template (d) Acquisition Strategy / Acquisition Plan (AS/AP)

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

TECHNOLOGY DEVELOPMENT STRATEGY (TDS)

[or]

**ACQUISITION STRATEGY / ACQUISITION
PLAN (AS/AP)**

FOR

[PROGRAM NAME]

[Sample Outline]

15 September 2011

Version 5, 09/15/2011

PROGRAM NAME

PREPARED BY:

Rank/Title First M. Last Date
Program Manager, *program name,*
PM name, Directorate name, Marine Corps Systems Command

Rank/Title First M. Last Date
Contracting Officer, *Marine Corps Systems Command*

CONCURRENCE :

Date
Rank/Title First M. Last
Director/Program Manger, Product Group name, Marine Corps
Systems Command

NOTE: This signature block is not required for delegated programs where the PGD is the MDA.

APPROVAL :

Rank/Title First M. Last Date
Assistant Commander Contracts, Marine Corps Systems Command

Note 1: Assistant Commander for Contracts signature is required for Acquisitions of \$10 million or more for development; acquisitions for production or services totaling \$50 million or

more for all years or \$25 million or more for any fiscal year; and other acquisitions, as considered appropriate by the agency. Deputy Assistant Secretary of the Navy for Acquisition and Procurement DASN(AP) approves Acquisition Plans over \$100M. For Acquisition Plans over \$100M, the AC Contracts signature block should be changed to "Concurrence". While not a signatory, legal review is also required for all TDS or AS/AP to be signed by AC Contracts and COMMARCORSSYSKOM.

Note 2: For programs where MDA is delegated to the PGD and where Assistant Commander Contracts signature is not required, re-word the title to reflect the Product Group-level Contracting Officer signature as the Chief of Contracting Office.

APPROVAL (continued):

Rank/Title First M. Last	Date
<i>Milestone Decision Authority, [Product Group Name if MDA-delegated program]. Marine Corps Systems Command</i>	

Rank/Title First M. Last	Date
<i>Assistant Secretary of the Navy for Acquisition and Procurement (DASN(AP)) [If Required]</i>	

Note 3: Deputy Assistant Secretary of the Navy for Acquisition and Procurement DASN(AP) approves Acquisition Plans over \$100M. For Acquisition Plans over \$100M, the AC Contracts signature block should be changed to "Concurrence". The signatory block for DASN(AP) can be removed for all Acquisition Strategies or Acquisition Plans under \$100M.

Record of Changes

This outline for developing a Technology Development Strategy (TDS) or Acquisition Strategy / Acquisition Plan (AS/AP) replaces the MC-SAMP guide (version 3) and template (version 4). The terms TDS and AS/AP will be used synonymously throughout the document. The TDS or AS/AP will evolve as the program matures. It is expected that the contents of the TDS or AS/AP will not be complete until the program itself has matured enough to have corresponding documents and applicable coordinated plans and strategies.

The use of the below table will ease and accelerate your TDS or AS/AP reviews. It should be used to document those changes that have occurred since the last version was signed, as well as the last milestone or key acquisition event review.

Date	Revision	Reason for Change	Entered by:

Refer questions concerning this TDS [or] AS/AP to <Enter PM Name or Team Leader Name >, [redacted] Systems, Marine Corps Systems Command, Quantico, VA. (XXX) XXX-XXXX, DSN XXX-XXXX <Your e-mail address>

[Note: Update Table of Contents]

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1. Purpose / Statement of Need. State the reason the program strategy (i.e., the TDS or the AS/AP) is being prepared or updated (e.g., milestone review, full rate production decision, change in strategy, etc.). Include planned (threshold/objective) dates for major milestones and key acquisition events. Include any market research, Requests for Information (RFIs), or Requests for Proposals (RFPs) that have influenced or have been significant drivers in the program strategy. See Federal Acquisition Regulation (FAR) 7.105(b)(21). Reference any previous Acquisition Decision Memorandum (ADM), acquisition board, or internal Service reviews and their associated impact on the program need. See Federal Acquisition Regulation (FAR) 7.105(a)(1), Defense Federal Acquisition Regulation Supplement (DFARS) 207.105(a)(1), and DFAR Procedures, Guidance, and Information (PGI) 207.105(a)(1).

1.1. Historical Summary. Provide a brief summary of the technical and contractual history of the acquisition. Ensure this summary is aligned with and supports Sections 7 and 8 of this document.

1.2. Identification of Participants. List the individuals who participated in preparing the Acquisition Strategy / Acquisition Plan (AS/AP), giving contact information and area of responsibility for each. See FAR 7.105(b)(22).

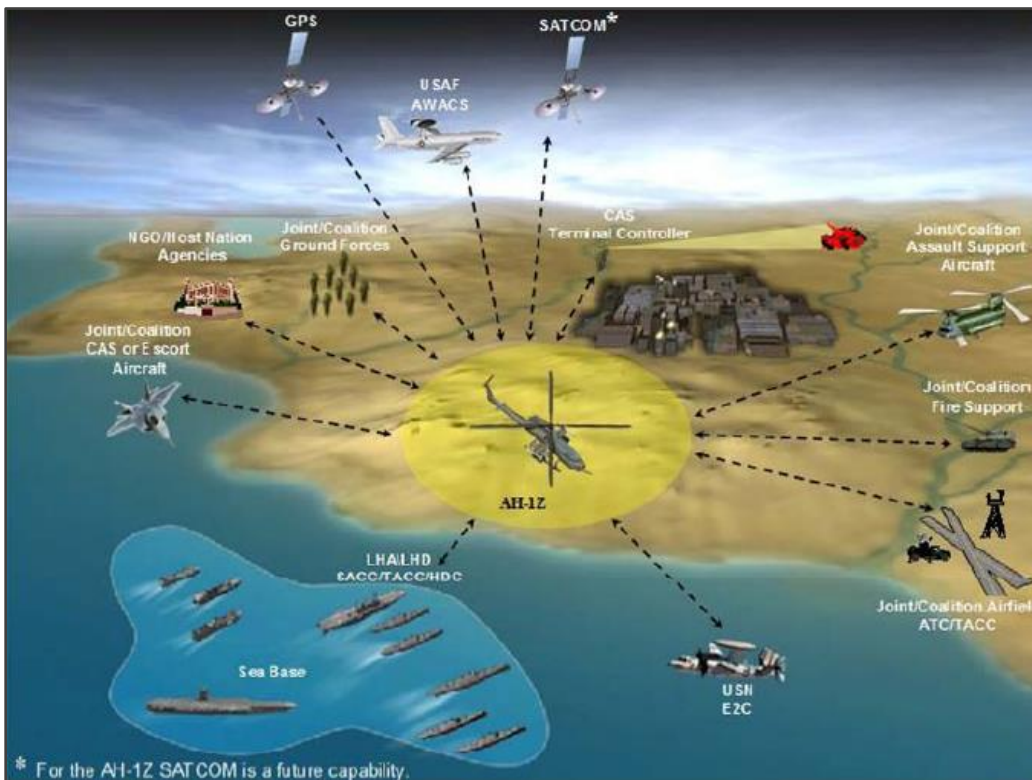
2. Capability Need

2.1. Summarize the requirement. Indicate the key operational and sustainment requirements for this system (i.e., the time-phased capability requirements as described in the Initial Capabilities Document, Capability Development Document, Capability Production Document, Operations and Organization (O&O) concepts, and/or Statement of Need). Provide the name, date, and status (signed, draft, etc) of the capability/requirement documentation referenced in this document in the table below. If the capability/requirement document is in draft, provide an approximate date for signature. Highlight system characteristics driven by interoperability and/or joint integrated architectures, capability areas, and family- or system-of-systems. State all significant conditions affecting the acquisition, such as requirements for compatibility with existing or future systems or programs, and any known cost, schedule, and capability or performance constraints. See FAR 7.105(a)(2) and (a)(4).

Requirements/Source Document	Date of Document	Approval Authority	Status

Table 2-1: Approved Source Document Table

- 2.2. Summarize the expected operational mission of this program. Identify the user and summarize the user's Concept of Operations (CONOPS). Indicate how the program fits into current and future integrated architectures.
- 2.3. Summarize the threat assessment in relation to the capabilities or operational concepts the system will support (see the applicable System Threat Assessment document for details). Specify which elements of the threat (if any) are not yet fully defined, and which elements of the threat (if any) will not currently be countered by the system capabilities or CONOPS. Include a projected plan/schedule to define and counter the remaining threat elements.
- 2.4. If this is a Technology Development Strategy, summarize the Net-Centric Data Strategy, as required by DoD Directive 8320.02. At subsequent milestone decisions, summarize the Net-Centric Data Strategy in the Information Support Plan.
- 2.5. Include an Operational View (OV)-1 Illustration. (See example in Figure 1,



below.)

Figure 1. Example OV-1 Illustration

- 2.6. For Milestone B, provide a reference design concept for the product showing major subsystems and features (one or more drawings as needed to describe or illustrate the expected features of the product; see the example in Figure 2).

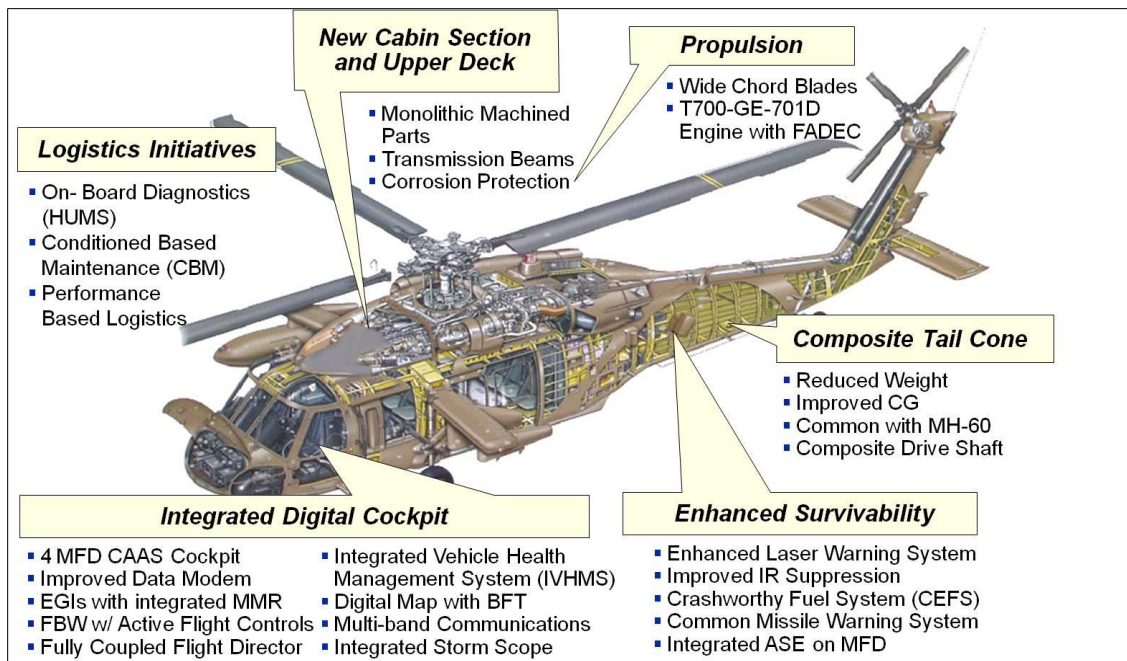


Figure 2. Sample Drawing of the Reference Design Concept

3. Acquisition Approach. Indicate whether the program strategy will be evolutionary or single step to full capability. Note: If this program employs an evolutionary acquisition approach, this strategy will primarily apply to the current increment, while occasionally addressing some topics in the context of the overall program.

- 3.1. If this program employs an evolutionary acquisition approach, summarize the cost, schedule, and performance drivers for the increment under consideration, and the plan to transition from the initial increment to later increments.
- 3.2. Specify any unique program circumstances, such as transitioning from a technology project, selection as a special interest program, etc.
- 3.3. Indicate whether this program will replace an existing system, is a modification to an existing system, or is a new capability.
- 3.4. Indicate whether this is a New Start program. Verify that the appropriate Congressional notifications have been completed for a New Start. (Reference DoD 7000.14-R, *DOD Financial Management Regulation*, Volume 3, Chapter 6 for guidance on new start determinations.)
- 3.5. Indicate whether this is a joint program. If so, specify the joint nature and characteristics of the program. Identify the Service(s) or DoD Components involved, state the key Service-specific technical and operational differences in the end item deliverables, and provide the principal roles and responsibilities of each DoD Component in the management, execution, and funding of the program.

- 3.6.** If this is a Technology Development Strategy, identify the feasible technical approaches for developing the approved materiel solution, the impact of prior acquisitions on those approaches, and any related preceding effort.
- 3.7.** If this strategy supports the Milestone B or C decision, in a table showing quantity per year, indicate the total planned production quantity and provide the LRIP quantity. Summarize the Low-Rate Initial Production (LRIP) plan. If the planned LRIP quantity exceeds ten percent of the total planned production quantity, provide the justification. (Not applicable to software-intensive programs without production components.)
- 3.8.** Acquisition Streamlining. Acquisition Streamlining means any effort that results in more efficient and effective use of resources to design and develop, or produce quality systems. This includes ensuring that only necessary and cost-effective requirements are included, at the most appropriate time in the acquisition cycle, in solicitations and resulting contracts for the design, development, and production of new systems, or for modifications to existing systems that involve redesign of systems or subsystems. Discuss plans and procedures to (i) encourage industry participation by using draft solicitations, pre-solicitation conferences, and other means of stimulating industry involvement during design and development in recommending the most appropriate application and tailoring of contract requirements, (ii) select and tailor only the necessary and cost effective requirements, and (iii) state the timeframe for identifying which of those specifications and standards, originally provided for guidance only, shall become mandatory. See FAR 7.105(a)(8) and DFARS PGI 207.105(a)(8). Additionally, refer to the DAU's Better Buying Power site at <https://acc.dau.mil/bbp> for additional information and guidance.

4. Tailoring

- 4.1.** Consistent with statutory and federal regulatory requirements, the Program Manager (PM) and Milestone Decision Authority (MDA) may tailor the phases and decision points to meet the specific needs of the program. If tailoring is planned, state what is being proposed and why.
- 4.2.** List all requests for either regulatory policy waivers or waivers permitted by statute. Include a table similar to notional Table 1.

WAIVER REQUESTS					
Requirement to Be Waived	Type: Regulatory or Statutory	Granting Authority	Rationale	Required by [date or event]	Status

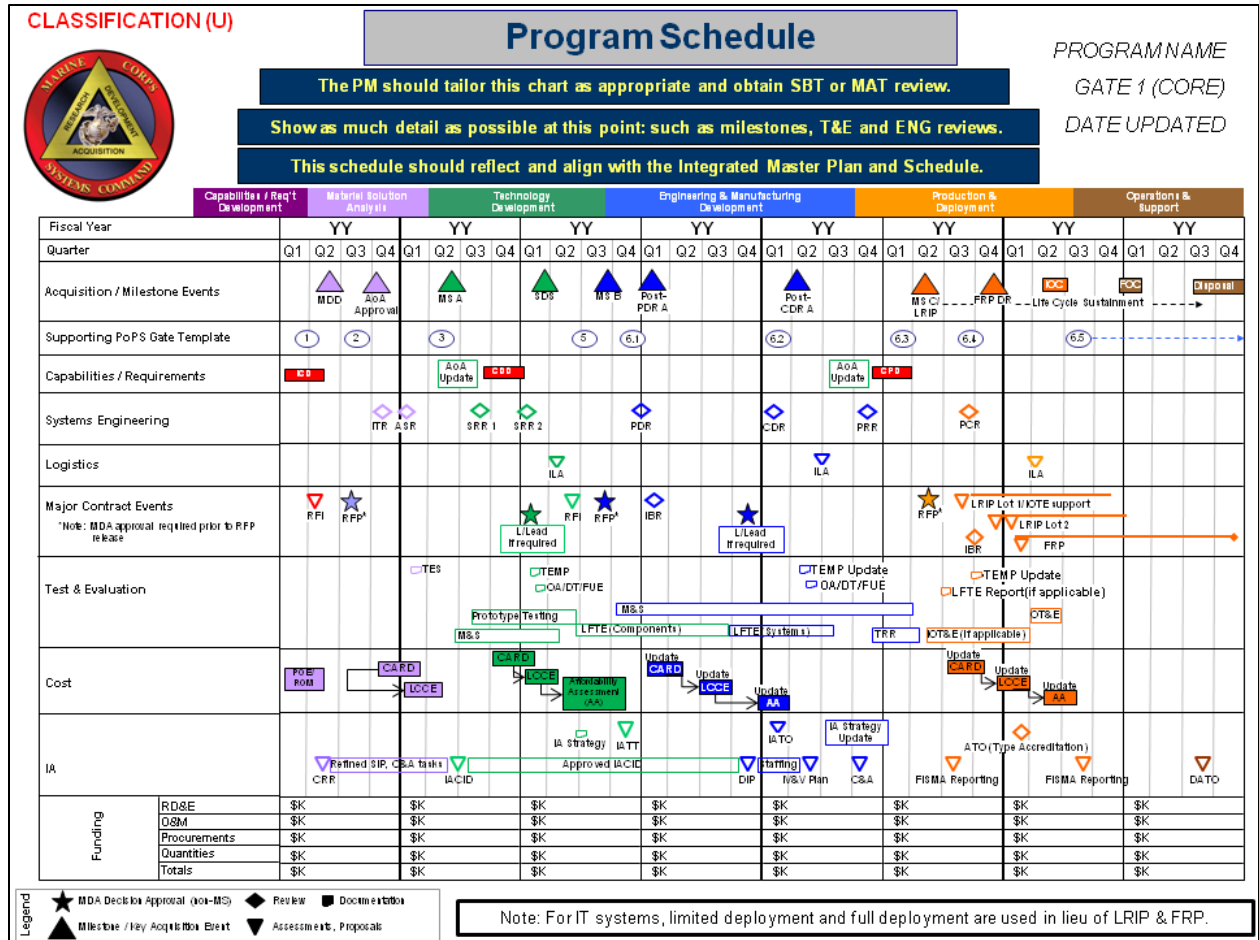
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Table 1. Notional Table of Program Waiver Requests

5. Program Schedule

- 5.1.** Provide a detailed graphic illustrating program milestones, phases, and events. Depicted events will vary by program, but will minimally include key acquisition decision points; principal systems engineering and logistics activities such as technical reviews and assessments; planned contracting actions such as request for proposal (RFP) release, source selection activity, and contract awards; production events and deliveries; and key test activities. (Figure 3 is a notional depiction of the expected level of detail. For example, contract details will vary with the contracting approach and the plan for competition and multiple suppliers; the use of options, re-competes, and/or new negotiated sole source; etc.). Programs are encouraged to utilize the same program schedule chart that is found in the MARCORSSYSCOM Milestone / Probability of Program Success (PoPS) “core” templates. Additional information can be found at: <https://ips.usmc.mil/sites/mcscimdp/default.aspx>.
- 5.2.** Indicate the basis for establishing delivery or performance-period requirements. Explain and justify any urgency if it results in concurrency of development and production or constitutes justification for not providing for full and open competition.
- 5.3.** Summarize the program’s background and analysis justifying the proposed program schedule (list analogous programs or models used to derive schedule). Discuss the program’s current and future phases and activities associated with the program as it relates to the schedule graphic. This section can also provide the Program Management Team helpful references relative to the phases that may be associated with the program.
- 5.4.** Briefly discuss the activities planned for the phase following the milestone (or other decision event) for which approval is sought and when the AS/AP will be updated. See FAR 7.105(a) and (b), and DFARS PGI 207.105(a)(1).

Figure 3. Notional depiction of the Integrated Schedule for Program



5.5. Interdependencies. Specify programmatic interdependencies with other programs. Discuss the relationship of the interdependencies with program activity on the critical path. If any memorandums of agreement are required to formalize these relationships/interfaces, list them in the format presented in Table 2. Identify the interface (i.e., the system this product interfaces with); the agency that owns the other system; the authority (e.g., PEO, CAE, delegated PM) responsible for controlling the interface (i.e., the individual who can set the requirement; direct the solution to the interface issue; and direct who provides the funding for the solution); the required by date; and the impact if not completed.

REQUIRED MEMORANDA OF AGREEMENT				
Interface	Cooperating	Interface Control	Required	Impact if Not

	Agency	Authority	By Date	Completed

Table 2. Notional table of Required Memoranda of Agreement

5.6. If using an evolutionary acquisition approach with concurrent increments, state the relationship between the milestones and activities in one increment to those in the other increment(s). Include criteria for moving forward to subsequent phases of the same or other increments.

6. Risk and Risk Management

6.1. Summarize the approach used to identify, analyze, mitigate, track, and control performance/technical/manufacturing cost, schedule, sustainment, and programmatic risk throughout the life of the program.

6.2. List and assess any program interdependency issues that could impact execution of the acquisition strategy. If the program is dependent on the outcome of other acquisition programs or must provide capabilities to other programs, the nature and degree of risk associated with those relationships should be specified. Summarize how these relationships and associated risk will be managed at the PM, PEO, and DoD Component levels.

6.3. Alternatives and Tradeoffs.

6.3.1. Alternatives. Discuss feasible alternatives, the impact of prior acquisitions on those alternatives, and any related in-house efforts. Describe the options in the Analysis of Alternatives (AoA) or ADM, and delineate which option the acquisition plan supports. See FAR 7.105(a)(1).

6.3.2. Tradeoffs. Discuss the expected trade-offs and the expected consequences on cost, schedule, and capability or performance goals. See FAR 7.105(a)(6).

6.4. List the key program technologies, their current technology readiness levels (TRL), the basis for including a technology (e.g., available alternative or low-risk maturation path) if it is below the TRL 6 benchmark for Milestone B, and the key engineering and integration risks. NOTE: Key technologies should include those technologies that are part of the system design and those associated with manufacturing the system.

6.4.1. If conducted, summarize the results of the Technology Readiness Assessment.

6.4.2. Summarize technology maturation plans and risks for each key technology, engineering risk, and integration risk identified.

6.4.3. Briefly explain how the program's strategy is appropriate given the maturity of the system technology and design.

6.5. If the strategy is for the Technology Development Phase:

6.5.1. Identify alternate technologies that could be employed if a technology chosen for the system does not achieve the maturity necessary to incorporate it into the baseline system design and define their impact on system performance and cost.

6.5.2. Identify the specific prototyping activities that will be conducted during Technology Development and specify how those activities and any others planned for Engineering and Manufacturing Development will be used to reduce program cost, schedule, and/or performance risk.

6.6. Identify the principal programmatic risks (e.g., staffing, resources, infrastructure, industrial base, etc.) and summarize mitigation plans, including key risk-reduction events. See FAR 7.105(a)(7).

6.7. Identify any risks that have been deferred to future increments. Explain why these risks were deferred and whether any residual risks remain in this increment.

6.8. The acquisition strategy at the Full-Rate Production/Full Deployment Decision Review should identify principal manufacturing (if applicable)/sustainment/operational risks, and summarize mitigation plans, to include key risk reduction events.

7. Business Strategy

7.1. Competition Strategy. Explain how a competitive environment will be sought, promoted, and sustained throughout all program phases.

7.1.1. Summarize the competition strategy for the upcoming phase. Address consideration given to OMB Circular No. A-76. See FAR 7.3.

7.1.2. In situations where head-to-head competition is not possible, explain how dissimilar competition or other competitive approaches will be used

7.1.3. Indicate how the results of the previous acquisition phase impact the competition strategy for the approaching phase

7.1.4. Indicate how the competition strategy facilitates execution of the acquisition strategy

7.1.5. Address the consideration given to inherently government functions. See FAR 7.5.

7.2. Market Research. Summarize the research conducted and the results of market research. Indicate the specific impact of those results on the various elements of the program. Summarize plans for continuing market research to support the program throughout development and production. Market research information

provided in the strategy should be sufficient to satisfy the requirements of [10 United States Code \(USC\) 2366a](#) and [10 USC 2366b](#). For more information, see [Federal Acquisition Regulation \(FAR\) Part 10](#), *Market Research*, and [Defense Federal Acquisition Regulation Supplement \(DFARS\) section 210.001](#)). See also DFARS PGI 207.105(b)(6). Indicate the prospective sources of supplies or services that can meet the need. Consider required sources of supplies or services (see FAR Part 8) and sources identifiable through databases including the Government wide database of contracts and other procurement instruments intended for use by multiple agencies available at www.contractdirectory.gov. Consider both international (consistent with possible information security and technology transfer restrictions) and domestic sources that can meet the need. Consider both commercial and non-developmental items as primary source of supply, consistent with the PM's post-production plan and FAR Part 25. Consider and document intra-Government work agreements, i.e., formal agreements, project orders of work requests, in which one Government activity agrees to perform work for another, creating a supplier/customer relation. Include (document) consideration of small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns (see FAR Part 19), and the impact of any bundling that might affect their participation in the acquisition (see FAR 7.107) (15 U.S.C 644(e)). When the proposed acquisition strategy involves bundling, identify the incumbent contractors and contracts affected by the bundling. Address the extent and results of the market research and indicate their impact on various elements of the plan (see FAR Part 10).

7.3. Advance Procurement. Indicate whether advance procurement of long lead items is planned. List highest dollar value items. The Technology Development Strategy/Acquisition Strategy must clearly indicate the intention to employ advance procurement. NOTE: The MDA must separately and specifically approve advance procurement if authorization is sought prior to the applicable milestone decision. See Defense Acquisition Guidebook (DAG) Chapter 2 for additional information.

7.4. Sustainment Strategy. The details of program sustainment planning are included in the Life Cycle Sustainment Plan, which will be prepared and approved as a separate document. Provide references below, as appropriate, to the LCSP and other approved logistics plans. Describe the reliability, Maintainability, and Quality Assurance requirements for the program. See DFARS PGI 207.105(b)(13). This portion of the strategy should:

7.4.1. Specify the contracting strategy to provide product support throughout the system life cycle. The sustainment strategy should reflect the Maintenance or Support CONOPS and consider: impacts to system capability requirements; responsiveness of the integrated supply chains across government and industry; maintaining long-term competitive pressures on government and industry providers; and providing effective integration of weapon system

support that is transparent to the Warfighter and provides total combat logistics capability.

7.4.2. State the assumptions used in determining whether contractor or agency support will be employed, both initially and over the life of the acquisition, including consideration of contractor or agency maintenance and servicing (see [FAR 7.3](#)), support for contracts to be performed in a designated operational area or supporting a diplomatic or consular mission (see [FAR section 25.301](#)); and distribution of commercial items.*

The PM shall use sources of supply that provide for the most cost-effective system throughout its life cycle. The PM shall work with the user to define and modify, as necessary, requirements to facilitate the use of commercial and non-developmental items.

** Note: Items marked with an asterisk (*) in this section are not required for the Technology Development Phase or Technology Development Strategy.*

7.4.3. Provide an overview of the sustainment-related contract(s) including how the integrated product support package will be acquired. The discussion should provide:

7.4.3.1. The performance measures being used (including the extent to which it is traditional transaction based/process focused and performance-based/outcome focused);

7.4.3.2. The portion of the system covered with the associated sustainment-related functions;

7.4.3.3. How the support concept ensures integration with other logistics support and combat support functions to optimize total system availability while minimizing cost and the logistics footprint;

7.4.3.4. How the product support strategy will ensure the selection of best value support providers, maximize partnering, and advocate integrated logistics chains in accordance with DoD product support objectives;

7.4.3.5. How manpower and spares will be optimized;*

7.4.3.6. Efforts to ensure secure and integrated information systems across industry and government that enable comprehensive supply chain integration and full asset visibility;*

7.4.3.7. Dedicated investments needed to achieve continuous improvement of weapon system supportability and reduction in operating costs;

7.4.3.8. How performance expectations (as defined in performance agreements) will be compared to actual performance results (post Milestone C);*

7.4.3.9. If Interim Contract Support (ICS) is planned, the ICS requirements, approach, and a plan to transition to normal sustainment support.*

7.4.3.10. If the strategy includes contractor logistics support (CLS), indicate how CLS contract flexibility will support the sustainment concept;* and

7.4.3.11. How the program will ensure product support integration throughout the system life cycle.

7.5. Contract(s) Planned. For each contract, including all options (required for Acquisition Plans):

7.5.1. Provide a table (see example Table 3) that identifies the purpose, type, value, performance period, and deliverables of the contract.

MAJOR CONTRACTS					
Contract	Purpose	Type	Value	Performance Period	Major Deliverables

Table 3. Notional Table of Major Contracts

7.5.1.1. Specify what the basic contract buys; how major deliverable items are defined; options, if any, and prerequisites for exercising them; and the events established in the contract to support appropriate exit criteria for the phase or intermediate development activity.

7.5.1.2. Identify the contract type(s) and period(s) of performance. The acquisition strategy shall provide the information necessary to support the decision on contract type. (See [FAR Part 16](#) and Section 818, [Public Law \(P.L.\) 109-364](#) for additional direction.)

7.5.1.3. Address the alignment of the contract with the overarching acquisition strategy and the competition strategy. If supplies or services will be acquired by placing an order under a non-DoD contract, address the method of ensuring that the order will be consistent with DoD statutory and regulatory requirements (see DFARS PGI 207.105(b)(4)).

7.5.1.4. Indicate whether a competitive award, sole source award, or multiple source development with down select to one production contract is planned.

7.5.1.5. Make-or-Buy. Address any anticipated areas related to whether a prime contractor will make a subassembly, component, etc. or buy (subcontract) the item. If a contract has been awarded, address specific areas where the prime contractor is sub-contracting.

7.5.1.6. If expecting to use other than full and open competition, cite the authority and indicate the basis for applying that authority, identify source(s), and explain why full and open competition cannot be obtained.

7.5.1.7. Indicate how subcontract competition will be sought, promoted, and sustained throughout the course of the acquisition. Identify any known barriers to increasing subcontract competition and address how to overcome them.

7.5.1.8. Specify breakout plans for each major component or sub-system as well as spares and repair parts.

7.5.1.9. Assess the comparative benefits of awarding a new contract vice placing a requirement under an existing contract. ([10 USC 2306](#), [10 USC 2304](#).)

7.5.1.10. If planning to award a new indefinite delivery contract, indicate how many contracts are planned to be awarded. If a single award is planned, explain why multiple awards are not feasible. Indicate the ordering period.

7.5.1.11. Undefined contracts. Indicate if an undefinitized contract will be awarded and provide the rationale. Identify steps to avoid using an undefinitized contract, and list the planned incentives to motivate the contractor to achieve timely definitization.

7.5.2. Provide the planned contract incentives:

7.5.2.1. Provide the specific incentive structure. Indicate how the incentive structure will motivate contractor behavior resulting in the cost, schedule, and performance outcomes required by the government for the contract and the program as a whole.

7.5.2.2. If more than one incentive is planned for a contract, the strategy should explain how the incentives complement each other and do not conflict with one another.

7.5.3. Summarize the financial reporting that will be required by the contractor on each contract, including requirements for Earned Value Management.

7.5.4. Identify the source selection evaluation approach (e.g., Best Value, Trade-off or Lowest Price Technically Acceptable) and briefly summarize planned procedures ([10 USC 2305](#)).

7.5.4.1. Highlight the considerations influencing the proposed source selection procedures. Indicate how these may change from phase to phase.

7.5.4.2. State the timing for submission and evaluation of proposals. Identify the criteria that will be used to select the winning bidder. Indicate how those criteria reflect the key government goals for the program. Discuss the relationship of evaluation factors to the acquisition objectives.

7.5.5. Sources

7.5.5.1. List the known prospective sources of supplies or services that can meet the need. Consider required sources of supplies or services (see [FAR Part 8](#)), and sources identifiable through databases including the government-wide database of contracts and other procurement instruments intended for use by multiple agencies available at <https://www.contractdirectory.gov/contractdirectory/>.

7.5.5.2. If a less than full and open competition is being contemplated, provide an affirmative statement on whether (and when) a sources sought synopsis was/will be posted. Require an explanation for foregoing a sources sought synopsis in any case where the approved strategy is a sole source non-competitive award.

7.5.5.3. Based on results of market research, identify the specific opportunities for:

- small business,
- veteran-owned small business,
- service-disabled veteran-owned small business,
- HUBZone small business,
- small disadvantaged business, and
- women-owned small business concerns, and
- specify how small business participation has been maximized at both the direct award and subcontracting levels (see [FAR Part 19](#)).

7.5.6. Contract Bundling or Consolidation

7.5.6.1. If the contract is a bundled acquisition (consolidating two or more requirements for supplies or services, previously performed under smaller contracts, into a single contract that is likely to be unsuitable for award to a small business), indicate the specific benefits anticipated to be derived from bundling. Reference [FAR section 7.107, Acquisition Planning. \(15 USC 644\)](#)

7.5.6.2. If applicable, identify the incumbent contractors and the contracts affected by the bundling.

7.5.6.3. Per [DFARS section 207.170](#), if the acquisition strategy proposes consolidation of contract requirements with an estimated total value exceeding \$6 million, provide: (1) the results of market research; (2) identification of any alternative contracting approaches that would involve a lesser degree of consolidation; and (3) a

determination by the senior procurement executive that the consolidation is necessary and justified.

7.5.7. Subcontracting Plan / Small Business Participation. When [FAR 19.7](#) applies, the acquisition strategy should establish maximum practicable individual socio-economic subcontracting goals, meaningful small business work, and incentives for small business participation.

7.5.7.1. Outline planned award evaluation criteria concerning small business utilization in accordance with [FAR 15.3](#), and [DFARS 215.3](#) regarding source selection; and

7.5.7.2. Summarize the rationale for the selection of the planned subcontract tier or tiers.

7.5.7.3. Indicate how prime contractors will be required to give full and fair consideration to qualified sources other than the prime contractor for the development or construction of major subsystems and components.

7.5.7.4. Keep (and ensure compliance with) the following statement: "The assigned small business specialist was afforded the opportunity to participate actively in the acquisition planning process." Describe at what points this occurred / will occur. Reference NMCARS 5207.103(g).

7.5.8. Identify any special contracting considerations: list any unique clauses or special provisions (e.g., any contingent liabilities (i.e., economic price adjustment or business base clauses, termination liability, etc.)) or special contracting methods (see [FAR Part 17](#)) included in the contract; list any special solicitation provisions or FAR deviations required (see [FAR 1.4](#)).

7.5.9. Identify any planned use of government-furnished special test equipment, unique tooling, or other similar contractual requirements.

7.5.10. Specify how testing and systems engineering requirements, including life-cycle management and sustainability requirements, have been incorporated into contract requirements.

7.5.10.1. Identify the engineering activities to be stated in the RFP and required of the contractor to demonstrate the achievement of the reliability and maintainability design requirements.

7.5.10.2. Provide a table (see example Table 4) to specify how the sustainment key performance parameter thresholds have been translated into reliability and maintainability design and contract specifications. Table 4, as presented here, is a sample. The actual format of this table may be varied to suit the nature of the procurement or to add additional requirements. The reliability threshold is often expressed as Mean Time Between Failure (MTBF). Use the appropriate life units (e.g., hours, cycles, etc.). "MTTR" is "mean time to repair;" "N/A" may be entered if an item is not applicable.

Reliability and Maintainability Requirements		
Parameter	Threshold	Contract Specification Requirement
Reliability (e.g., MTBF)		
Maintainability (e.g., MTTR)		

Table 4. Reliability and Maintainability Requirements

7.5.11. Indicate whether a warranty is planned, and if so, specify the type and duration; summarize the results of the supporting Cost Benefit Analysis. (See FAR 7.105(b), [FAR 46.7](#) and [DFARS 246.7](#).)

7.5.12. If this strategy is for Milestone C or later, indicate whether the production program is suited to the use of multiyear contracting ([10 USC 2306b](#)). Indicate any plans for multiyear contracting and address compliance with [10 USC 2306c](#) and [Office of Management and Budget \(OMB\) Circular A-11](#).

7.5.13. Indicate whether leasing was considered (applies to use of leasing in the acquisition of commercial vehicles and equipment) and, if part of the strategy, economically justify that leasing of such vehicles is practicable and efficient and identify the planned length of the lease.

7.5.14. Modular Contracting (Major IT Programs only). Quantify the extent to which the program is implementing modular contracting ([41 USC 434](#)).

7.5.15. Payment. Identify financing method(s) planned and whether these provision(s) will be flowed down to subcontractors. Indicate if early progress payments will be traded off for lower prices in negotiations.

7.5.16. Provide any other pertinent information that may enhance understanding of the contracting strategy.

7.6. Technical Data Rights Strategy (formerly the Data Management Strategy). Summarize the Technical Data Rights strategy for meeting product life-cycle data rights requirements and to support the overall competition strategy. Include:

7.6.1. Analysis of the data required to design, manufacture, and sustain the system as well as to support re-competition for production, sustainment, or upgrade. The strategy should consider, but is not limited to, baseline documentation data, analysis data, cost data, test data, results of reviews, engineering data, drawings, models, and Bills of Materials (BOM);

7.6.2. How the program will provide for rights, access, or delivery of technical data the government requires for the system's total life cycle sustainment. Include analysis of data needs to implement the product support life cycle strategy including such areas as materiel management, training, Information Assurance protection, cataloging, open architecture, configuration management, engineering, technology refreshment, maintenance/repair within the technical order (TO) limits and specifically engineered outside of TO limits, and reliability management;

7.6.3. The business case analysis calculation, conducted in concert with the engineering tradeoff analysis, that outlines the approach for using open systems architectures and acquiring technical data rights;

7.6.4. The cost benefit analysis of including a priced contract option for the future delivery of technical data and intellectual property rights not acquired upon initial contract award; and

7.6.5. Analysis of the risk that the contractor may assert limitations on the government's use and release of data, including Independent Research and Development (IRAD)-funded data (e.g., require the contractor to declare IRAD up front and establish a review process for proprietary data).

7.7. Contract Management

7.7.1. Contract administration. Summarize how the contract(s) will be administered. Include how inspection and acceptance corresponding to the work statement's performance criteria will be enforced (see [FAR Part 42](#)).

7.7.2. Priorities, allocations, and allotments. When urgency of the requirement dictates a particularly short delivery or performance schedule, certain priorities may apply. If so, specify the method for obtaining and using priorities, allocations, and allotments, and the reasons for them (see [FAR 11.6](#)).

7.7.3. Government Furnished Equipment (GFE), Government Furnished Property (GFP), and Government Furnished Information (GFI). In this section the PM should document your program's GFE/GFP plan and how the use of GFE/GFP is minimized. This is where you identify the Management Control Activity (MCA) (usually it is Marine Corps Logistics Command (MCLC)) as the control and coordination point for all GFE. In this section you should clearly state that Contractors are required to provide delivery dates of GFE to meet delivery schedules. You should state that Contractors are responsible for providing accountability, security, and storage for the GFE provided. Contractors desiring to use Government production and research property not offered for use by the Government will be required to request the written concurrence of the contracting officer cognizant of the property. You should also state that at the conclusion of the contract, the contractor are required to return GFE to the same condition as it was when received by the contractor. Any repairs resulting from contractor possession and use needed to return the GFE to the same condition will be at no cost to the Government. Once

GFE/GFP is in the hands of contractors, it is labeled as Government Property in the possession of Contractors (GPPC). The PM shall ensure the GFP plan is periodically reviewed and will continuously maintain oversight of GPPC to ensure that property no longer needed for current contract performance or future needs is disposed of promptly or reutilized in accordance with applicable laws and regulations. The PM shall insure that Government property, left with the contractor but not needed for performance of the contract, is stored under a funded storage agreement. Individual decisions regarding particular property shall be documented in the contract file. See FAR 7.105(b)(15) and (16). The PM should discuss any Government information, such as manuals, drawings, and test data, to be provided to prospective offerors and contractors.

7.7.4. Security Considerations. For acquisitions dealing with classified matters, the PM shall discuss how adequate security will be established, maintained, and monitored. See FAR 7.105(b)(18).

7.7.5. Legal Review. In this paragraph, you should document the strategy and planning required for the request and coordination of an Arms Control Treaty Compliance review pursuant to SECNAVINST 5710.23C. The program should work with MARCORSYSCOM Office of the Counsel in ensuring the requirements surrounding the Law of Armed Conflict, Arms Control Treaty Compliance are met. This process can be lengthy and the PM should plan adequate time to receive this review and determination of findings from the Department of the Navy, Strategic Systems Program Office, Naval Treaty Implementation Program.

8. Cost and Funding

8.1. Investment Program Funding and Quantities. Include specific references to budget line items and program elements, where applicable, estimated production unit cost, and the total cost for remaining production (see DFARS PGI 207.105(b)(6)). Provide a copy of the program's "Investment Program Funding and Quantities" Chart (see Figure 4), with a current "as of date." A template and instructions for the development of this chart are provided at: https://extranet.acq.osd.mil/dab/what_funding_chart.html (login with password or Common Access Card required).

Pre-OIPT/OIPT/DAB Funding Chart version PB12		Program Funding & Quantities, as of										
(\$ in Millions / Then Year)	Prior	FY10	FY11	FY12	FY13	FY14	FY15	FY16	FY12-16	To Comp	Prog Total	
RDT&E												
Prior \$ (PB 11)	106.4	6.7	8.3	17.2	7.1	0.0	0.0	0.0	24.3	0.0	145.7	
Current \$ (PB 12)	106.4	5.0	4.2	1.2	6.9	16.9	7.1	3.0	35.1	0.0	150.7	
Delta \$ (Current - Prior)	0.0	(1.7)	(4.1)	(16.0)	(0.2)	16.9	7.1	3.0	10.8	0.0	5.0	
Required \$	110.0	7.0	8.1	17.0	7.0	0.0	5.0	10.0	39.0	0.0	164.1	
Delta \$ (Current - Required)	(3.6)	(2.0)	(3.9)	(15.8)	(0.1)	16.9	2.1	(7.0)	(3.9)	0.0	(13.4)	
Should Cost \$	108.2	6.5	7.9	16.0	6.5	0.0	4.9	8.6	36.0	0.0	158.6	
Delta \$ (Current - Should Cost)	(1.8)	(1.5)	(3.7)	(14.8)	0.4	16.9	2.2	(5.6)	(0.9)	0.0	(7.9)	
PROCUREMENT												
Prior \$ (PB 11)	0.0	128.3	133.2	145.2	133.5	0.0	0.0	1.0	279.7	1707.8	2,249.0	
Current \$ (PB 12)	0.0	89.6	135.2	104.6	90.0	94.0	93.7	87.0	469.3	1606.7	2,300.8	
Delta \$ (Current - Prior)	0.0	(38.7)	2.0	(40.6)	(43.5)	94.0	93.7	86.0	189.6	(101.1)	51.8	
Required \$	0.0	130.0	131.8	144.0	133.0	0.0	0.0	27.0	304.0	1700.0	2,265.8	
Delta \$ (Current - Required)	0.0	(40.4)	3.4	(39.4)	(43.0)	94.0	93.7	60.0	165.3	(93.3)	35.0	
Should Cost \$	0.0	123.2	130.3	135.6	133.0	2.3	0.0	26.1	297.0	1525.3	2075.8	
Delta \$ (Current - Should Cost)	0.0	(33.6)	4.9	(31.0)	(43.0)	91.7	93.7	60.9	172.3	81.4	225.0	
O&M												
Prior \$ (PB 11)	53.3	3.5	3.8	14.5	2.3	1.6	0.0	2.0	20.4	0.0	81.0	
Current \$ (PB 12)	71.4	4.2	1.9	0.9	4.3	14.2	5.2	5.0	29.6	0.0	107.1	
Delta \$ (Current - Prior)	18.1	0.7	(1.9)	(13.6)	2.0	12.6	5.2	3.0	9.2	0.0	26.1	
Required \$	78.3	12.0	8.0	7.0	3.0	2.5	0.0	5.0	17.5	0.0	115.8	
Delta \$ (Current - Required)	(6.9)	(7.8)	(6.1)	(6.1)	1.3	11.7	5.2	0.0	12.1	0.0	(8.7)	
Should Cost \$	77.2	10.8	6.9	6.8	2.9	2.4	0.0	4.2	16.3	0.0	111.2	
Delta \$ (Current - Should Cost)	(5.8)	(6.6)	(5.0)	(5.9)	1.4	11.8	5.2	0.8	13.3	0.0	(4.1)	
TOTAL												
Prior \$ (PB 11)	159.7	138.5	145.3	176.9	142.9	1.6	0.0	3.0	324.4	1707.8	2475.7	
Current \$ (PB 12)	177.8	98.8	141.3	106.7	101.2	125.1	106.0	95.0	534.0	1606.7	2558.6	
Delta \$ (Current - Prior)	18.1	(39.7)	(4.0)	(70.2)	(41.7)	123.5	106.0	92.0	209.6	(101.1)	82.9	
Required \$	188.3	149.0	147.9	168.0	143.0	2.5	5.0	42.0	360.5	1700.0	2545.7	
Delta \$ (Current - Required)	(10.5)	(50.2)	(6.6)	(61.3)	(41.8)	122.6	101.0	53.0	173.5	(93.3)	12.9	
Should Cost \$	185.4	140.5	145.1	158.4	142.4	4.7	4.9	38.9	349.3	1525.3	2345.6	
Delta \$ (Current - Should Cost)	(7.6)	(41.7)	(3.8)	(51.7)	(41.2)	120.4	101.1	56.1	184.7	81.4	213.0	
QUANTITIES												
Prior (PB 11)	0	552	575	681	587	0	0	3	1271	0	2,398	
Current (PB 12)	0	445	450	467	376	382	379	355	1959	0	2,854	
Delta \$ (Current - Prior)	0	(107)	(125)	(214)	(211)	382	379	352	688	0	456	
Required Qty	0	440	445	450	376	382	379	332	1919	0	2,804	
Delta Qty (Current - Required)	0	5	5	17	0	0	0	23	40	0	50	

Figure 4. Example "Investment Program Funding and Quantities" Chart

8.1.1. If the chart reflects funding shortfalls, indicate how they will be addressed and state the programmatic impact if they are not.

8.1.2. If the program is jointly funded, provide a separate chart reflecting the funding contributions required of each joint participant.

8.1.3. Provide and briefly explain funding support from the Working Capital Fund.

8.1.4. If multiple program increments are in progress, funding will be tracked separately for each increment (e.g., for subsets of the program that will be subject to a separate Acquisition Program Baseline). Provide separate charts for each increment.

8.2. Cost. Indicate the established cost goals for the increment and the rationale supporting them. See FAR 7.105(a)(3).

8.2.1. If a Technology Development Strategy, indicate the Affordability Target that has been established for the program (initially, average unit acquisition cost and average operational support cost per unit). The affordability target

should be presented in the context of the resources that are projected to be available in the portfolio(s) or mission area(s) associated with the program under consideration. For new start programs, provide the quantitative analytical basis for determining that the resources expected to be available in the portfolio/mission area can support the program under consideration. Employ a graphic to illustrate.

8.2.2. Acquisition strategies for ACAT I programs will specify (no more than one page) how the procurement rate and schedule were set, with reference to Economic Order Quantity (EOQ) and the affordability target set at Milestone A, as adjusted at Milestone B. For ACAT II and below programs, discuss how life-cycle cost, design-to-cost, and/or Cost as an Independent Variable (CAIV) were/will be considered. If not used, explain why. Reference program CARD and LCCE as appropriate. See FAR 7.105(a)(3).

8.2.3. "Should Cost"

8.2.3.1. Provide "Should Cost" targets in the Program Funding Chart (Figure 4).

8.2.3.2. Summarize the application of should-cost analysis to the acquisition. Identify the should-cost initiatives that have been planned for the program. Specify how the associated "should cost targets" will be used as a basis for contract negotiations and contract incentives, and to track contractor, PEO, and PM performance. See FAR 7.105(a)(3) and OSD memorandum regarding Should Cost and Better Buying Power initiatives.

8.2.4. Explain how the cost management approach adequately considers funds management. Identify any contingent liabilities (award fee, special incentives, economic price adjustment, business base clauses, termination liability, etc.) planned for or associated with the program. Identify which contingent liabilities have been funded. Summarize the plan to obtain approval for any unfunded contingencies (see [DFARS 217.171.a.\(4\)](#) and [217.172.\(e\)](#)).

8.2.5. For acquisitions of Federal Information Processing resources with expected costs greater than \$100 million, identify the key outcome performance measures. Indicate the tracking system that will be used to measure and report on selected outcome performance measures.

8.2.6. Summarize plans to control program costs, specifically Program Acquisition Unit Cost, Average Procurement Unit Cost, and Life-Cycle Cost. List and describe cost control tools and processes.

8.2.7. Summarize how the cost estimate was derived and the process to update estimates (e.g., x months before each decision review or x months before beginning each increment). See FAR 7.105(b)(6).

9. Resource Management. Address program resource requirements; consider changes in effort as the program progresses.

9.1. Program Office Staffing and Organization

9.1.1. Manning Profile. Provide a time-phased workload assessment identifying the manpower and functional competencies required for successful program execution. Considering the overall, technical, acquisition, sustainment, and management approach, specify the number of personnel, by functional area, that are required to manage this program for the next phase and through fielding. Include a projected manning profile based upon the overall approach and program schedule for government, Systems Engineering and Technical Assistance, and Federally Funded Research and Development Center(s) support.

9.1.2. Organization Chart. Provide an organization chart reflecting program manning requirements by functional area. Identify the Services filling billets for a joint program. Prepare a table to indicate whether billets are military, civilian, or contractor, the seniority level of the billets, and whether the billets are currently filled or vacant. (See Table 5.)

PROGRAM MANNING REQUIREMENTS						
Billet ID	Billet Name	(If Joint) DoD Component	Manning Type	Seniority Level	DAWIA Level	Fill Status

Table 5. Notional table of Program Manning Requirements

9.1.3. Acquisition Chain of Authority. Indicate specific lines of programmatic authority. Show how the authority chain meets the requirements identified in [DoD Directive 5000.01, paragraph E.1.1.26](#).

9.2. Identify the participants in the Acquisition Plan preparation & primary stakeholders (see FAR 7.105(b)(22)). Indicate the planned organization to effectively manage the program and ensure all stakeholders are involved (Integrated Product Teams (IPT), boards, reviews, etc.). If applicable, indicate how the contractor will be involved in program IPTs. Summarize the anticipated business management relationship between (1) the program office and the contractor, and (2) the program office and other government agencies. The PM shall list all participating WIPT and CIPT members in a table similar to the one

below:

PROGRAM LEADERSHIP			
Role	Name	Organization	Contact Info (E-mail and/or Phone)
MDA			
PM			
Team Leader			

Table 6. Program Leadership

WORKING LEVEL IPT			
Role	Name	Organization	Contact Info (E-mail and/or Phone)
Advocate			
Requirements			
Cost			
Contracts			
Test			
Logistics			
Engineering			
Others as needed			

Table 7. Working Level IPT Members

9.3. Requirements Community Involvement. Specify how the customer-representing organization will interface with the program management office and acquisition chain of command to provide for timely and effective review of requirements and/or cost trade-offs. Define levels of authority required to change requirements of various types.

10. International Involvement

10.1. Indicate any limitations on foreign contractors being allowed to participate at the prime contractor level.

10.2. International Cooperation.

10.2.1. Summarize any plans for cooperative development with foreign governments or cognizant organizations. List the MOAs in place and identify the contracting activities.

10.2.2. Summarize plans to increase the opportunity for coalition interoperability as part of the developing DoD program.

10.2.3. Employ the AT&L-developed [template](#)² to provide a [coalition interoperability](#) section in the Acquisition Strategy. Using the template will satisfy the cooperative opportunities document requirement of [10 USC 2350a](#).

10.3. Foreign Military Sales. Specify the potential or plans for Foreign Military and/or Direct Commercial Sale and the impact upon program cost due to program protection and exportability features.

10.3.1. International Cooperative Strategy. In this section, if applicable, the program shall document the potential for increasing, enhancing, and improving the conventional forces of the North Atlantic Treaty Organization (NATO) and the United States, including reciprocal defense trade and cooperation, and international cooperative research, development, production, and logistics support. The acquisition strategy and Disposal Plan (in the in-service management plan) shall also consider the possible sale of military equipment. The discussion shall identify similar projects under development or in production by a U.S. ally. The acquisition and post-production strategy shall assess whether the similar project could satisfy U.S. requirements, and if so, recommend designating the program an International Cooperative Program.

10.3.2. International Armaments Cooperation. In this section, the PM shall document the structure of the program and the acquisition strategy associated with promoting sufficient program stability to encourage industry to invest, plan, and bear risks. You should document how you plan to minimize the need for new defense-unique industrial capabilities. Discussion should capture foreign sources and international cooperative development's use where advantageous and within limitations of the law. If it is determined that cooperative opportunities exists, the PM shall properly document the International Program (IP) office roles and responsibilities to establish an International Business Development team to pursue foreign cooperative opportunities and/or FMS in order to achieve economic order quantities.

11. Industrial Capability and Manufacturing Readiness.

11.1. Industrial Capability. Summarize the results of industrial base capability analysis (public and private) to design, develop, produce, support, and, if appropriate, restart the acquisition program. Specify the impact of this

² URL: <https://acc.dau.mil/GetAttachment.aspx?id=288191&pname=file&aid=44021&lang=en-US>

acquisition approach on the national technology or industrial base and the analysis used to make this determination. If there is an impact, summarize the industrial base constraints, how they will be managed, and the plan for future assessment, including frequency. For MDAPs, see DFARS PGI 207.105(b)(20)(A).

- 11.2.** Industrial and Manufacturing Readiness (not applicable to software-intensive programs without production components). Estimate the risk of industry being unable to provide program design or manufacturing capabilities at planned cost and schedule. Identify the Manufacturing and Quality Management systems and summarize how they will contribute to minimizing cost, schedule, and performance risks throughout the product life cycle. For MDAPs, see DFARS PGI 207.105(b)(20)(A).
- 11.3.** Sustaining Industrial Capabilities. Summarize the make-or-buy approach to establish and maintain access to competitive suppliers for critical areas at system, subsystem, and component level (e.g., requiring an open-systems-architecture or a make-or-buy plan). List critical items and their sources. When the analysis indicates that the needed industrial capabilities are in danger of being lost, the strategy should indicate whether government action is required to preserve the industrial capability. The strategy should also address product technology obsolescence, replacement of limited-life items, regeneration options for unique manufacturing processes, and conversion to performance specifications at the subsystems, component, and spares levels. See FAR 7.105(b)(12) and FAR 15.407-2.
- 11.4.** Provide the program's Industrial Capability strategy that assesses the capability of the U.S. industrial base to achieve identified surge and mobilization goals. If no Industrial Capability strategy has been developed, provide rationale. If an Industrial Capability strategy and/or plan has been developed, include the plan by text or reference. See DFARS PGI 207.105(b)(20)(B).
- 11.5.** Identify any planned or completed MOAs.

12. Life-Cycle Signature Support

- 12.1.** If a Technology Development Strategy, provide a table (see example Table 6) that indicates the program life-cycle signature support requirements. Identify the mission data type (signatures, electronic warfare integrated reprogramming, order of battle, geospatial intelligence, and system characteristics and performance data sets); specific subcategories, if known (Radar, Thermal, Acoustic, etc.); the domain (Space, Air, Land, Naval, Missile Defense, etc.); subcategories within the domain (e.g., for Air domain: 'Fighter Aircraft'); and data fidelity required, if known (e.g., dB, °C, resolution, Hz, etc.). If additional or more-specific requirements have been identified, they should be included.

Life-Cycle Signature Support Requirements

Mission Type	Mission Type Subcategory	Domain	Domain Subcategory	Data Fidelity

Table 8. Notional Table of Life-Cycle Signature Support Requirements

12.2. Life-cycle signature support funding requirements will be reflected in the program funding summary (see Paragraph 8 and Figure 4).

13. Military Equipment Valuation. Federal accounting standards require military equipment to be capitalized on the Department’s financial statements. For Milestone C and the Full-Rate Production Decision, provide the following information for any program, project, product, or system that has deliverable end items with a unit cost at or above \$100,000 (the current capitalization threshold):

- 13.1.** A level 2 work breakdown structure (as described in MIL HDBK-881) for reporting Military Equipment Valuation and Accountability;
- 13.2.** The end item(s) meeting the unit cost threshold (i.e., \$100,000);
- 13.3.** The government furnished property that will be included in the end item;
- 13.4.** Other deliverables that will accompany the end item (e.g., manuals, tech data, etc.); and
- 13.5.** Other types of deliverables that will be purchased with program funding (e.g., initial spares, support equipment, special tooling and test equipment, etc.), but cannot be directly attributed to a specific end item.

(NOTE: The unit cost can be calculated by summing the estimated cost of the end item with the estimated costs of all associated government furnished equipment, training manuals, technical data, engineering support, etc., NOT including spares and support equipment. For additional information, see:

- http://www.acq.osd.mil/pepolicy/training_tools/quick_reference_tools.html; or
- http://www.acq.osd.mil/pepolicy/training_tools/bfma_instructions.html.)

14. Acquisition Strategy / Acquisition Plan Additional Information & Attachments.

14.1. Systems Engineering & Technical Management. Provide an executive overview of the planned system engineering activities. The details are included

in the System Engineering Plan (SEP) which will be prepared and approved as a separate document. Provide references below, as appropriate. Include the SEP as a reference in section 14.5.1 below,

14.2. Test & Evaluation (Required for Acquisition Plan)

14.2.1. Provide an overview of the test program of the contractor and the Government. If concurrency is planned, discuss the extent of testing to be accomplished before production release. Reference the TEMP as appropriate and include the TEMP as a reference in section 14.5.1 below (see FAR 7.105(b)(13)).

14.3. Environmental and Energy Conservation (Required for Acquisition Plan).

Discuss all applicable environmental and energy conservation objectives associated with the acquisition (see FAR part 23), the applicability of an environmental assessment or environmental impact statement (see 40 CFR 1502), the proposed resolution of environmental issues, and any environmentally-related requirements to be included in solicitations and contracts. See FAR 7.105(b)(17). Discuss actions taken to ensure either elimination of or authorization to use Class I ozone-depleting chemicals and substances. Ensure compliance with DoDI 4715.4, Pollution Prevention. See DFARS PGI 207.105(b)(16) and DFARS 223.8.

14.4. Conventional Ammunition Stockpile. Insert a statement certifying whether the program has energetics associated with it and, if it does, that the program has coordinated with PM Ammo. Additionally, briefly discuss any pertinent coordination steps with PM Ammo and any specific and/or non-standard requirements in the planning, acquisition, and stockpiling of conventional ordnance. Guidance: In accordance with NAVSUP 724, Conventional Ordnance Stockpile Management, all cataloging requests affecting OT COG (Class V (W) - Ground Ammunition) assets will be initiated by Marine Corps Systems Command (Program Manager for Ammunition) (MARCORSYSCOM (PM Ammo)) or by their designee. If the item to be acquired interfaces with any energetics that will be cataloged or classified as Class V (W) - Ground Ammunition, all types, including chemical, radiological and special weapons, bombs explosives, land mines, fuses, detonators, demolitions, pyrotechnics, missiles, rockets, propellants, training, practice, non-lethal munitions, and other associated items, the planning for the acquisition of this item must be coordinated with the PM Ammo, Code: PM 204 at (703) 432-8774.

14.5. The cataloging of such items shall be coordinated through PM Ammo to ensure that the system being acquired remains on schedule for fielding to the Marines. PM Ammo will assist the program office to determine the best course of actions to catalog any Class V (W) - Ground Ammunition Materiel.

14.6. References and Attachments

14.6.1. References

14.6.1.1. [Federal Acquisition Regulation \(FAR\), 7.1](#)

14.6.1.2. [Defense Federal Acquisition Regulation Supplement \(DFARS\), 207.1](#)

14.6.1.3. [DFARS Procedures, Guidance, and Regulations \(PGI\), 207.1](#)

14.6.1.4. [Navy Marine Corps Acquisition Regulation Supplement \(NMCARS\), Part 5207](#)

14.6.1.5. [Department of Defense Instruction \(DoDI\) 5000 Series](#)

14.6.1.6. [Secretary of the Navy Instruction \(SECNAVINST\) 5000 Series](#)

14.6.1.7. The PM may provide additional references as appropriate to aid in amplifying the information contained within the Acquisition Strategy / Acquisition Plan.

14.6.2. Attachments

14.6.2.1. The PM may provide additional data as attachments where necessary to support the Acquisition Strategy / Acquisition Plan. At a minimum, the PM shall provide references (hyperlinked, see subsection 14.6.1.7 above, if possible) to other programmatic documentation required for the Milestone the program is in. Some examples include (but not limited to), Competition Analysis, COTI, Cooperative Opportunities, Core Logistics/Source of Repair Analysis, Industrial Capabilities, Market Research, MEVA, PESHE/NEPA, CARD, LCCE, SEP, IA Strategy, TEMP, LCSP, and ISMP. If hyperlinks are not possible, referenced documentation shall include the status and date of signature or last update.

Template (e) Life Cycle Sustainment Plan (LCSP)

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

MARINE CORPS SYSTEMS COMMAND LIFE CYCLE SUSTAINMENT PLAN



(Insert Program Title here)

LCSP Instruction Page

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. Development of a life cycle product support strategy and plan are critical steps in the delivery of the product support package and documents life cycle logistics' influence on the system's design. The LCSP remains an active management tool throughout the operation and sustainment of the system and the Program must periodically update the LCSP to ensure sustainment performance continues to satisfy the Warfighter's needs.

The primary audience for the LCSP is the Program Office. This annotated outline is structured to enable the Program Office to communicate and collaborate with other stakeholders in both the acquisition and sustainment communities. The Integrated Product Team (IPT) must collaborate across all functional areas to ensure alignment among the LCSP and other critical Program documents, including the Acquisition Strategy (AS) and the Systems Engineering Plan (SEP).

Derived from Office of the Secretary of Defense (OSD) directives, the content of this document has been tailored for applicability to Marine Corps Systems Command (MCSC) acquisition Programs designated acquisition category (ACAT) III and below. ACAT II and above LCSP guidance may be found in Deputy Under Secretary of Defense (DUSD, AT&L) or Deputy Assistant Secretary of the Navy (DASN, RDA) documents as appropriate.

While applicable to all ACAT III, IV, and Abbreviated Acquisition Programs (AAPs) within MCSC, it is both permissible and encouraged for the author of the LCSP to tailor the contents of this outline as appropriate for individual Program applicability. Further, the tables and figures provided are notional; they are merely examples to guide the Program. Information should be displayed in the best manner to suit the Program - via paragraph, table, or figure. The intent is to ensure the necessary information is adequately addressed.

The Program may include, in the annex section, any additional Program-specific requirements and implementation details it deems critical to the delivery of the product support package.

NOTE: If you are inclined to cut-and-paste portions of this template into your plan in a boiler-plate effort to satisfy your next milestone review, you will NOT satisfy the spirit or intent of this template.

The LCSP is expected to evolve throughout the acquisition process with the maturity of the system and clarity for the Program's life-cycle product support strategy. Additionally, it may be tailored based on varying entry points in the acquisition process. For example, a new system entering the acquisition process at Milestone (MS) C (a Commercial off the Shelf (COTS) capability, for instance) may have minimal requirements to consider in accomplishing the sustainment concept and the statutory and regulatory compliance sections.

PROGRAM NAME – ACAT LEVEL

LIFE-CYCLE SUSTAINMENT PLAN

VERSION ____

SUPPORTING MILESTONE _

AND

[APPROPRIATE PHASE NAME]

[DATE]

SUBMITTED BY

Name, Program Logistician

Date

APPROVED BY

Name, Program Manager (PM)

Date

Record of Changes

Revision Number	Date	Change	Approved By

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1. Introduction

Expand on the sustainment data and Product Support Strategy included and outlined in the Acquisition Strategy (AS). This section must answer the following questions:

- What are the specific purpose, scope, focus and objective for this revision?
- How will the Life Cycle Sustainment Plan (LCSP) be updated, and what is the criteria for doing so including:
 - Timing of updates (e.g., Pre- Engineering and Maintenance Development (EMD), prior to milestones, planning changes, as a result of specific contractor-provided inputs)?
 - Updating authority?
 - Approval authorities for different types of updates?
- What revisions have been made since the last Decision Authority (DA) review, if required (See Record of Changes page)?

Note: If a section is not applicable to your Program, denote with "N/A" and include a brief justification as why it does not apply.

2. Product Support Performance

2.1. Product Support Performance Requirements

List the sustainment requirements that are integrated into the design process (Example: Table 2-1). Identify where each requirement is satisfied in product support arrangements (contractor and/or organic processes) and the corresponding performance metrics.

Expectation: Identify all explicit, implicit or derived sustainment requirements; references to Request for Proposals (RFPs) or contracts in which the metric is used to manage sustainment performance; the planned evaluation timeframe; and expected timeframe for achieving the threshold/objective. (Note: This list should be more extensive than the Sustainment Concept addressed in Chapter 7, which identifies only sustainment cost drivers).

Requirement (KPP, KSA, Derived Req.)	Documentation	Threshold/ Objective	RFP/ Contract*	TES/ TEMP	IOC	FOC	Full Fielding

Table 2-1: Sustainment Performance Requirements (Optional) (NOTIONAL)

Table is time sensitive.

Note: Applicable for all Program RFPs/Contracts (eg. Analysis of Alternatives (AoA), Technology Development (TD) Phase, EMD Phase (Pre-EMD Review/Milestone (MS) B), Production (MS C), Post MS C or Full-Rate Production Decision Review (FRPDR)).

Break down the system-level metrics to the level of detail required to develop the product support plan and deliver the product support package (Example: Table 2-2).

Expectation: Identify linkage between the system's sustainment requirements (Key Performance Parameters (KPP)/Key Systems Attributes (KSA)) identified in any subsystem's performance requirements documentation and Service specific sustainment metrics.

Requirement	Lower Level Metric	Documentation	Standard or Level

Table 2-2: Sustainment Performance Metric Breakdown (Optional) (NOTIONAL)

Table is time sensitive.

2.2. Demonstrated (Tested) Product Support Requirements

provide the sustainment assessments and tests For each sustainment metric in Section 2.1, including: Operational Assessments, Development Tests, Operational Evaluations, Reliability Growth Tests, and Logistics Demonstrations (Example: Table 2-3). Data must map to the Test and Evaluation Master Plan (TEMP) and the Systems Engineering Plan (SEP). For each performance metric provide the following information, with an as-of date:

- Metric/Feature: Design Feature / Planned metric value upon which the product support strategy/package is based
- Contractual Requirements: Location in design specification/contract
- Demonstration Schedule: When and how demonstrated
- Requirement/ PS Elements Impacted: Impacted Product Support (PS) Elements
- Performance Objective/ PS Package Baseline Value: Demonstrated performance measure and gap to requirement
- Achieved/Estimated Value at Production
- Performance Metric Issue Mitigation (if necessary)

Note: Ensure the demonstrated performance measures are consistent with the required metrics identified in Table 2-1; include key sustainment assumptions as appropriate.

Demonstrated (Tested) Sustainment Performance						
[As-of Date]						
Metric/ Feature	Contractual Requirements	Demonstration Schedule	Requirement / PS Elements Impacted	Performance Objective/ PS Package Baseline Value	Achieved/Estimated Value at Production	Performance Metric Issue Mitigation

**Table 2-3: Sustainment Performance Assessment/Test Results (Optional)
(NOTIONAL)**

Table is time sensitive.

3. Regulatory/Statutory Requirements that Influence Sustainment Performance

List all statutory and regulatory requirements that impact the sustainment of the Program's system and may potentially impact sustainment performance (Example: Table 3-1). Reference SECNAVINST 5000.2E for the current, comprehensive list of regulatory and statutory requirements for your Program's Acquisition Category (ACAT) Level.

Expectation: Illustrate the Program's recognition and compliance with statutory, regulatory, and policy requirements, their inclusion in RFP/contracts and how those requirements are tied to performance metrics.

Requirement	Documentation	Office of Primary Responsibility	Start Date/Implementation Date	CLIN	Review Cycle	Affected Performance Metric

Table 3-1: Sustainment Alignment of Regulatory/Statutory Requirements (Optional) (NOTIONAL)

4. Management and Organization

Expectation: It is essential that the Product Support Manager (PSM)/ Life Cycle Logistician (LCL) ensure the participation and consensus of all stakeholders in developing and documenting the optimum support strategy within the Integrated Product Team (IPT) structure.

4.1. Management Approach

4.1.1. IPT Roles and Responsibilities

List the interfaces, deliverables and dependencies the Integrated Product Team (IPT) must coordinate to ensure sustainment is aligned with Program design, Program management (including risk management and configuration management), and test reviews. List the Program processes through which the IPT must integrate design and Program decisions with sustainment considerations, referencing the relationships identified in Section 4.3, Sustainment Relationships. Provide the unique delineation of the IPT's specific roles, responsibilities, and authorities. This section specifies how the IPT will accomplish the following roles and responsibilities:

- Develop a performance-based product support strategy that provides for competition and leverages common infrastructure and resources across Programs and Department of Defense (DoD) Components
- Develop and implement product support arrangements
- Assess and adjust resource allocations and performance requirements
- Conduct product support strategy reviews and validate the supporting business case analysis
- Contribute to the Program's financial efforts (e.g. budgeting, funds execution)
- Participate in and lead as appropriate Program Working Groups, with specific emphasis on sustainment related Working Groups

Expectation: The IPT's responsibilities listed here map explicitly to the Product Support Strategy and Planning sections in this template and align with the intent that the LCSP serve as the Program's primary Product Support Management tool. The activities and products associated with each responsibility should be scheduled in the Integrated Master Schedule.

Figure 4-1: Program Office Organization (Optional) (NOTIONAL)
Figure is time sensitive.

4.2.2. Program Office Product Support Staffing Levels

Summarize the Program’s product support staffing plan showing the number of required Full-Time Equivalent (FTE) positions (e.g., organic, matrix support, and contractor) by key Program events (e.g., milestones and technical reviews) (Example: Figure 4-2).

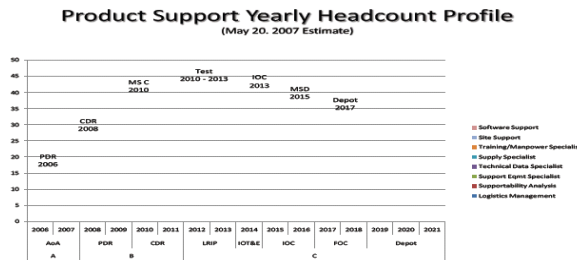


Figure 4-2: Program Product Support Staffing (Optional) (NOTIONAL)

Figure is time sensitive.

4.2.3. Contractor(s) Program Office Organization

Provide the contractor(s) Program organization and staffing plans.

4.2.4. Product Support Team Organization

Integrated Product Team (IPT) Organization – Show all government personnel and contractors (when available) assigned to sustainment related IPTs, working IPTs, and working groups – (Example: Figure 4-1). Display the vertical and horizontal interrelations among the groups listed. Identify the government and contractor(s) leadership for all teams.

IPT Details – List the following for all government and contractor(s) (when available) IPTs and other key teams (e.g., Level 1 and 2 IPTs and Working Groups), include the following details (Example: Table 4-1):

- IPT name and effective dates. IPT standup dates included in the Integrated Master Schedule
- POC and contract information

- Functional team membership (to address the appropriate product support elements)
- IPT roles, responsibilities, and authorities
- IPT products (e.g., updated baselines, risks, etc.)
- IPT-specific metrics

Expectation: The LCSP must provide the planned evolution in the organizational structure and IPTs through the acquisition process, including operations and sustainment.

Team Name	POC	Team Membership (By Function or Organization)	Team Role, Responsibility, and Authority	Products & Metrics

Table 4-1: IPT Team Details (**Optional**) (**NOTIONAL**)

Note: Time sensitive table; include an as-of date.

4.3. Sustainment Relationships

Identify IPT-external relationships (industry, other DoD Components, international partnerships) included in the product support strategy. Provide a figure showing the relationships between the Program Manager; Product Support Manager (PSM), if applicable; Product Support Integrators (PSI), and Product Support Providers (e.g. Original Equipment Manufacturer (OEMs), Defense Logistics Agency (DLA), Marine Corps Logistics Command (MCLC), Service Maintenance Depot) (Example: Figure 4-3). Include field activities, support centers, integration activities, and other stakeholders, as appropriate. In cases where the relationships (e.g. Memorandum of Agreement (MOA), international agreements) are not yet in place, indicate the required actions, the individual with primary responsibility, and the associated time frame in which the relationships are expected to be established.

Expectation: This example depicts a mature product support structure. Early in the acquisition process, this figure may not be as detailed. By the Pre-EMD Review, the Program must have defined the organizational structure in sufficient detail to support contracting actions.

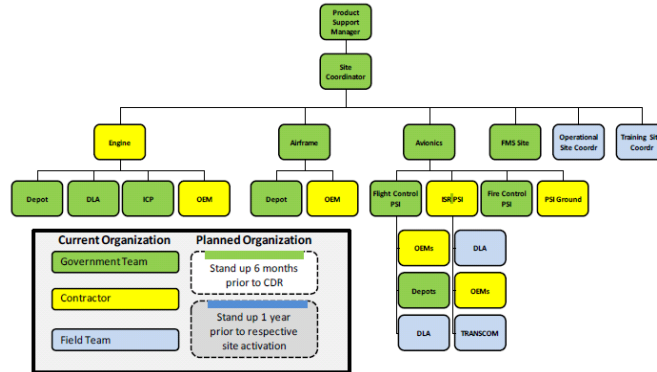


Figure 4-3: Product Support Providers (Optional) (NOTIONAL)

Should be consistent with Program Office organization; figure is time sensitive.

4.4. Sustainment Risk Management

Specify the process through which the Program will manage sustainment-specific risks, within the context of the overall Program risk management process. Indicate roles, responsibilities, and authorities within the risk management process for:

- Reporting/identifying risks
- Determining the criteria under which risks are defined and categorized (typically based on probability of occurrence and consequence)
- Adding/modifying risks
- Changing likelihood and consequence of a risk
- Closing/retiring a risk

If Risk Review Boards or Risk Management Boards are part of the process, identify the chair, participants, and meeting frequency. If Program and contractor(s) use different risk tools, identify the means by which information will be transferred among them.

Note: In general, the same tool should be used. If the contractor's tool is acceptable, then this merely requires government-direct, networked access to that tool.

List key sustainment risks, addressing the following (Example: Table 4-2):

- As-of date
- Risk including the review(s) in which it was identified
- Risk rating
- Description
- Driver
- Mitigation status

Expectation: Sustainment risk management must be part of the Program's overall risk management program and not an isolated process. This section should include specific risks that could adversely impact the product support package, including but not limited to changing design based requirements creep or immature sustainment technologies required to implement the product support strategy. The Mitigation Plan includes the schedule for addressing risk and the responsible individual in the Product Support organization.

Risk	Rating	Driver	Mitigation Plan	Status

Table 4-2: Risk Summary (Optional)

5. Product Support Schedule

Provide a detailed, integrated, life cycle system schedule that is derived from the integrated master schedule, emphasizing the next acquisition phase (Example: Figure 5-1). Schedule items may include, but are not limited to:

- Planned significant Program activities (i.e., activities which must be performed to produce the system):
 - Program and technical reviews
 - Request for Proposal (RFP) release dates
 - Software releases
 - Key developmental, operational, integrated testing
 - Production lot/phases
 - Contract award (including bridge contracts and sustainment contract awards)
 - Long-lead or advanced procurements
 - Performance agreements, particularly with and among organic providers
- Major logistics and sustainment events for each of the product support elements with specific emphasis on the materiel and data development and deliveries. Include dependencies on key sustainment planning documents:
 - Reliability Growth Plan from the SEP
 - User Performance-Based Agreement (PBA)
 - Product Support Business Case Analysis (BCA)
 - Facilities Impact Report (FIR)
 - Reliability Centered Maintenance (RCM) Analysis
 - Maintenance Plans (initial and final)
 - Core Logistics Assessment
 - Depot Source of Repair
 - Training Plan
 - Diminishing Manufacturing Sources and Material Shortages (DMSMS) Plan
 - Initial Issue Provisioning (IIP) Development/Deliveries
 - Corrosion, Prevention, and Control (CPAC) Plan
 - Planned post-implementation/post-IOC reviews
- Major activation activities for sites in the supply chain required to support the system, to include maintenance sites (including depot maintenance core capabilities stand-up), software support, and training sites. Include events for interim contractor support, hardware (including support and test equipment, trainers, etc.).

Expectation: Expand upon the Program's integrated master schedule (IMS) in the area of product support, especially activity that drives the Program's sustainment budget (e.g. support/test equipment, trainers, etc.). Capture major activities required to develop and implement the product support package. Detailed, task-level implementation plans for the individual product support elements may be included as an annex to the LCSP.

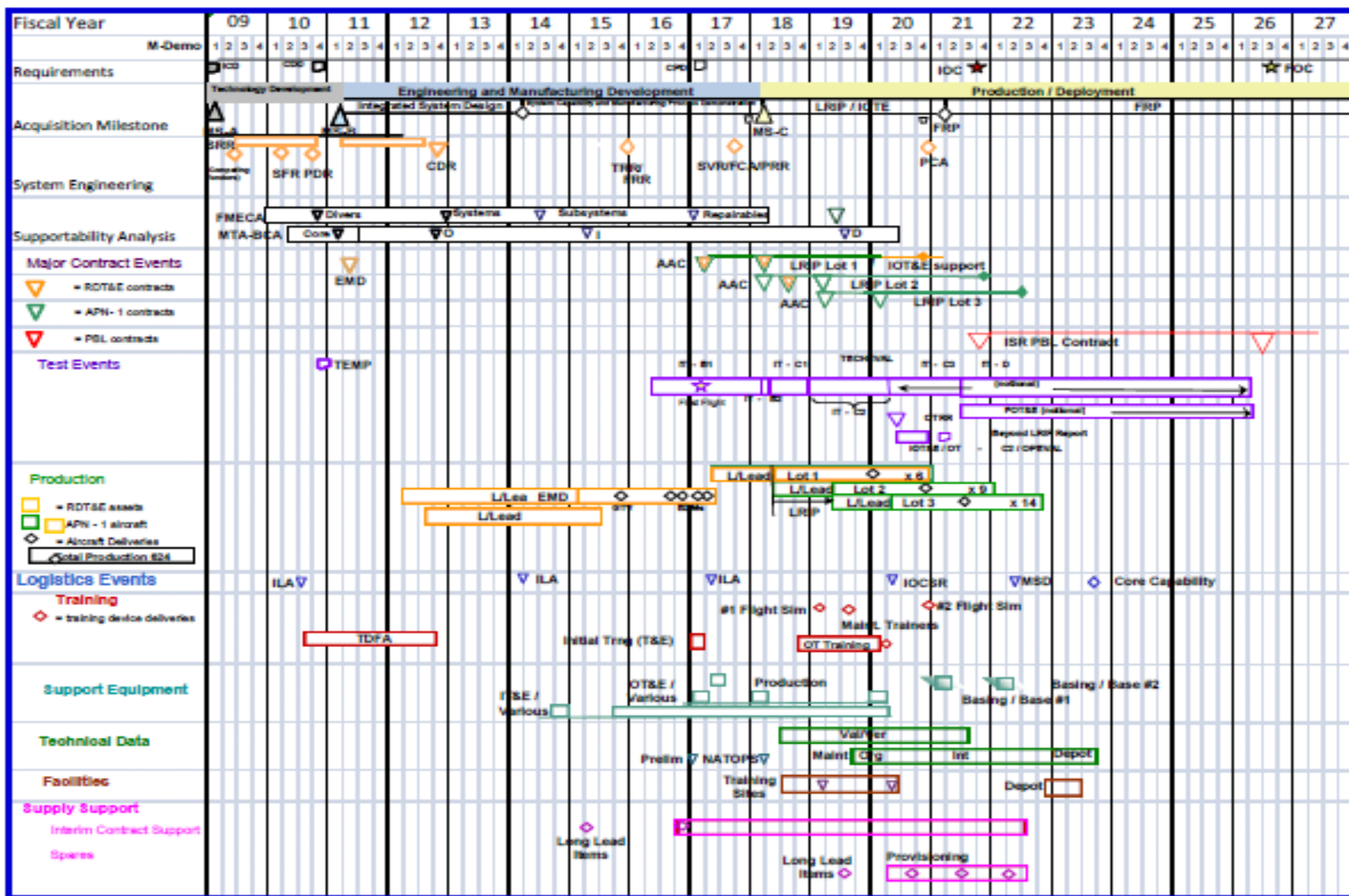


Figure 5-1: Product Support Schedule (Optional) (NOTIONAL)

6. Funding and Costs

Identify the Program's major sustainment funding requirements, the documentation of those requirements (e.g. Logistics Requirement Funding Summary (LRFS), LCCE, Service cost estimate, independent cost estimate (ICE), **Cost Analysis Requirements Description** (CARD)), and the current budget documentation (e.g. Program Objective Memorandum (POM)). Funding must be traceable to the "Investment Program Funding and Quantities" Chart in Section 8 of the Program's AS template (Example: Table 6-1). In addition to inclusion in the various estimates, it's important that sustainment requirements are also included and updated in the affordability requirement, Will Cost/Should Cost estimates, and updated to reflect on going, fact-of-life changes, such as design changes, reliability growth, and budget and funding cycles. Additionally, after MS C, as the system is fielded and operated, update to reflect data-driven changes or modifications to the system (i.e. design changes, Engineering Change Proposals (ECPs)) or the product support strategy. Sustainment requirements can be provided as footnotes to the chart or as a list.

Expectation: Provide comprehensive sustainment requirements planning activities that are traceable to current cost estimates and funding documentation. Note: this is similar to the overall Program Funding chart in format, but the data should be specific to Sustainment Funding Requirements.

Program Funding & Quantities									
(\$ in Millions/Then Year)	Prior	FY12	FY13	FY14	FY15	FY16	FY12-16	To Comp	Prog Total
RDT&E									
Prior \$									
Current \$									
Delta \$ (Current-Prior)									
Required \$									
Delta \$ (Current-Req.)									
PAN&MC									
Prior \$									
Current \$									
Delta \$ (Current-Prior)									
Required \$									
Delta \$ (Current-Req.)									
PROCUREMENT									
Prior \$									
Current \$									
Delta \$ (Current-Prior)									
Required \$									
Delta \$ (Current-Req.)									
MILCON									
Prior \$									
Current \$									
Delta \$ (Current-Prior)									
Required \$									
Delta \$ (Current-Req.)									
WEAPON SYSTEM O&M									
Prior \$									

Current \$									
Delta \$ (Current-Prior)									
Required \$									
Delta \$ (Current-Req.)									
TOTAL									
Prior \$									
Current \$									
Delta \$ (Current-Prior)									
Required \$									
Delta \$ (Current-Req.)									
QUANTITIES									
Prior \$\$									
Current \$									
Delta \$ (Current-Prior)									
Required \$									
Delta \$ (Current-Req.)									

Table 6-1: Product Support Funding Summary (OPTIONAL)

Table is time sensitive.

Note: Include the associated costs for each contract, broken out into appropriate logical segments (e.g., locations or types of site, functions, etc.). The costs must roll-up and be traceable to the procurement, Operations & Maintenance (O&M) and Operation and Support (O&S) data provided in the Program's LRFS, Life Cycle Cost Estimate (LCCE), affordability requirement, and Planning, Programming, and Budgeting System (PPBS) documents.

6.1. Product Support Development and Acquisition Costs

Provide a summation of the product support elements funding required and budgeted by year and appropriation consistent with other acquisition elements (e.g., Acquisition Program Baseline,

budget exhibits, funding chart, CARD, LRFS, and LCCE). Provide details of risk to Program (relative to achievement of Initial Operating Capability (IOC) and Full Operating Capability (FOC)) due to inadequate sustainment funding. Attach the LRFS outputs in an appendix to this document.

6.2. Ownership/Operating & Support Costs

Using the Program's constant year dollars basis, provide O&S Cost estimates for the "operating unit" annual costs (or costs per operating hour/mile) and include total costs over the Program's expected life based on the user's mission profile for the system as outlined in the Program's requirements, e.g., Initial Capabilities Document (ICD), Capabilities Development Document (CDD), Capabilities Production Document (CPD). The supporting drivers (e.g., number of years and inventory levels) and major assumptions should be consistent with the LCCE.

7. Product Support Strategy

Provide the product's standard reference design showing major subsystems and features (Example: Figure 7-1). Be consistent with the Program's work breakdown structure (WBS). More than one drawing may be needed to illustrate the major features affecting product support. If not available, provide the Program's top-level work breakdown structure.

Expectation: Planning for product support begins at system initiation and builds on system information documented in other requirements and acquisition deliverables available, such as the AoA, Concept of Operations (CONOPS)/ Concept of Employment (COE), and CDD. The Program should include opportunities to improve its product support over the antecedent system.

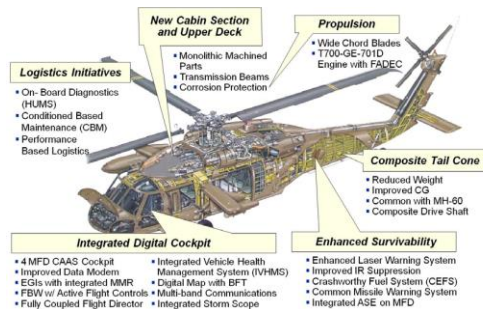


Figure 7-1: Sample Drawing of the Reference Design Concept (Optional) (NOTIONAL)

Address the product support elements (Example: Table 7-1):

- Sustainment concept (maintenance - including software support - and other major supply chain elements)
- Roles and responsibilities
- Levels of repair (2-Lvl, 3-Lvl), including prognostics, diagnostics and Built-in Test

Expectation: This information develops incrementally throughout the acquisition process. Prior to Milestone A, the data might only be completed to the second level of the Program WBS, with additional levels included to convey the strategy at its current level of development. While specific facilities or providers may not be known this early in the life cycle, the Program needs to develop sufficient detail to identify technical data rights provisions in its contracting actions.

Product Support Strategy

Sub-ops**	Data Rights	Function	Maintenance									Software Support/Maint		Supply Support		Transportation (PHS&T)		Supportability Analysis		Configuration Control *		Technical Data		Training	
			Level 1				Level 2				Level 3	O	C	O	C	O	C	O	C	O	C	O	C		
			O-1	O-2	O-3	C	I-1	I-2	I-3	C	Depot													C	
Airframe	Unlimited	Service/Inspections	0	0	0									0	0	0	0	0	0	0	0	0	0		
		Corrosion Control/Treatment	0	0						NI															
		Repair	0	0			0	0	0	NI															
Power Plants	Unlimited	Service/Inspections	0	0	0		0	0	0	NI			0	0	0	0	0	0	0	0	0	0	0		
Engine		Assembly/Disassembly	0	0			0	0	0	NI															
		Repair	0	0			0			NI															
APU	Negotiated License Rights	Remove & Replace	0	0	0	P							A	TRANSDC	P-A		A		A		A		A		
		Repair & Overhaul				A				A															
Avionics	Negotiated License Rights	Inspections	0	0	0					ISR			ISR		ISR		ISR		ISR		ISR		ISR		
ISR	Remove & Replace only	Functional test & adjustments					ISR	ISR	ISR	ISR															
		Repair					ISR	ISR	ISR	ISR															
Fire Control †	Government Purpose Rights no expiration date	Inspections	0	0	0					Tinker			0	0	0	0	0	0	0	0	0	0	0		
		Functional test & adjustments					0	0	0	Tinker															
		Repair					0		0	Tinker															
		Diagnosics Software									0														
Other	Government Purpose Rights no expiration date	Inspections	0	0	0					Tinker			0	A	TRANSDC	P-A	0	0	0	0	0	0	0		
		Functional test & adjustments	0	0			0	0	0	Tinker			0												
		Repair	0	0			0		0	Tinker			0	P-TBD	0	P-TBD	0	0	0	0	0	0	0		
Life Support	Unlimited	Inspections	0	0	0								0	0	0	0	0	0	0	0	0	0	0		
		Functional test & adjustments	0	0																					
		Repair	0	0			0		0																
Test Equipment	Unlimited	Diagnosics Software								NI			0												
Avionics		Hardware					0	0					0	0	0	0	0	0	0	0	0	0	0		
Propulsion	Negotiated License Rights	Diagnosics Software									B			B	B	B	B	B	B	B	B	B	B		
		Hardware					0																		

** Expand as required to highlight major sustainment cost or availability drivers. Also expand as program moves towards MS C.
 † Core

- | | |
|-----------------------------------------------|-----------------------------------|
| Maint Level Codes | Organizational Codes |
| O-1: Ashore Squadrons & Aviation ships | NI: NADEP North Island |
| O-2: DCONUS Detachments | Tinker: Tinker - AMC Tinker |
| O-3: Detachments aboard non-aviation ships | ISR: ISR Contractor TBD |
| I-1: Major CONUS Ashore & Aviation Ships AMIA | Contractor A |
| I-2: Minor CONUS Ashore Sites | B: Contractor B |
| I-3: DCONUS AMIDs | TBD: Contractor TBD |
| | P: Organic/Commercial Partnership |
| 0: Full organic capabilities | |
| o: Limited capabilities | |

* Includes design and logistics management responsibilities

Table 7-1: Product Support Strategy for Reference Design Concept (Optional) (NOTIONAL)

Table is time sensitive.

Depict the sustainment concept (Example: Figure7-2). Identify roles and responsibilities for product support providers that support the system's operational concept as depicted in the Acquisition Strategy (Operational View (OV)-1). List the Program's planned supply chain performance metrics. Additionally, include joint support, if planned, and the roles and responsibilities of the major agencies, organization and contractors planned as part of the system's product support.

- (1) Must be consistent with metrics in Section 2.1
- (2) List explicitly in Section 4, Management and Organization

Expectation: Illustrate the major elements of the system's Product Support Strategy, both government-furnished and commercially provided, both within the Continental United States (CONUS) and Outside the Continental United States (OCONUS). More than one graphic may be used, if needed. Coordinate the Program's plans with the Services for organic logistics enterprise support for the availability and affordability requirement. Also use data on capabilities and limitations of the logistics enterprise to influence system reliability design trade decisions. Additionally, this section, in conjunction with the Product Support Strategy for Reference Design Concept, provides the product support functional breakdown necessary to develop effective contracted product support arrangements.

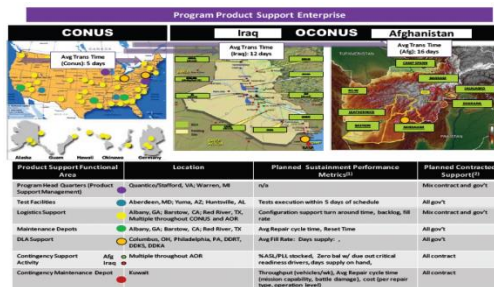


Figure 7-2: Sustainment Concept (Optional) (NOTIONAL)

Figure is time sensitive.

7.1. Sustainment Strategy Considerations

Provide considerations and cost drivers that impact affordability of the Sustainment Strategy (Example: Table 7-2). These elements must map to the appropriate Program documents (e.g. Cost Analysis Requirements Description, Manpower Evaluation Report (MER), and CONOPS/COE).

Expectation: Identify the considerations, sources, and the product support elements affected that are a sustainment cost driver. Product Support Strategy considerations are derived from multiple sources and can be explicit, implicit, or derived. The table's sub-headings are NOTIONAL.

Consideration	Core Documents	Cost Driver	Product Support Element Impact/Control
CONOPS			
DESIGN FEATURE			

Table 7-2: Sustainment Cost Drivers (Optional) (NOTIONAL)

8. Supportability Analysis

Expectation: The Program must closely align the engineering design with the product support elements to ensure that materiel availability can be achieved affordably. Early in the acquisition process, the emphasis of this section is on the design trades in preparation for each of the design reviews necessary to achieve the sustainment requirements and in preparation for the Pre-EMD Review. As the Program progresses into production this section focuses more heavily on integrating the product support elements to provide the most affordable product support. During sustainment, the focus is on adjusting product support based on the operational needs.

8.1. Design Impact

Expectation: This section should match the SEP, so the logistics community can reference one document for the Failure Modes,

Effects, and Criticality Analysis (FMECA) - as one example - and ensure a common understanding of failure modes. Once the initial FMECA is complete, the table provides a means to communicate changes as the design evolves. Ultimately the FMECA triggers the Program to make timely adjustments to the product support package.

8.1.1. Design Analysis

Failure Modes, Effects, and Criticality Analysis (FMECA) - For each of the major or critical subsystems provide the following details from the systems engineering FMECA (Example: Table 8-1) with an 'as-of date':

- Systems (break into subsystems as needed to highlight subsystems with reliability drivers or with reliability issues) and identify the responsible IPT Lead
- Schedule, including planned updates
- List subsystems and/or modes driving changes to baseline product support package
- Impact on product support strategy or product support package baseline change

System	Schedule	Issues/Likelihood	Impact/ Comments

Table 8-1: FMECA Summary (Optional) (NOTIONAL)

Table is time sensitive.

Reliability Growth Plan Issues - List the results of the systems engineering analysis efforts (Example: Table 8-2). The information should link with the current Reliability Growth Plan and include:

- Product Support Plan Driver Systems reflected with reliability 20% or more above target (number is illustrative; Program must tailor based on its specific needs)
- Planned value in the Reliability Growth Plan and corresponding de-rated value upon which the product support strategy/package is based
- Current reliability estimate (measured and de-graded) at production
- Confidence level target will be met
- Mitigation Plan and, if the target is not reached, a trigger for action required to ensure the Program remains on schedule

System	Planned/ De-Rated Values (Failures per Operation Hour)	Estimate at Production	Confidence Level	Mitigation Efforts

Table 8-2: Reliability Growth Plan Issues (Optional) (NOTIONAL)

Table is time sensitive.

Completed Supportability Trades - List the following for major supportability trade studies that have been completed since the last LCSP update in a table (Example: Table 8-3):

- Trade name and date completed
- Lead IPT
- Options analyzed
- Criteria used to evaluate costs and benefits
- Results
- Impact - on the weapon system design and/or product support strategy and package

Note: Includes business case or other economic analysis that consider sustainment costs and outcome value. Limit the list to the 10 most critical trades.

Completed Supportability Trades				
[As-of Date]				
Trade (Completed since XX/XX/XX)	IPT	Options Analyzed	Results	Impact

Table 8-3: Completed Supportability Trades (Optional) (NOTIONAL)

Table is time sensitive.

Planned Supportability Trades - List the following for major upcoming trades to be conducted prior to the next milestone and major trades in subsequent phases in a table (Table 8-4):

- Trade name
- Lead IPT
- Timeframe
- Objective
- Options to be analyzed
- Criteria used to evaluate costs and benefits

Expectation: The trades identified ensure the PdM has considered the coupling among the requirements, design and product support strategy. This section ensures that the supportability analysis results in an affordable design and product support package. The trades are used in the Technology Development phase to provide an initial assessment of requirement affordability. Prior to and following the Pre-EMD Review, the trades are critical in determining the Product Support Arrangement, both commercial and organic. Later, including during sustainment, trades are used to examine alternatives to control sustainment costs or achieve materiel available at a lower cost.

Planned Supportability Trades				
[As-of Date]				
Trade	IPT	Options Analyzed	Results	Impact
Post MS C Supportability Trades				
[As-of Date]				
Trade	IPT	Options Analyzed	Results	Impact

Table 8-4: Planned Supportability Trades (Optional) (NOTIONAL)

Table is time sensitive.

8.1.2. Technical Reviews

Identify the following information for each of the Technical Reviews identified in the SEP (Example: Table 8-5):

- Technical Review/Schedule
- Sustainment /Product Support Community participants
- Sustainment related focus area
- Entry and Exit Criteria

Review	Sustainment Participants	Sustainment Focus	Criteria

Table 8-5: Technical Reviews (Optional) (NOTIONAL)

Table is time sensitive.

8.2. Sustaining Engineering

List the tools that will be used to monitor the performance of the product support package (Example: Table 8-6):

- Monitoring Tool
- Office of primary responsibility (OPR)

- Metrics/Data monitored and frequency
- Feedback mechanism (including the method for highlighting to senior management the consequences and impacts on the Sustainment KPP/KSAs of budget constraints)
- Performance review timeframes

Sustainment Performance Data Collection and Reporting				
Tool	OPR/IPT	Metrics/Data Monitored	Feedback Mechanism	Review Timeframes

Table 8-6: Sustainment Performance Monitoring **(Optional)** **(NOTIONAL)**

Table is time sensitive.

9. Program Review Issues and Corrective Actions

Identify all reviews (e.g. System Requirements Review (SRR), Preliminary Design Review (PDR), Critical Design Review (CDR), Program Management Review (PMR)) in which the product support team participates, the open and in-work findings from the reviews, as well as corrective action and completion dates (Example: Table 9-1).

Expectation: Provide a single location to track and monitor sustainment-related findings and corrective actions among design, Programmatic, test and logistics reviews.

Review/Event	Finding	Corrective Action/Planned Completion Date

Table 9-1: Program Review Results **(Optional)** **(NOTIONAL)**

Table is time sensitive.

10. Product Support Package Implementation

Expectation: Consistent with the AS, for each product support element, identify its implementation milestone(s), Performance Based Agreements (PBA) or Performance Based Logistics (PBL) contracts, Commercial off the Shelf (COTS)/Government Furnished Property (GFP), and dependency to other elements. Specifically include all data rights issues, software license agreements, or warranties and note any limits to the government's ability to sustain the system including re-procurement or future competitive options. List all proprietary data or design elements used with the system and their associated sustainment impacts.

10.1. Technical Data

Identifying the type and scope of technical documentation required for each product support element, including but not limited to engineering drawings, specifications, software documentation, provisioning documentation, Technical Manuals I, Interactive Electronic Technical Manuals (IETMs), re-procurement data, etc. Ensure data costs (TMs, IETMs, drawings, etc.) are included in Chapter 6.

10.2. Computer Resources and Software Support

Address all Software, Network-Centric Systems and Computer Hardware support requirements, issues and status, including how the code is maintained. Include an overview of the software license agreements required to sustain the system. As appropriate, list the software license agreements by name, vendor, subsystem supported, date, version number, cost, anticipated software license duration and renewal cycle, number of users supported by each license, etc. Describe conditions, duration and cost, of all computer software and hardware support agreements and warranties. Ensure licenses, technical refreshment based on obsolescence, software maintenance, etc. are included in Chapter 6.

10.3. Training and Training Support

Summarize the system Training & Training Support Decision from the Manpower, Personnel & Training Plan (MPTP). Provide a matrix of each product support element to include:

10.3.1. Acquisition-Related Training (include MPTP reference)

10.3.1.1. Test & Evaluation (T&E) Training

List test events requiring training, locations and dates.

10.3.1.2. Instructor & Key Personnel Training (I&KPT)

List I&KPT events, locations and dates.

10.3.1.3. New Equipment Training (NET)

List NET events, locations and dates.

10.3.2. Military Occupation Specialty (MOS) School training (include MPTP reference)

10.3.2.1. Operator MOS School(s)

List operator courses, hours of instruction related to equipment, MOSs impacted, schoolhouse base locations and Ready-to-Train dates.

10.3.2.2. Maintainer MOS School(s)

List maintainer courses, hours of instruction related to equipment, MOSs impacted, schoolhouse base locations and Ready-to-Train dates.

10.3.2.3. Support MOS School(s)

List support personnel courses, hours of instruction related to equipment, MOSs impacted, schoolhouse base locations and Ready-to-Train dates.

Note: Ensure training costs and trainer quantities are included in the cost section (Section 6) into appropriate logical segments (e.g. training devices, training sites, operational sites, training materials, etc.).

10.3.3. Unit Sustainment Training (include MPTP reference)

List all life cycle training products and services to support operational commander's equipment-related incidental, on-the-job, and refresher training requirements. Examples may include but are not limited to job aids, videos, embedded training, distributed training, mobile training teams, Unit Training Assistance Program (UTAP), web-based training, training devices, simulators, and support to MEF schools such as MAGTF Integrated Systems Training Center (MISTC), Communication Training Centers (CTC), or Division Schools. Provide product or service provided and implementation date.

10.3.4. Training Effectiveness

List training effectiveness evaluation methodologies and metrics for acquisition-related training and unit sustainment training and training support.

10.4. Manpower and Personnel

This section summarizes the life cycle manpower mix and personnel requirements for the system. Reference the Manpower, Personnel & Training Plan (MPTP) Manpower & Personnel Decision and the MER (if required by the Marine Corps Manpower Authority).

10.4.1. System Operator Requirements

Consistent with MPTP and MER data, identify all system operators (military & civilian), rank /grade levels, quantity required to meet operator workload on system, and any personnel requirements (such as security clearances, certifications), against projected planned and required availability, by year for the life cycle. (Example: Table 10-1).

System Operator (MOS/Civilian Series)	Rank/Grade Level	Quantity	Other Special Requirements

Table 10-1: System Operator Requirements

10.4.2. System Maintainer Requirements

Consistent with MPTP and MER data, identify all system maintainers (military & civilian) by level of maintenance, rank /grade levels, quantity required to meet maintenance workload on system, and any personnel requirements (such as security clearances, certifications), against projected planned and required availability, by year for the life cycle. (Example: Table 10-2).

System Operator (MOS/Civilian Series)	Rank/Grade Level	Quantity	Other Special Requirements

Table 10-2: System Maintainer Requirements

10.4.3. System Support Personnel Requirements

Consistent with MPTP and MER data, identify all support personnel (military & civilian), rank /grade levels, quantity required to meet support workload on system, and any personnel requirements (such as security clearances, certifications), against projected planned and required availability, by year for the life cycle. (Example: Table 10-3).

System Operator (MOS/Civilian Series)	Rank/Grade Level	Quantity	Other Special Requirements

Table 10-3: Support Personnel Requirements

10.4.4. System Contractor Personnel Requirements

Consistent with MPTP and MER data, identify all functions supported by contractor personnel and the annual man/hour requirements by year for the life cycle. (Example: Table 10-4).

Contractor Function	Fiscal Year	Annual Man Hours

Table 10-4: System Contractor Requirement

10.4.5. System Instructor Personnel Requirements

Consistent with MPTP and MER data, identify all instructor personnel (military & civilian), rank /grade levels, quantity required to meet support workload on system, and any personnel requirements (such as security clearances, certifications), against projected planned and required availability, by year for the life cycle. As required, address contractor instructors in paragraph 10.4.4 above. (Example: Table 10-5).

System Operator (MOS/Civilian Series)	Rank/Grade Level	Quantity	Other Special Requirements

Table 10-5: System Instructor Requirement

10.5. Support Equipment (SE)

Identify all common and unique/peculiar SE, whether it's GFP or COTS, against projected planned and required availability, by year, until completion. For Automatic Test Systems, provide the justification for non-use of DoD family of systems and the review and approval process for use of non-DoD standard systems. Identify data and design drawings procured and ensure costs and quantities are included in the cost section (Section 6) into appropriate logical segments (e.g. field SE, depot SE, test Program sets, calibration SE, etc). Coordinate any planned Support Equipment (SE) requirements with the appropriate SE PM.

Support Equipment	Nomenclature	NSN	Qty

Table 10-6: Support Equipment Requirements

10.6. Supply Support

Identify and describe all non-standard supply support strategies (i.e. unique or different from DoD or Component supply support). Ensure supply support costs (e.g. initial spares, site activation spares, etc.) are included in Chapter 6. In a table,

identify significant open supply support issues, corrective and/or mitigation actions, and the planned resolution date.

Open Supply Support Issues	Corrective/Mitigation Activities	Planned Resolution Date

Table 10-7: Open Supply Support Issues

10.6.1. Parts and Material Trade Studies and Selection Process

Identify the engineering methods used in material selection for items used in the system, ensuring the maximum use of common parts (e.g., Parts Management initiatives, standardization, etc.), and the safe guards to ensure the contractor is selecting parts and materials from Qualified Product Lists (QPL) or otherwise fully qualified vendors.

10.6.2. Supply Chain Management

Provide the supply chain and identify key stakeholders, Inventory Control Points (ICPs), Sources of Supply (SOS), organic support, support contractor, and vendors. Include all regional and operational supply points to assist with resolution of real world supply support issues. If applicable, outline the Contractor Supported Weapon System (CSWS) processes and tools.

10.6.3. Provisioning of Initial and Follow-On Spares

Describe the plan to develop Supplemental Data for Provisioning (SDFP), to conduct provisioning conference(s), and procure and deliver initial and follow-on spares to the users, ICPs, and depot repair centers. Breakout the initial spares cost in all Program funding charts.

10.6.4. Managing Supply Chain Risks

Identify all open supply chain risks, corrective or mitigation actions, and estimated implementation dates (Example: Table 10-8).

Open Supply Chain Risks	Corrective/Mitigation Activities	Estimated Implementation Date

Table 10-8: Open Supply Chain Risks

10.7. Facilities and Infrastructure

Describe facilities and infrastructure requirements (addressing storage, training, operation, maintenance, and interim support requirements) and related support planning activities, such as completion of an initial Facilities Impact Report (FIR) to before MS B, submission of the final FIR and receipt of FIR Responses before MS C, and possible site visits. List facilities against planned and required availability by year, and update as informed by FIR Responses from - and in coordination with - installation planners. Alternatively, provide as an attachment a Program Facilities Plan if deemed necessary by the Program as a standalone document due to protracted, complex construction or facilities repair efforts. Ensure costs and quantities (e.g. locations or types of sites, etc.) are included in Chapter 6.

Note: Give special attention to coordination with installation planners and other base commander staff related to funding, construction, and occupancy timeframes to assure funding availability related to appropriation constraints and schedule shifts. Give special attention to NEPA efforts, timeframes, and funding requirements at installations related to potential site preparation or construction.

Facility	Description and Purpose	Required Availability

Table 10-9: Facilities

10.8. Packaging, Handling, Storage, and Transportation (PHS&T) Requirements

Identify all unique or special Packaging, Handling, Storage, and Transportation (PHS&T) requirements of the system, sub-system, component, and sub-component, across the entire supply chain (e.g. transport or transportability requirements such as air, rail, ship, and Department of Transport (DOT) certification, Item Unique Identification (IUID) marking and registry, re-usable containers, etc.). Identify unique or special Preservation and Storage of Tooling or Special Packaging Instruction requirements. Ensure PHS&T costs, including second destination transportation, are reflected in applicable LCCEs, or product support business case analyses, as applicable. Prior to MS-C, address the preservation and storage of unique tooling including the identification of any contract clauses, facilities, and funding required.

10.9. Maintenance and Repair Capabilities

Provide a list of all site activations against projected planned and required availability, by year, until completion. Identify open significant issues, corrective or mitigation actions, and estimated completion dates. Ensure all costs (organic or contractor) are included in Chapter 6 (e.g. locations or types of sites, etc.). As applicable, provide a list of all warranties and identify how they will be tracked (or a Warranty Plan including commercial warranties for COTS, standard warranties offered by OEMs etc.) and identify any open or controversial warranty issues. Ensure a cost benefit analysis has been conducted which includes the cost of warranty administration and ensure warranty costs are reflected in LCCEs and product support business case analyses.

Site	Description and Purpose	Required Availability	Open Issues and Planned Mitigations/Resolutions	Estimated Completion Date

Table 10-10: Site Activations

11. Product Support Contract Strategy

11.1. Contracts

Provide sustainment related contract efforts, in place or planned, as part of the product support package (example: Table 11-1). Map data to the Acquisition Strategy and provide sustainment specific provisions including the:

- Name and Product Support Contract Line Item Numbers (CLINs)
- Organization and points of contact
- Products and period of performance covered, including remaining actions to put the contract into place
- Responsibilities/authorities and functions
- Metrics and incentives

Expectation: Identify the system contracts, specifically the product support contract line items, delivery orders, or sub-contracts if the services are imbedded in broader Program and support service contracts. Indicate the extent of coverage of hardware and software, design and configuration, and each of the product support elements consistent with Section 2.1 (including the extent to which the statement of work emphasizes outcomes and performance, rather than activity and transactions). Include the incentives and remedies (competition, incentive and award fees, etc.) designed to motivate the contractor to improve performance and reduce cost.

Product Support Related Contracts				
[As-of Date]				
Name	Organizations	Products/Timeframe	Responsibilities/Authority and Functions	Metrics & Incentives

Table 11-1: Performance Based Arrangements Implemented in Contracts (Optional)
(NOTIONAL)

Table is time sensitive.

11.2. Performance Based Agreements (PBA)

List the PBAs in place or planned, including performance incentives (Example: Table 11-2).

Note: Early in the acquisition process complete details will not be available. However, by Pre-EMD Review the Program should define the PBAs to sufficient detail to identify contract actions required to support the organic providers and the associated implementation schedule.

Performance Base Agreements with Organic Product Support Providers				
[As-of Date]				
Name	Organizations	Products/Timeframe	Responsibilities/Authority and Functions	Performance Metrics

Table 11-2: Performance Based Agreements (Organic Support Providers) **(Optional)**

Table is time sensitive.

12. Product Support Package Status

12.1. Product Support Package Status Overview

Provide assessment results for the product support package (Example: Table 12-1). Include the plan for resolving each of the issues identified in the Independent Logistics Assessment (ILA), identify the individual responsible for resolving the issue, and specify the steps and schedule for closing each unresolved issue. Ensure significant tasks required to resolve product support issues are captured in the Product Support Schedule (Section 5).

Expectation: For each product support element, provide an assessment of the actual level of development compared to the plan. The Program should also assess any risk in the integration among the product support elements. Ensure the ILA is identified in the Product Support Schedule (Section 5), and this section should summarize the results and plans for corrective action.

Product Support Element	Assessment	Discussion/Issues	Corrective Action/ECD

Table 12-1: Product Support Package Assessment (Optional) (NOTIONAL)

Table is time sensitive.

13. Additional Sustainment Planning Factors

List additional sustainment issues or risks that cross functional lines that could adversely impact sustainment or sustainment support across the system's life cycle that are not included elsewhere in the LCSP. If the topic is addressed in another document (e.g., the SEP) provide a short summary and reference the source. For example:

- Critical Program Information elements provided in the Program Protection Plan (maintaining anti-tamper on component or sub-components)
- Materials with environmental impacts addressed in the Programmatic Environment, Safety and Occupational Health Evaluation (PESHE) (require special handling, demilitarization, facilities, training)
- System integration with or onto another platform (vehicles onto transport ships/RoRos, air transports, etc.)
- Integration of Command, Control, Communications, Computers, and Intelligence (C4I) with the system
- Provide a list of precious metals requiring recovery, items that are classified, export controlled, pilferable, or require special handling.
- Any coordination with PM Ammo for all matters pertaining to the life cycle of conventional munitions.

Expectation: Information may be included in other acquisition documents but is important to the effective functioning of operators and maintainers. This section provides product support stakeholders additional information that impacts sustainment planning and operations and a reference to where additional information can be found.

LCSP Annexes

Include other standalone documentation that amplifies the Program's LCSP only if it provides additional value. Example:

- Manpower Estimate Report (MER)
- Product Support BCA (DODI 5000.02)
- User Performance-Based Agreement (PBA)
- Facilities Impact Report (FIR) and FIR Responses
- Logistics Assessment and Corrective Action Plan (DODI 5000.02)

- IUID Plan
- System Disposal Plan (DODI 5000.02; DOD 4160.21-M)
- Core Logistics Analysis (DODI 5000.02)
- Source of Repair Analysis (DODI 5000.02)
- Service-Specific Requirements, including detailed system Product Support Plan/integrated product support elements

Expectation: The Marine Corps/MCSC Components will use this section to provide more detailed implementation information to guide the development and fielding of the product support package.

Template (f) Initial MDA Deviation Notification

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

5000
[INSERT REFERENCE #]

MEMORANDUM

From: Program Manager, [INSERT PROGRAM NAME]
To: Commander, Marine Corps Systems Command
Via: Assistant Commander for Programs

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

Ref: (a) MCSC Acquisition Guidebook (MAG)
(b) DoN Acquisition and Capabilities Guidebook of 9 May 12
(c) SECNAVINST 5000.2E
(d) [INSERT PROGRAM NAME AND DATE OF LATEST ADM]
(e) [INSERT PROGRAM NAME AND DATE OF LATEST APB]

Encl: (1) [INSERT PROGRAM NAME] Probability of Program Success (PoPS) Core Briefing Charts of [INSERT DATE]

1. **Purpose.** Per references (a) through (c), this memorandum provides initial notification to the Milestone Decision Authority (MDA) of a program deviation. It summarizes the following for MDA consideration:

- a. Nature and magnitude of the deviation.
- b. The initial planned mitigation strategy and associated products.
- c. Recommendation (with supporting rationale) that the Program Manager (PM) conduct a detailed assessment of the cause(s) of the deviation or stand up of a formal deviation review board.
- d. Next steps and timelines.

This template includes suggested content and instructions/hints for the preparer. When a formal deviation review board is not recommended the PM may tailor the content as appropriate.

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

Leverage the enclosed PoPS core briefing charts to the maximum extent feasible. Specifically, the PoPS "Program Overview", "APB Status", "PM Recommended C/S/P Trades", and "Design Trade Off Results" charts may be referenced in lieu of duplicating content.

2. **Scope.** Upon MDA approval of the strategy and timelines herein, the PM or a deviation review board will conduct a root cause analysis of the deviation and recommend

corrective actions. The MDA shall consider the recommendations and determine the program path forward which may include:

- a. Program cancellation.
- b. Program restructure (substantive change to schedule, quantity, affordability targets, or performance parameters).
- c. Modified status quo (non-substantive change to program).

3. **Background - Program Description.** Briefly describe the program to include:

- a. Acquisition Category level and MDA.
- b. Last major milestone decision, next planned milestone decision.
- c. Program sponsor.
- d. Date of last PoPS assessment, performing organization, and overall Level 1 rating [INSERT RED-YELLOW-GREEN].
- e. Summary of all previous Acquisition Program Baseline (APB) deviations.
- f. Highlights from the latest Acquisition Decision Memorandum (reference (d)) and status of exit criteria where appropriate.
- g. Other critical information the PM wishes to highlight for MDA consideration.

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

4. **Description of Deviation.** Below is the PM's initial estimate of the impact of the deviation. The MDA will be provided with information of additional fidelity upon completion of the deviation review board or PM analyses.

a. Summarize the nature of the program deviation (e.g., cost, schedule, or performance (C/S/P)) and the anticipated impact (e.g., schedule delay of 10 months, cost increase of \$10M, inability to meet Key Performance Parameters, etc., with regard to the current APB (reference (e))).

b. List the threshold and objective values of the C/S/P parameters shown in the program's current APB (reference (e)).

c. Current estimate of the breached APB parameter(s).

d. Total Ownership Cost / Program Acquisition Unit Cost (PAUC)/Average Procurement Unit Cost (APUC) percent cost growth with regard to current and original APB baselines. Note: APUC and PAUC are not applicable to many Information Technology programs - see the [Chapter 8](#) for guidance.

e. The projected cost and schedule for completing the program if current requirements are not modified.

f. Identify impact on other programs as well as program dependencies.

5. **Root Cause(s) of Deviation.** Summarize the PM's initial assessment of the root cause(s) of deviation and specify if each root cause was a one time or recurring event. Specify that the above is a notional analysis, the MDA will be provided with mature results and findings upon completion of the program deviation report.

6. **Corrective Actions.** Summarize the following:

a. Corrective actions which have already been initiated to address/mitigate the breach.

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

b. New/additional corrective actions to minimize the extent of the deviation pending completion of the program deviation report to the MDA. This should include limitations on obligation of funds, award of contract(s), stop work order(s), or other tools to limit the government's risk exposure.

7. **Alternatives to be Considered.** The following areas will be explored to mitigate the deviation:

- a. Performance, quantity, and schedule trades.
- b. The projected cost and schedule for completing the program based on reasonable modification of requirements.
- c. The rough order of magnitude of the cost and schedule for any reasonable alternative system or capability.
- d. Expanded application of should cost and development of affordability targets per [Better Buying Power](#) where applicable. This may include development of affordability courses of action per [Chapter 7.3](#).

8. **Deviation Review Board OR PM advisors - Proposed Membership.** List the PM's recommended participants by name and organization. Highlight the recommended Chair and list them first. The PM may propose that he/she leads the analysis with the support of advisors (Tier-0 Integrated Product Team (IPT), Combat Development and Integration (CD&I), & key stakeholders) or standup of a formal deviation review board.

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

Recommended Membership [INSERT PROGRAM NAME]		
Deviation Review Board/PM Advisors		
Organization	Name	Title
List Chair Person first		
PM (Mandatory)		
CD&I (Mandatory)		

Recommended Membership [INSERT PROGRAM NAME]		
Deviation Review Board/PM Advisors		
Organization	Name	Title
Tier-0 IPT (Mandatory)		
AC PROG (Mandatory)		
Program Sponsor (Mandatory)		
MCOTEA		
Key Stakeholders		

9. Next Steps and Timelines

a. Program Deviation Report. The report will be prepared by the PM or deviation review board and provided to the MDA by [INSERT DATE*]. It shall include specific recommendations for MDA review/approval.

** NOTE: If this date is more than 30 days after occurrence of the deviation, include a statement similar to the following: "Per DoDI 5000.02, submittal of this report is required within 30 days of the occurrence of the deviation. However, this is a regulatory requirement and may be revised by the MDA. The PM requests that submittal of the program deviation report be extended to [INSERT DATE] to enable [INSERT RATIONALE such as update Life Cycle Cost Estimate (LCCE), review requirements trades, etc.]."*

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

b. Revised APB. The MDA will be provided with an updated APB that reflects the results of the program deviation board and MDA approved corrective actions by [INSERT DATE**].

*** NOTE: If this date is more than 90 days after occurrence of the deviation, include a statement similar to the following: "Per DoDI 5000.02, submittal of the revised APB for MDA signature is required within 90 days of the occurrence of the*

deviation. However, this is a regulatory requirement and the timeline may be revised by the MDA. The PM requests that submittal of the updated APB be extended to [INSERT DATE] to enable [INSERT RATIONALE such as pending completion of an updated LCCE, approval of revised CDD, etc]."

10. **Recommendation.** MDA approval of the strategy and timelines outlined in this memorandum to include stand up of the deviation review board described in paragraph eight.

11. **Point of Contact.** Insert POC name and contact information.

[INSERT NAME AND TITLE OF
APPROPRIATE OFFICIAL]
(Typically the PM)

Copy to: (see next page)

Copy to: You may add organizations to the below as appropriate
ASN (RDA)

HQMC (DC, I&L; DC, PP&O; DC, P&R; DC, CD&I; DIR, C4)

COMMARCORSYSCOM (RMGT; ACCT; ACPROG; ACPROG TOPIC; ACALPS; SIAT;
PMMXXX; OPS CELL), Dir, MCOTEA

Template (g) Program Deviation Report

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

When a formal deviation review board was not convened modify the narrative as appropriate

5000
[INSERT REFERENCE #]

MEMORANDUM

From: Chair Deviation Review Board, [INSERT PROGRAM NAME]
To: Commander, Marine Corps Systems Command
Via: Assistant Commander for Programs

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

Ref: (a) MCSC Acquisition Guidebook (MAG)
(b) DoN Acquisition and Capabilities Guidebook of 9 May 12
(c) [INSERT PROGRAM NAME] and date of initial notification of program deviation to MDA
(d) [INSERT PROGRAM NAME AND DATE OF LATEST ADM]
(e) [INSERT PROGRAM NAME AND DATE OF CURRENTLY APPROVED APB]

Encl: (1) [INSERT PROGRAM NAME] PoPS Core Briefing Charts of [INSERT DATE] Note: PoPS core briefing charts should be updated to reflect the impact of the deviation.

Encl: (2) [INSERT PROGRAM NAME] Deviation Review Board Record of Concurrence of [INSERT DATE]

Encl 2 template provided at end of this memo

1. **Purpose.** Per references (a) and (b), this report provides an assessment of the root causes and suggested mitigation strategies with regard to the program deviation initially reported to you via reference (c).

2. **Background - Program Description.** Briefly describe the program to include:

- a. Acquisition Category (ACAT) level and Milestone Decision Authority (MDA).
- b. Last major Milestone (MS) decision, next planned MS.
- c. Program sponsor.

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

d. Date of last Probability of Program Success (PoPS) assessment, performing organization, and overall Level 1 rating [INSERT RED-YELLOW-GREEN].

e. Summary of all previous Acquisition Program Baseline (APB) deviations.

f. Highlights from the latest Acquisition Decision Memorandum (ADM) (reference (d)) and status of exit criteria.

This template includes suggested content and instructions/hints for the preparer. The PM may tailor the content as appropriate. At a minimum, the intent of the analysis described herein should be followed to ensure a fully informed MDA decision.

The report should leverage the enclosed PoPS core briefing charts to the maximum extent feasible. Specifically, the PoPS "Program Overview", "APB Status", "PM Recommended C/S/P Trades", and "Design Trade Off Results" charts may be referenced in lieu of duplicating content.

3. **Description of Deviation.** Summarize the following:

a. The nature of the program deviation (e.g., cost, schedule, or performance (C/S/P)) and impact (e.g., schedule delay of 10 months, cost increase of \$10M, inability to meet Key Performance Parameters (KPPs), etc., with regard to the current APB (reference (e))).

b. The threshold and objective values of the C/S/P parameters shown in the program's current APB (reference (e)).

c. Current estimate of the breached APB parameter(s).

d. Total Ownership Cost / Program Acquisition Unit Cost (PAUC) / Average Procurement Unit Cost (APUC) percent cost growth with regard to current and original APB baselines. *Note: APUC and PAUC are not applicable to many Information Technology programs - see [Chapter 8](#) for guidance.*

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

e. The projected cost and schedule for completing the program if current requirements are not modified.

f. Identify impact on other programs as well as program dependencies.

4. Status of Deviation Management Activities

a. Via reference (d) the MDA directed:

(1) Stand up of the deviation review board described in paragraph five or that the Program Manager (PM) conduct an analysis of the deviation and develop corrective actions.

(2) The following interim actions, exit criteria, and target dates to mitigate the deviation impact pending completion of the deviation review board or PM assessment. [INSERT appropriate information from the ADM and status of each such as met target, complete, did not meet target].

b. Describe other key activities initiated to support validation or execution of the program deviation report recommendations. This may include updated Life Cycle Cost Estimate (LCCE), requirements update, etc.

5. Deviation Review Board or PM Advisors. The deviation review board or PM advisory team was convened on [INSERT DATE]. Populate the table below to display the board or PM team members and their respective organizations.

Deviation Review Board or PM Advisors for [INSERT PROGRAM NAME]		
*Organization	Name	Title

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

6. **Root Causes of Deviation.** Populate the table below to summarize the root cause(s) of the deviation and specify if each root cause was a one time or recurring event. Link each root cause to a corresponding corrective action in paragraph seven below.

Root Cause of Deviation for [INSERT PROGRAM NAME]			
Root cause	One Time or Recurring	Corresponding Corrective Action	Corrective Action Complete or Pending MDA Approval
		Insert the # of corresponding corrective action from paragraph 7	

7. **Corrective Actions.** Address impact to other programs and program dependencies as appropriate.

a. Corrective actions already initiated to address/mitigate the breach.

b. New/additional corrective actions to minimize the extent of the breach and reduce risk of further breach. This should include recommended C/S/P trades and associated updates to KPPs & Joint Capabilities Integration and Development System (JCIDS) documentation.

c. Management actions instituted to raise the visibility of the breach, including award fee/Contractor Performance Assessment Reporting System implications.

d. Recommended frequency and content of progress reports to the MDA with regard to the effectiveness of corrective actions (include proposed metrics to assess progress).

8. **Alternatives Considered**

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

a. Performance, quantity, and schedule trades considered to mitigate the deviation. A sample table is provided below.

b. The projected cost and schedule for completing the program based on reasonable modification of such requirements.

c. The rough order of magnitude of the cost and schedule for any reasonable alternative system or capability.

d. Expanded application of should cost and development of affordability targets per [Better Buying Power 2.0](#) where applicable. This may include development of affordability courses of action per [MAG Chapter 2](#).

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

Sample Table of Alternatives Considered

#	Option	Capability to Warfighter/Performance Impact	Schedule Impact	Cost Impact	Risk (Low/Med/High)
1	Modify KPPs	Less capability delivered	Neutral	Decrease cost	High - Critical capability gap not met
2	Incremental Delivery	Same capability delivered over longer time period	Delay IOC/FOC	Deferred cost	Med - Assumes each increment meets economic order quantity
3	Decrease AAO	Less capability delivered	Neutral	Decrease program cost/increase cost to sustain legacy system	Med - Assumes ability and funding to extend legacy systems life and revise CONOPS
4	Establish Affordability Target	Less capability delivered. Meet KPPs. Several KSAs not met	Neutral	Decrease program cost	Med - Requires change to test strategy

Populated Sample Provided for Illustrative Puposos Only. Must be tailored for each program.

9. Next Steps/Recommendations

a. Summarize recommendations and rationale with regard to continuation of the program (typically one of the following categories):

(1) Program cancellation.

(2) Program restructure (substantive change to schedule, quantity, or performance parameters).

(3) Modified status quo (no substantive change to program structure).

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

b. Describe impact of and risks/issues associated with recommendation in 9a.

c. Describe required actions to implement the recommendation in 9a. This may include update to LCCE, JCIDS documentation, Program Objective Memorandum submission, budget and funding profiles, etc.

d. Target date for submitting the updated APB for MDA signature.

10. **Assessment.** The deviation review board has assessed the [INSERT PROGRAM NAME] to include root causes of the deviation, overall program status, and proposed corrective actions. The board collectively concurs with updated PoPS core briefing charts (enclosure 1), the contents of this report (enclosure 2), and the following:

a. The capabilities or products to be acquired under the program are essential to the national security or to the efficient management of the Department of Defense.

b. There is no alternative to the system or information technology investment which will provide equal or greater capability at less cost.

c. The new estimates of the C/S/P parameters are reasonable.

d. The management structure for the program is adequate to manage and control program costs.

Notes:

(a) These determinations shall be based upon a comprehensive analysis of causes, impact, consideration of alternatives, and recommended mitigations.

(b) DAG Chapter 10.11.5.5.3 outlines ACAT I criteria ISO each MDA determination. This will require interpretation/tailoring for MCSC programs, but provides a valuable benchmark.

(c) Sub-paragraphs 10 a-d may be deleted and replaced with appropriate narrative if the recommendation is to cancel the program.

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

11. **Point of Contact.** Insert POC name and contact information.

[INSERT NAME AND TITLE OF
DEVIATION REVIEW BOARD CHAIR]

Copy to: You may add organizations to the below as appropriate

ASN (RDA)

HQMC (DC, I&L; DC, PP&O; DC, P&R;DIR, C4)

DC, CD&I

COMMARCORSSYSCOM (RMGT; ACCT; ACPROG; ACPROG TOPIC; ACALPS; SIAT;

PMMXXX; OPS CELL)

Dir, MCOTEA

Template For Record Of Deviation Review Board Concurrence

Record of Deviation Review Board Concurrence with the [INSERT PROGRAM NAME & DATE OF PROGRAM DEVIATION REPORT]			
*Organization	Name	Concur/Non-Concur	Signature

Template (h) Post Implementation Review Plan

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

Post-Implementation Review Plan for

(Program Name)

Version (#)

Date: (Date)

APPROVAL:

Program Manager name
Org

Date

PREPARED BY:

Name
Org

Date

Guidance: Use the template below to create the Post Implementation Review Plan. The PIR is not a single event or test. It is a sequence of activities that when combined provide the necessary information to successfully compare actual system performance to program expectations. In some cases, these activities can take place over a long period of time.

Instructions: TBD

References: Defense Acquisition Guidebook, paragraph 7.9

1.0 INTRODUCTION

1.1 Purpose. [Click here to enter text.](#)

Guidance: State the purpose of this Post-Implementation Review as follows:

The Post-Implementation Review (PIR) for the (program name) will assess actual program results against baseline expectations to:

- o Verify the Measures of Effectiveness (MOEs) from the initial Capabilities Document (ICD)*
- o Answer the question: "Did the Air Force get what it needed, per the ICD, and if not, what should be done?"*

1.2 Background. [Click here to enter text.](#)

1.3 Program Summary. [Click here to enter text.](#)

Guidance: Briefly summarize the investment program and its intended outcomes.

1.4 PIR Description. [Click here to enter text.](#)

Guidance:

- Briefly summarize the overall approach for conducting the PIR including the locations(s), date of the review, length of the review, and projected reporting date. Explain how data will be analyzed, conclusions will be reached, and consensus will be obtained. Explain how recommendations will be determined.**
- Identify and characterize the products of the review. A PIR report with findings and recommendations is required. Other products could include briefings and supporting documentation.*

1.5 Team Composition.

Team members and their roles and responsibilities are identified in Appendix A.

1.6 Resources. [Click here to enter text.](#)

Guidance: Define the resources needed to conduct the review, including labor hours, travel costs, facilities, and tools. Identify responsible organizations.

1.7 Schedule. [Click here to enter text.](#)

Guidance: Summarize the schedule for the PIR as a list of key events:

DATE	EVENT
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.

2.0 AREAS OF ASSESSMENT

Guidance: The PIR should answer the question, "Did we get what we needed?" This provides a contrast to the test and evaluation measurements of KPPs that answer the question, "Did we get what we asked for?" This would imply, if possible, that the PIR should assess the extent to which the DoD's investment decision-making processes were able to capture the warfighter's initial intent. The PIR should also address, if possible, whether the warfighter's needs changed during the time the system was being acquired.

Some PIR activities may be accomplished in the context of typical program acquisition activities or system operation processes such as:

- *FOT&E Results*
- *Platform Readiness*
- *CC Exercise*
- *User Satisfaction*
- *IA Assessments*
- *Annual CFO Report*
- *Mission Readiness*
- *ROI*
- *War Games*
- *Lessons Learned*

2.1. Customer Satisfaction: [Click here to enter text.](#)

Guidance: Determine whether the warfighter is satisfied that the product meets their needs as defined by the ICD. Explain what methods and tools you will use to determine user and customer satisfaction (e.g., questionnaires, interviews, focus group discussions) and who will be the participants. Summarize the MOEs from the ICD that will be verified.

2.2. Mission/Program Impact: [Click here to enter text.](#)

Guidance: evaluate whether the implemented system achieved the operational impact intended by the ICD. Describe the data that will be collected and what methods and tools will be used to evaluate the MOEs. Summarize the MOEs from the ICD that will be verified.

2.3. Return on investment calculations. [Click here to enter text.](#)

Guidance: If applicable, compare actual project costs, benefits, risks, and return information against earlier projections. Determine the causes of any differences between planned and actual results. Summarize the MOEs from the ICD that will be verified (if applicable).

3.0 PLAN OF ACTION

3.1 Schedule the PIR. [Click here to enter text.](#)

Guidance: Summarize the rationale and general outline for the PIR schedule. The PIR should take place post-IOC, after a relatively stable operating environment has been established. A typical time frame is 6 to 12 months after IOC.

3.2. Assemble a PIR Team. [Click here to enter text.](#)

Guidance: Describe how the PIR team will be selected. The team should include:

- **Functional experts** with detailed knowledge of the capability or business area and **its processes.**
- **User representatives, CIO representatives, functional sponsors, and Domain Owners.**

3.3. Assemble and Review Available Information Sources. [Click here to enter text.](#)

Guidance: Summarize the sources for PIR data. Data can be gleaned from operations conducted in wartime and during exercises. The lead-time for most major exercises is typically one year and requires familiarity with the exercise design and funding process. Additional sources to consider are:

- **Economic calculations to establish the payback period and ROI of business systems (if applicable).**
 - **Qualitative assessments related to expected benefits**
 - **Combatant Commander operational, logistics**
 - **Information Assurance assessments**
 - **Annual CFO Reporting of IT investment measured performance**
 - **Stakeholder satisfaction surveys**

3.4. Conduct the PIR. [Click here to enter text.](#)

Guidance: The PIR should be carried out according to the PIR planning that was reviewed and approved at Full Rate Production Decision Review. Care should be given to ensuring that accurate raw data is captured, and it can be later used for analysis.

3.5. Conduct the Analysis. [Click here to enter text.](#)

Guidance: The analysis portion of the PIR addresses the areas of assessment described above. The outputs of the analysis become the PIR findings. The findings should clearly identify the extent to which the warfighter got what they needed.

3.6. Prepare a Report and Provide Recommendations. [Click here to enter text.](#)

Guidance: Based on the PIR findings, the PIR team should prepare a report and make recommendations that can be fed back into the capabilities and business needs processes. The primary recipient of the PIR report should be the Sponsor/Domain Owner who articulated the original objectives and outcome-based performance measures on which the program or investment was based. The results of the PIR can aid in refining requirements for subsequent increments. Recommendations may be made to correct errors, improve user satisfaction, or improve system performance to better match warfighter/business needs. The PIR team should also determine whether different or more appropriate outcome-based performance measures can be developed to enhance the assessment of future spirals or similar IT investment projects.

Appendix A
Team Members

Guidance: Identify participating organizations and team members. Define responsibilities. Operating and maintenance user organizations must have members on the team.

Title	Name/Responsible Organization	Responsibility
<i>EXAMPLE: PIR Team Leader</i>	<i>Name and organization</i>	<i>EXAMPLE: Establishes the PIR team; ensures PIR planning occurs during final investment analysis and is recorded in investment decision-making documentation; defines the Measures of Effectiveness that will be evaluated during the review; leads the team in identifying, collecting, and analyzing operational data; oversees development of the PIR report and its recommendations; briefs key stakeholder organizations; and assists the service team leader in planning and executing actions to implement recommendations.</i>
Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.

Template (i) Program Budget versus Required Chart

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).



Program Budget versus Required

This chart must be reviewed by the APM-FM and AC PROG C&AB before presentation to the MDA. See the Notes pages for mandatory instructions from DC RM.

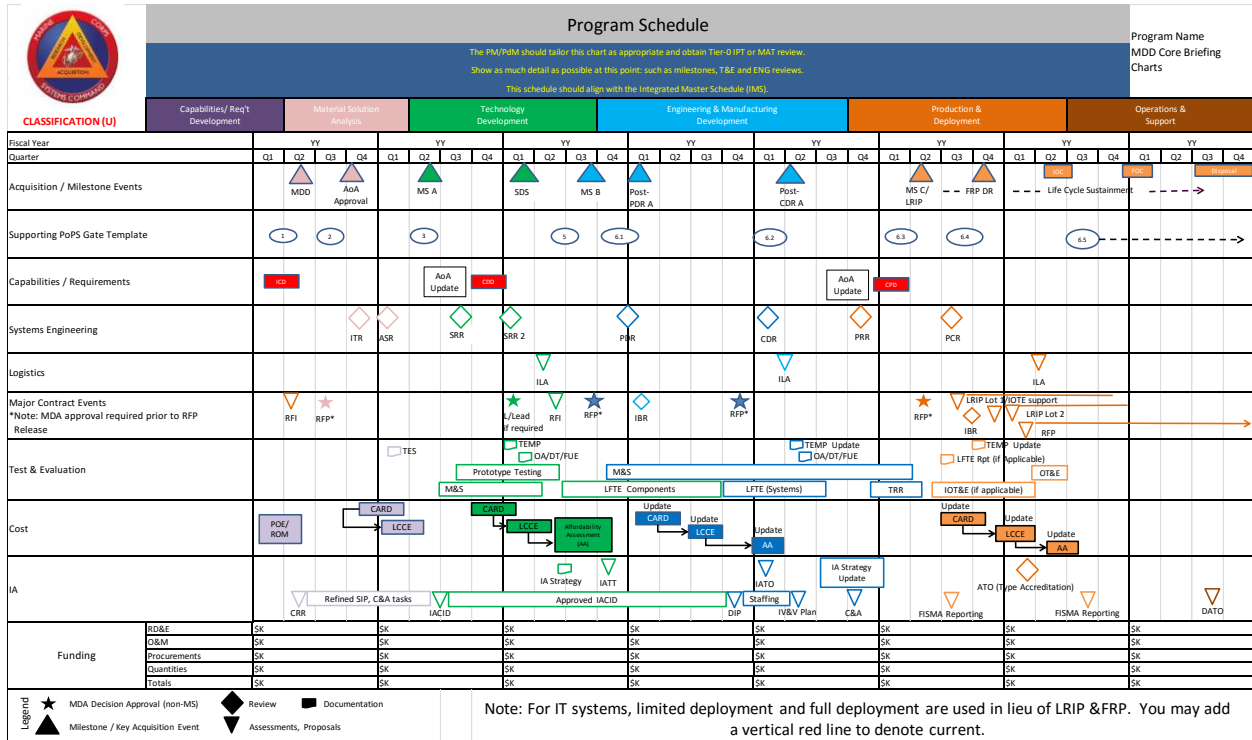
(\$ in Millions / Then Year)	Execution/Budget				FYDP				Total BY - BY+4	To Comp	Program Total
	Prior	CY-1	CY	BY	BY+1	BY+2	BY+3	BY+4			
RDT&E											
Prior (\$ P & EE)	-	-	-	-	-	-	-	-	-	-	-
Current (\$ XXX EE)	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Prior)	-	-	-	-	-	-	-	-	-	-	-
Required \$	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Required)	-	-	-	-	-	-	-	-	-	-	-
PROCUREMENT											
Prior (\$ P & EE)	-	-	-	-	-	-	-	-	-	-	-
Current (\$ XXX EE)	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Prior)	-	-	-	-	-	-	-	-	-	-	-
Required \$	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Required)	-	-	-	-	-	-	-	-	-	-	-
MILCON											
Prior (\$ P & EE)	-	-	-	-	-	-	-	-	-	-	-
Current (\$ XXX EE)	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Prior)	-	-	-	-	-	-	-	-	-	-	-
Required \$	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Required)	-	-	-	-	-	-	-	-	-	-	-
SYSTEM O&M											
Prior (\$ P & EE)	-	-	-	-	-	-	-	-	-	-	-
Current (\$ XXX EE)	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Prior)	-	-	-	-	-	-	-	-	-	-	-
Required \$	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Required)	-	-	-	-	-	-	-	-	-	-	-
TOTAL											
Prior (\$ P & EE)	-	-	-	-	-	-	-	-	-	-	-
Current (\$ XXX EE)	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Prior)	-	-	-	-	-	-	-	-	-	-	-
Required \$	-	-	-	-	-	-	-	-	-	-	-
Delta (\$ Current - Required)	-	-	-	-	-	-	-	-	-	-	-
QUANTITIES											
Prior (\$ P & EE)									0		0
Current (\$ XXX EE)									0		0
Delta (\$ Current - Prior)	0	0	0	0	0	0	0	0	0		0
Required Qty									0		0
Delta (\$ Current - Required)	0	0	0	0	0	0	0	0	0		0

Note 1: Requirement Source:
 Note 2: Priority Budget:
 Note 3:

FOUO (U) 1

Template (j) Program Schedule

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).



Template (k) Program Summary Assessment

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

Program Summary Assessment

DD MM YYYY

MEMORANDUM FOR THE RECORD

Subj: TIER-0 INTEGRATED PRODUCT TEAM (IPT) ASSESSMENT OF THE MILESTONE ASSESSMENT TEAM (MAT) MEETING FOR **(insert program name)** MILESTONE (MS) **(insert MS)** DECISION

Ref: (a) MCSC Acquisition Guidebook
(b) Tier-0 Integrated Product Team Concept of Operations (Tier-0 IPT CONOPS)
(c) *[Insert supporting references, such as program designation memorandum, prior ADMs, approved requirements documents, etc.]*

1. Tier-0 IPT Recommendation. *[In this paragraph, summarize what the MAT is asking the Milestone Decision Authority (MDA) to do, such as sign an Acquisition Decision Memorandum (ADM) or provide approval and/or authorization for a document or action. Be very succinct here as the body of the memorandum will provide the details.]*

2. *[This paragraph explains the requirement for and function of the MAT. You may copy the verbiage here or create your own.]*

Reference (a) establishes the requirement for the MAT to provide a recommendation to the Decision Authority regarding the readiness of a program to proceed to the next milestone or decision meeting. In accordance with reference (b), the Assistant Program Managers (APMs) serve as the core MAT for programs where the Commander, Marine Corps Systems Command is the MDA.

3. *[This paragraph briefly describes the approved program, such as its Acquisition Category (ACAT), the capabilities it provides, a description of the upgrade/modification, the program's current phase within the Acquisition Cycle, etc. Cite appropriate references such as ADMs, (Urgent) Statements of Need, Capabilities Development or Production Documents, etc.]*

Reference **(insert reference)** designated the **(insert program name)** as an Acquisition Category (ACAT) **(insert ACAT level)**

program and authorized the execution of the program in accordance with reference **(insert reference)** in response to the urgent capability need defined in reference **(insert reference)**. The **(insert program name)** provides **(insert program description)**.

MDA Program Summary Assessment

Subj: TIER-0 INTEGRATED PRODUCT TEAM (IPT) ASSESSMENT OF THE MILESTONE ASSESSMENT TEAM (MAT) MEETING FOR **(insert program name)** MILESTONE (MS) **(insert MS)** DECISION

4. *[Use up to a page to summarize major events, Milestone entry and exit criteria, etc. which support a favorable decision from the MDA. Include items such as successfully completed testing events, technical reviews, full funding, etc.]*

5. *[In order to make a decision that sets a program up for success and not failure, the MDA must be fully informed. Do not forget to include key risks and issues identified by the MAT during the program review, such as funding shortfalls, key documentation not yet approved, less than desirable test results, aggressive schedules, etc. Include plans that will address the issues and mitigate risks, as well as the rating of each issue and/or risk.]*

6. *[In the final paragraph, the MAT recommendation is reiterated. Additionally, the Tier-0 IPT certifies that each respective Competency Director is aware of the program situation and MAT recommendation and concurs with the APMS recommendation.]*

We, the APMS, as representatives of our respective competencies, respectfully recommend the MDA sign the ADM for the **(insert program name)** authorizing **(insert actions seeking authorization for, particularly if not completely aligned with Milestone)**. By our signatures below, the APMS are certifying that their respective Competency Directors have been briefed on this decision and are in concurrence with our recommendation.

Name
APM, Program Management

Date

Name
APM, Life Cycle Logistics

Date

MDA Program Summary Assessment

Subj: TIER-0 INTEGRATED PRODUCT TEAM (IPT) ASSESSMENT OF THE
MILESTONE ASSESSMENT TEAM (MAT) MEETING FOR **(insert
program name)** MILESTONE (MS) **(insert MS)** DECISION

Name
APM, Engineering

Date

Name
APM, Financial Management

Date

Name
APM, Contracts

Date

Template (1) Risk Management Memory Jogger

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

THINGS TO REMEMBER
SIDE A

Risk Management

Risk management includes the following five activities conducted on a continuous basis:

1. RISK PLANNING

It answers the question, "What is the program's risk management process?"

- Have roles, responsibilities, and authorities been assigned?
- Has an overall approach been selected and documented?
- Has feasibility of risk to technical requirements and overall program objectives been established?
- Have government and contractor roles, responsibilities, tools, and information exchange been aligned?
- Have resources been determined?
- Has a baseline rhythm been determined?

DoD Risk Management Process

4. RISK HANDLING

It answers the question, "Should the risk be accepted, avoided, transferred, or mitigated?"

- What handling option has been chosen?
- When should the handling option be accomplished?
- Who is responsible to execute?
- Is funding required to implement the handling option?
- Does the handling option impact cost, schedule, or performance?
- Did the IPT evaluate the option?
- Are there secondary impacts to other elements of the program?

2. RISK IDENTIFICATION

It answers the question, "What can go wrong?"

- Was a document review (i.e., requirements document, acquisition strategy, test plan, fiscal plan) conducted to identify potential risks?
- Was a technical review conducted which identified potential risks?
- Will the program's life cycle support objectives be achieved?
- Will key performance parameters thresholds be met?
- Is testing being monitored?
- Are there sufficient personnel of the right skill set assigned to the project?
- Is the program sufficiently funded?
- Is the schedule too aggressive?
- Are there dependencies which could impact project?
- Is the Risk Statement clearly definable as an "F-THEN" Statement?

3. RISK ANALYSIS

It answers the question, "How big is the risk?" by considering the likelihood and consequence.

- Is there an impact to technical performance and to what level?
- Will a technical review provide insight on the likelihood and consequence?
- Is there an impact to schedule performance and to what level?
- Did the IPT analyze the impact of the risk to the MS and critical path?
- Did the IPT translate performance and schedule risks into life cycle cost impact?

5. RISK MONITORING

It answers the question, "How have the risks changed?"

- Is there a regularly scheduled Program Risk Management Review Board?
- Are the risks being captured and tracked in a risk repository?
- Are the risk mitigation plans being monitored and updated?
- Are known risks being reviewed to determine if the likelihood and consequence have changed?
- Is there a contingency plan in place in the event the risk will be realized?
- Is there a trigger point to execute the contingency plan?

HOME OF THE MARINE CORPS ACQUISITION PROFESSIONALS

THINGS TO REMEMBER
SIDE B

Risk Management

RISK MANAGEMENT

Risk management is a continuous process that accomplishes throughout the life cycle of a system. Risks have three components:

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

RISK MANAGEMENT TOOL – PROJECT RECON

Project Recon is a MASC sponsored tool that is available to Program Management Teams (PMTs) to assist them in their Risk Management Planning & Implementation.

Why Project Recon:

- Provides a government owned tool to assess, manage and track risk.
- Provides a risk repository for PMTs to use in support of their Risk Management activities.
- Provides consistent and standardized Risk Management outputs across the PMO to include Risk Reporting Matrix and Risk Burn Down Charts.

CONSIDERATIONS

- Proactively addressing not only risks but also issues and opportunities can help programs achieve cost, schedule, and performance objectives at every stage of the life cycle.
- Is there a Program Risk Management Plan?
- Have Risk Management Roles & Responsibilities been identified? (Risk Management Board, Risk Management Coordinator).

Risk Reporting Matrix

Risk Burn-Down Charts

Risk Burn-Down Charts addressing Risk Mitigation plans must be developed and presented for all high ("red") risks. These can be generated by Project Recon.

Risk Management Plan (RMF)

A good RMF should:

- Document an organized, comprehensive, and integrated approach, methods and processes to identify, analyze, mitigate, and monitor risks across the program.
- Document roles and responsibilities across PMs and IPTs for risk management.
- Help the program plan for adequate resources, including personnel, schedule, budget, and tools.
- Document strategies should risks become an issue.
- Document approach to opportunity management (if applicable).
- Provide sufficient risk information to make informed decisions and recommendations.

Contact & References

For further information, please refer to the following:
 Marine Acquisition Guidebook: <http://www.marines.mil/infocenter/infocenter/MAG/>
 Risk, Issue, and Opportunity (RIO) Management Guidebook: <http://www.marines.mil/infocenter/infocenter/RIO/>

Mr. Pat Shee | pat@shee.usmc.mil | 303-422-2900
 Mr. Keith Davis | keith@davis.usmc.mil | 303-422-2160

For Marine Corps System Command, if a risk likelihood is determined to be 40-50%, 30% of the risk falls through the program that further assess the risk likelihood to determine whether it is more or less likely than the risk range.

Template (m) Risk Management Plan

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

How to use this Template

- This template is meant to provide an outline and guidance on the Risk Management Plan (RMP) development.
- It contains section headers (regular font) which should be included in your RMP. Guidance/direction (*Italicized font*) is provided on what content should be contained in each section.
- The call-out boxes provide key lessons learned and tips to take into consideration when developing your RMP.
- Appendices included in this template provide examples of Risk Management outputs and tools. Your RMP may or may not use these appendices and you may add additional appendices as needed.

Marine Corps Systems Command



Risk Management Plan Template

SEPTEMBER 2015

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Record of Changes

Date	Version	Reason	Changed By

1. Introduction

A program's Risk Management Plan (RMP) is developed to address cost, schedule, and technical performance risks. *Note that the Risk Management Plan (RMP) is the guidance document establishing the risk management process for a program or portfolio of programs.*

1.1. Purpose

The purpose of the RMP is to lead you through the thought process needed to ascertain potential uncertainty that effect cost, schedule and performance, to proactively plan to avoid or eliminate their occurrence and to reduce their impact should they occur. A RMP should:

Document an organized, comprehensive, and integrated approach.

- Document methods and processes to identify, analyze, mitigate, and monitor risks across the program.
- Document roles and responsibilities across Tiers and Integrated Product Teams (IPTs) for risk management
- Help the enterprise/program/project plan for adequate resources, including personnel, schedule, budget, and tools
- Document strategies should a risk become an issue
- Provide sufficient risk information to make informed decisions and recommendations
 - Assist in making decision on budget and funding priorities
 - Provide risk information for Milestone/Decision Points

1.2. Scope

Provide the scope of your RMP, i.e. what are the boundaries of your enterprise/program/project for which this RMP is applicable and what functional areas, e.g. system safety, will be managed elsewhere.

- *Identify the product, programs or enterprise this RMP is applicable to.*
- *The RMP should document processes to manage programmatic risks (cost, schedule, performance), i.e. future uncertainties that, should they occur, will adversely impact the achievement of program deliverables within program cost, schedule, and technical performance constraints.*
- *For performance risks that identify system safety risks/hazards, the safety risk/hazard aspect shall be transferred to the relevant System Safety Working Group (SSWG) and **NOT** managed as programmatic risks. Any*

remaining associated cost, schedule and performance risks remain within the program RM process.

- *Realized risks (the potential risk has actually happened), are documented as issues and are managed outside of this risk management process.*
- *Marine Corps Systems Command (MCSC) recognizes and endorses the practice of managing opportunity within Marine Corps programs; however, the purpose of this RMP is to establish a structured framework for managing risk. As a result, the topic of opportunity is not included in this RMP.*

1.3. Program Summary

Provide a brief description of your enterprise/program/project including connection between the Acquisition Strategy, program management strategy, and technical strategy.

1.4. Risk Related Definitions

Provide Department of Defense (DoD) Definitions from the DoD Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs, June 2015 and any other definitions specific to your enterprise/program/project to be used throughout to ensure common understanding of terminology.

1.4.1. Risks

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 where **if** some event or condition occurs, **then** a specific negative impact or consequence to program objectives will result
- The **probability** of the undesired event or condition occurring
- The **impact** or **severity** of the undesired event were it to occur

1.4.2. Technical Performance Risk

The potential that program products will not perform as intended or meet the established requirements.

1.4.3. Cost Risk

The potential that resources needed to meet program requirements will exceed what is in the approved budget. Independent cost estimates provide insight into the probability of program success, and support Better Buying Power goals.

1.4.4. Schedule Risk

The potential the program will not deliver a product on schedule. These risks often have serious cost implications based on expiring funds or other considerations. If the risk affects the critical path, then it has an impact on both schedule and cost but should be carried as a schedule risk. There are numerous program management tools available to help identify schedule risks.

1.4.5. Residual Risk

Residual risk is the risk that remains after mitigation. Risk mitigation will often lower the risk, or even eliminate the risk. Formal acceptance of risk is normally described as the acceptance of residual risk.

1.4.6. Risk Level

The risk level is the value that is given to a risk event (or the overall Program) based on event probability/likelihood and consequences/impacts analysis. The risk levels of low, moderate, or high will be assigned based on the criteria in the Program Risk Reporting Matrices ([Appendix B](#)).

1.4.7. Issue

Issues are current problems (realized risks) that should be addressed with action plans, resourced and resolved. Issues are no longer tracked as a "Risk" and are no longer considered part of Risk Management.

1.5. References

- *Department of Defense Instruction (DoDI) 5000.02, January 07, 2015, Operation of the Defense Acquisition System*
- *DoD Risk, Issue, and Opportunity Management Guide for Defense Acquisition Programs, June 2015*
- *MARCORSSYSCOM Order 5000.3, June 6, 2008, Risk Management Policy for Naval SYSCOMs*
- *MIL-STD-882E, Standard Practice for System Safety, May 11, 2012*

2. Risk Management Strategy

2.1. Risk Strategy

Describe your risk management strategy. The enterprise/program/project strategy should ensure inclusion of a cross competency risk management approach.

The PM establishes and typically chairs the Risk Management Board (RMB). It is essential that the Risk Management Board (RMB) includes representatives from all competencies as risk management planning and execution is truly an integrated effort.

2.2. Risk Resources

Describe required resources, e.g. personnel, funds, tools, etc., that may be needed to support your RMP.

2.3. Risk Review Schedule

Provide your plan for Risk Review Schedule to include RMB, risks or risk register reviews, meetings, and updates.

Program offices and prime contractors (if applicable) should establish a regular schedule for reviewing risks.

3. Risk Management Organization and Authorities

Describe your Risk Management Organization and roles and responsibilities within your enterprise/program/project.

3.1. Organization

Document your Risk Management Structure. If at an Enterprise Level, describe your Enterprise RMB or Risk Advisory Board - Risk Management Board. Address Enterprise Risks (if applicable) and risks with external influences/control.

A tiered structure is often implemented and provides a viable approach to manage lower-level risks. It is imperative these lower-level boards have the authority and resources required to fully implement handling strategies.

- Determine Tier Level for the RMB (Tier 0, 1 or 2)
- Will there be other higher or lower level groups, e.g. Risk Advisory Boards, Risk IPTs, etc.?

For example:

Tier 0 - Risk Advisory Board (RAB)
Tier 1 - Risk Management Board (RMB)
Tier 2 - Risk IPT

3.2. Roles, Responsibilities & Authorities

Describe the roles for each element of your identified structure above and its authority. Ensure you capture the following:

- *Reporting/identifying risks*
- *Providing resources to control risks*

- *Criteria used to determine if a "risk" submitted for consideration will become an official tracked risk or not (typically, criteria for probability and consequence)*
- *Adding/modifying risks*
- *Changing likelihood and consequence of a risk*
- *Risk assessment approval (technical authority) per Naval SYSCOM RM Policy*
- *Risk acceptance authority (programmatic authority) per Naval SYSCOM RM policy*
- *Closing/retiring a risk*
- *Competency involvement, e.g. Contracts may not always be involved if there is no Contract associated with your enterprise/program/project, etc.*

3.2.1. Residual Risk Acceptance Summary

Extracted from MARCORSYSCOM Order 5000.3 NAVAL SYSCOM Policy. The following table shall be used to identify the appropriate approval level for analyzing and coordinating the acceptance of residual risks.

Level of Risk:	Technical Authority: Approves Analysis of Residual Risk	Programmatic Authority: Accepts Residual Risk	User/Fleet Coordination: (Typical -the RMP shall detail the specific Fleet/User Organizations)	
Program:			Acquisition:	In-Service:
High	SYSCOM COMMANDER	MDA or RDA	OPNAV Nx DC, CD&I	Lead TYCOM (Fleet), DC, CD&I
Moderate	DWO	PEO	OPNAV Nxy	Lead TYCOM (Fleet)
Low	TWH	PM	OPNAV Nxyz	TYCOM N43 or Wing Commander (Fleet)

3.3. Members

Describe the positions that support each element of your identified structure above in paragraph 3.1 represented by function and not specific names, e.g.:

- *Lead Program Manager (PM), Lead Engineer (ENG), Lead Life Cycle Logistician (LCL), Lead Financial Manager (FM), Lead Contracts (CT) (As applicable)*
- *Information System Security Officer (ISSO), if applicable*
- *Risk Management Coordinator*
- *Risk Owners for specific risk*
- *Prime Contractors, if applicable*

Specific project member information may be added as an appendix to the RMP.

4. Risk Management Process/Procedures

4.1. Risk Management Planning

Identify the Enterprise/Program/Product unique risk management process, methodology, and guidance for implementing the plan per the DoD five step process. The RMP should:

- *Describe how often the RMP will be reviewed and updated.*
- *Address risk management training for program personnel.*
- *Define an appropriate risk management culture.*
- *Provide a description of the program's risk management processes.*
- *Describe how to use the programs' adopted risk management tools.*

Risk Planning answers the question "What is the programs' risk management process?" It consists of the activities to develop, implement, and document the risk management process. Risk planning should outline each of the risk management steps: risk planning, risk identification, risk analysis, risk handling, and risk monitoring.

4.2. Risk Identification

Identify and examine the program to determine risk events and associated cause(s) that may have negative cost, schedule, and/or performance impacts.

Risk identification phase answers the question "What can go wrong?" to identify what risk drivers might affect the Enterprise/Program/Project.

Risk identification is a critical step in the RMP. It is an iterative process to continually document and assess when new risks become known. Limiting risk identification to managers or other small groups can result in risks being missed. The risk manager is responsible for examining and

RISK IDENTIFICATION METHODS

Brainstorming. Due to its familiarity, brainstorming is a tool of choice when it comes to risk management. It can be used throughout the process, from risk identification to mitigation planning.

Expert Interviews. Accurate judgments from technical experts are very effective in risk identification and risk qualification. The interview provides the basis for gathering qualitative information which can be transformed into a quantitative assessment.

Documentation Reviews. Effective in risk identification, reviews provide a balanced analysis of documentation to identify assumptions, generalities, or concerns which may not have been

compiling identified risks in a program risk register and summarizing them at a manageable level of detail.

Risk Identification is part of an "IF-THEN" Risk Statement. The "IF" clause identifies the risk's root cause while the "THEN" states the consequence or impact to the program's cost, schedule or performance.

Typical inputs to Risk Identification include:

- Programmatic Documents (Analysis of Alternatives (AoA), Acquisition Strategy, Acquisition Program Baseline (APB), Systems Engineering Plan (SEP), Systems Engineering Management Plan (SEMP), Integrated Master Plan (IMP), Integrated Master Schedule (IMS), Contracts, etc.)
- Budget/Life Cycle Cost Estimate (LCCE)
- Lessons Learned
- Interviews
- Reports
- Assessments (Technical Readiness Assessments (TRAs), Independent Logistics Assessments (ILAs), etc.)
- Technical Performance Metrics
- Technical Readiness Levels (TRLs)/Manufacturing Readiness Levels (MRLs)
- External Influences

Typical Risk Sources

<i>Risk Area</i>	<i>Significant Acquisition Program Risks</i>
<i>Threat</i>	<ul style="list-style-type: none"> • <i>Uncertainty in threat accuracy and stability</i> • <i>Sensitivity of design and technology to threat</i> • <i>Vulnerability of system to threat countermeasures</i> • <i>Vulnerability of Program to intelligence penetration</i>
<i>Requirements</i>	<ul style="list-style-type: none"> • <i>Operational requirements not properly established or vaguely stated for program phase</i> • <i>Requirements are not stable</i> • <i>Required operating environment is not described</i> • <i>Requirements do not address logistics and suitability</i> • <i>Requirements are too constrictive - identify</i>

Risk Area	Significant Acquisition Program Risks
	<p><i>specific solutions that force high cost</i></p> <ul style="list-style-type: none"> • <i>Overlapping requirements across different programs, which could result in some requirements being curtailed, with resources being pulled to match.</i>
Design	<ul style="list-style-type: none"> • <i>Design implications are not sufficiently considered in concept exploration</i> • <i>System will not satisfy User requirements</i> • <i>Mismatch of User manpower or skill profiles with system design solution or human-machine interface problems</i> • <i>Increased User skills or more training requirements identified late in the acquisition process</i> • <i>Design is not cost effective</i> • <i>Design relies on immature technologies or excessive use of Commercial Off-the-Shelf (COTS) items to achieve performance objectives</i> • <i>Design relies on immature technologies to achieve performance objectives</i> • <i>Software design, coding, and testing</i>
Technical Baseline	<ul style="list-style-type: none"> • <i>The ability of the system configuration to achieve the program's engineering objectives based on the available technology, design tools, design maturity, etc. Program uncertainties and the processes associated with reliability, supportability, maintainability, etc., must be considered. The system configuration is an agreed-to-description (an approved and released document or set of documents) of the product's attributes at a point in time which serves as a basis for defining change.</i>
Test & Evaluation (T&E)	<ul style="list-style-type: none"> • <i>Test planning not initiated early in program</i> • <i>Testing does not address the ultimate operating environment</i> • <i>Test procedures do not address all major performance and suitability specifications</i> • <i>Test facilities not available to accomplish specific tests, especially system-level tests</i> • <i>Insufficient time to test thoroughly</i>
Modeling and Simulation	<ul style="list-style-type: none"> • <i>Same risks as those identified for Test and</i>

<i>Risk Area</i>	<i>Significant Acquisition Program Risks</i>
(M&S)	<p><i>Evaluation (T&E)</i></p> <ul style="list-style-type: none"> • <i>M&S not verified, validated, or accredited for the intended purpose</i> • <i>Program lacks proper tools and modeling and simulation capability to assess alternatives</i>
Technology	<ul style="list-style-type: none"> • <i>Program depends on unproven technology for success, or there are no alternatives</i> • <i>Program success depends on achieving advances in state-of-the-art technology</i> • <i>Potential advances in technology will result in less-than-optimal cost-effective system or make system components obsolete</i> • <i>Technology has not been demonstrated in the required operating environment</i> • <i>Technology relies on complex hardware, software, or integration design</i> • <i>Program lacks proper tools and M&S capability to assess alternatives</i>
Cyber Security	<ul style="list-style-type: none"> • <i>Risks associated with vulnerabilities inherent in Information Technology (IT), global sourcing and distribution, and adversary threats to DoD use of cyberspace.</i>
Logistics	<ul style="list-style-type: none"> • <i>Inadequate supportability late in development or after fielding, resulting in need for engineering changes, increased costs, and/or schedule delays</i> • <i>Life-cycle costs not accurate because of poor logistics supportability analysis</i> • <i>Logistics Support Analysis (LSA) results not included in cost-performance trade-offs</i> • <i>Design Trade Studies do not include supportability considerations</i> • <i>Ownership Cost (operations and support) associated with materiel readiness inadequately addressed in the Capability Development Document (CDD)</i> • <i>System readiness and support objectives are not integrated effectively into the design analysis process, resulting in supportability deficiencies that increase costs and require additional engineering changes</i> • <i>Personnel skills and training requirements are not adequately addressed, resulting in</i>

<i>Risk Area</i>	<i>Significant Acquisition Program Risks</i>
Development	<p><i>inefficient system operation and support</i></p> <ul style="list-style-type: none"> • <i>Development implications not considered during concept exploration</i> • <i>Development not sufficiently considered during design</i> • <i>Inadequate planning for long-lead items and vendor support</i> • <i>Development processes not proven</i> • <i>Prime Contractors do not have adequate plans for controlling subcontractors</i> • <i>Sufficient development tools not readily available for cost-effective production</i> • <i>Sufficient tools and/or facilities not readily available for cost-effective development and production</i> • <i>Contract offers no incentive to upgrade tools, improve processes, or reduce costs</i> • <i>Contract offers no incentive to upgrade tools, improve processes, modernize facilities or reduce costs</i>
Production / Facilities	<ul style="list-style-type: none"> • <i>The ability of the system configuration to achieve the program's production objectives based on the system design, manufacturing processes chosen, and availability of manufacturing resources (repair resources in the sustainment phase).</i>
Concurrency	<ul style="list-style-type: none"> • <i>Immature or unproven technologies will not be adequately developed prior to system production</i> • <i>Development funding will be available too early (i.e., before the development effort has sufficiently matured)</i> • <i>Concurrency established without clear understanding of risks</i>
Developer Capability	<ul style="list-style-type: none"> • <i>Developer has limited experience in specific type of development</i> • <i>Integrator has limited experience in specific type of system integration effort</i> • <i>Contractor has poor track record relative to costs and schedule</i> • <i>Contractor experiences loss of key personnel</i> • <i>Prime Contractor relies heavily on</i>

Risk Area	Significant Acquisition Program Risks
	<p>subcontractors or COTS items for major development efforts</p> <ul style="list-style-type: none"> • Contractor will require significant capitalization to meet Program requirements
Industrial Capabilities	<ul style="list-style-type: none"> • The abilities, experience, resources, and knowledge of the contractors to design, develop, manufacture, and support the system
Cost / Funding	<ul style="list-style-type: none"> • Realistic cost objectives not established early • Marginal performance capabilities incorporated at excessive costs; satisfactory cost-performance trade-offs not completed • Excessive life-cycle costs due to inadequate treatment of support requirements • Significant reliance on software • Funding profile does not match acquisition strategy • Funding profile not stable from budget cycle to budget cycle • The ability of the system to achieve the program's life-cycle support objectives. This includes the effects of budget and affordability decisions and the effects of inherent errors in the cost estimating technique(s) used (given that the technical requirements were properly defined and taking into account known and unknown program information).
Schedule	<ul style="list-style-type: none"> • Schedule not considered in Trade Studies • Schedule not considered in tradeoff studies • Schedule does not reflect realistic acquisition planning • Acquisition Program Baseline (APB) schedule objective not realistic and obtainable • Resources not available to meet schedule
Management	<ul style="list-style-type: none"> • Acquisition Strategy does not give adequate consideration to various essential elements (e.g., mission need, T&E, technology, etc.) • Subordinate strategies and plans are not developed in a timely manner or are not based on the Acquisition Strategy • Proper mix (experience, skills, stability) of

<i>Risk Area</i>	<i>Significant Acquisition Program Risks</i>
	<p>personnel are not assigned to the Program Office or to contractor team</p> <ul style="list-style-type: none"> • Proper mix (experience, skills, stability) and number of people not assigned to Program Management Office (PMO) or to contractor team • Effective risk assessments not performed or results not understood and acted upon
Customer	<ul style="list-style-type: none"> • Enterprise components not ready for significant amount of organizational change, resulting in the status quo and inability to demonstrate value added by project • Non-acceptance of schedule at executive level, affecting funding
Governance	<ul style="list-style-type: none"> • Confusion over statutory and organizational responsibilities, resulting in non-workable processes (schedule reset or project cancellation)
External Factors	<ul style="list-style-type: none"> • The availability of Government resources external to the program office required to support the program such as facilities, resources, personnel, Government furnished equipment, etc.
Budget	<ul style="list-style-type: none"> • The sensitivity of the program to budget variations and reductions, and the resultant program turbulence
Earned Value Management (EVM) System	<ul style="list-style-type: none"> • The adequacy of the contractor's EVM process and the realism of the integrated baseline for managing the program

4.3. Risk Analysis

Estimate the likelihood a risk event will occur, the possible consequences in terms of cost, schedule, and performance, and determine the resulting risk level and prioritize risks.

Risk Analysis answers the question "How is the risk?" Risk analysis also answers the question, "What is the likelihood and consequence of the risk affecting the achievement of program objectives?" Each identified risk is reviewed to confirm the effects, or consequence, that it will have on the program.

AFTER Defining a risk IF-THEN Statement experience has shown that the Risk Management Team will stay better focused if **FIRST** you define the severity of the consequence

big

Note: Technical Authorities must approve assessments of the risks per MARCORSYSCOM Order 5000.3. The use of the predefined consequence and likelihood criteria provides a consistent means for evaluating risks such that a program can make objective comparisons of risks.

4.3.1. Consequence

Evaluate each risk in terms of impact to the program (i.e., effect of the event on program cost, schedule, and performance) should the risk be fully realized.

Risk consequence is measured as a deviation against the program performance, schedule, or cost baseline. Programs may need to tailor criteria based on program-specific circumstances.

The Consequence Table, ([Table 1](#)) is a guideline in assessing cost, schedule, and performance consequences and is used to assess the "THEN" portion of each risk identified. This table should be completed and included in your RMP.

Table 1. Consequence Table

Level	COST*			Schedule	Performance
	RDT&E	Procurement	Operations & Maintenance/ Sustainment		
5	Major impact. 10% or greater increase over APB threshold; or >\$D. Management reserve depleted.	Major impact: Budget or unit production cost (e.g., APUC) increasing to a significant Nunn-McCurdy breach; or increase of more than \$XX in programmed dollars (POM).	Costs exceed life cycle ownership cost by 10%. Ability to sustain system in jeopardy.	Schedule slip that requires a major schedule re-baselining; precludes program from meeting its APB schedule objectives by more than 6 months; negative float to program completion.	Severe degradation precludes system from meeting a KPP or key technical/supportability threshold; will jeopardize program success; design or supportability margins exceeded; unable to meet mission objectives (defined in mission threads, ConOps, OMS/MP).
4	Significant impact. 5% -<10% increase over APB threshold; or \$C-≤\$D. Requires use of significant management reserves.	Significant impact. Costs that drive a unit production cost (e.g., APUC) increasing to an APB threshold breach of \$C - ≤ \$D; or increase of \$YY-XX in programmed dollars (POM).	Costs drive increase of more than z% over program's life cycle cost estimate; costs drive program to exceed life cycle ownership cost KSA.	Significantly impacts ability to meet milestone dates and/or other key dates. Established acquisition decision points or milestones will be delayed, impacting APB schedule objectives by less than 6 months. Slip puts funding at risk; <5% float to major milestones or program completion.	Significant degradation impairs ability to meet a KSA. Technical design or supportability margin exhausted in key areas; able to meet one or more mission tasks (defined in mission threads, ConOps, OMS/MP); work-arounds required to meet mission objectives.
3	Moderate impact. 3% - <5% increase over APB threshold; or \$B-≤ \$C; manageable with reserves; inability to meet key cost metrics.	Moderate impact. Costs that drive unit production cost (e.g., APUC) increase of \$B - ≤ \$C; or \$ZZ-YY in programmed dollars (POM); inability to meet key cost metrics.	Costs drive increase of y-z% over program's life cycle cost estimate or within 2% of life cycle ownership cost KSA; inability to meet key cost metrics.	Minor schedule slip. Able to meet key milestones. Total program float decreased by X-Y% with float remaining positive, but nearly consumed; <10% float to major milestones or program completion; inability to meet key schedule metrics.	Moderate reduction in technical performance or supportability; unable to meet lower tier attributes (e.g., PAs); planned design or supportability margins reduced; inability to meet key TPMs, CTPs. Work-arounds required to achieve mission tasks (defined in mission threads, ConOps, OMS/MP).
2	Minor impact. 1%-<3% increase over APB threshold; or \$A- ≤ \$B; exceeding cost metrics tripwires.	Minor impact. Costs that drive unit production cost (e.g., APUC) increase of \$A-≤ \$B; or \$AA-ZZ in programmed dollars (POM); exceeding cost metrics tripwires.	Costs drive increase of x-y% over program's life cycle cost estimate; exceeding cost metrics tripwires.	Able to meet key dates. Total program float decreased by less than X%, with 10% or greater positive float remaining; exceeding schedule metrics tripwires.	Minor reduction in technical performance or supportability; can be tolerated with little or no impact on program objectives. Design margins will be reduced, but within acceptable limits/trade space; exceeding tripwires for TPMs and CTPs.

1	Minimal impact. <1% increase over APB threshold; or <\$A. Costs expected to meet approved funding levels, not projected to increase above thresholds.	Minimal. Costs that drive APUC increase of ≤ \$A; or less than \$AA in programmed dollars (POM). Costs expected to meet approved funding levels, not projected to increase above thresholds.	Costs drive increase of ≤x% over program's life cycle cost estimate.	Minimal or no schedule impact.	Minimal or no consequences to meeting technical performance or supportability requirements. Design margins will still be met; margin to planned tripwires.
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**This chart reflects costs broken out by funding category. Programs can break out cost consequences in this manner or consolidate in one column.*

4.3.2. Likelihood

Evaluate each risk in terms of the probability an event will occur given existing conditions.

It is important that the estimated likelihood of the risk be tied to a specific well-defined risk event or condition, and risk statement. The Likelihood Table ([Table 2](#)) provides recommended criteria for establishing the likelihood of a risk occurring. This table should be included in your RMP.

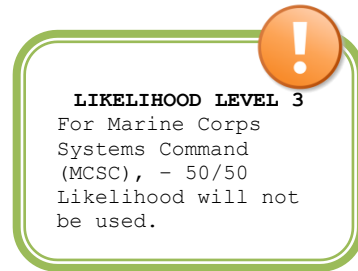


Table 2. Likelihood Table

Level	Likelihood	Probability of Occurrence
5	Near Certainty	> 80% to ≤ 99%
4	Highly Likely	> 60% to ≤ 80%
3	Likely	> 40% to ≤ 60%
2	Low Likelihood	> 20% to ≤ 40%
1	Not Likely	> 1% to ≤ 20%

4.3.3. Risk Reporting Matrix

The primary goal of risk reporting is to provide the PM and other decision makers with an effective method for managing and communicating risk. The risk matrix is an effective tool used to relay risk estimates in a visual display and aids in prioritizing risks for risk handling.

A sample Risk Reporting Matrix is shown below ([Figure 1](#)) and as a Template in Appendix B.

Note that for Marine Corps Systems Command (MCSC), if a risk lands in the middle, 3rd row of the cube the Risk Management Team must conduct a further assessment to determine the risk

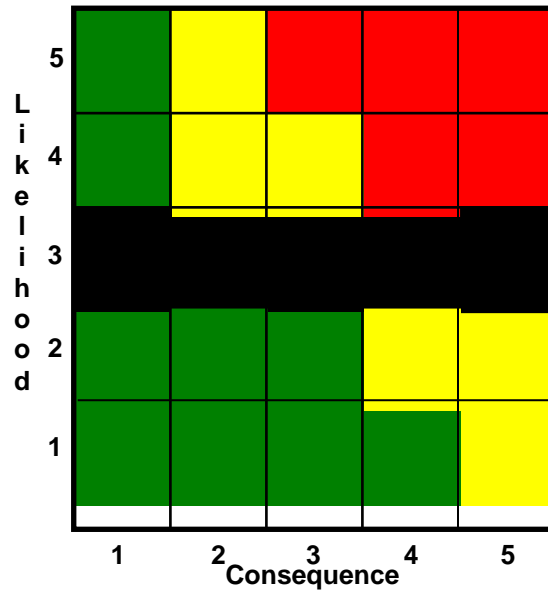


Figure 1. Risk Reporting Matrix

4.4. Risk Handling

Develop a strategy that includes the handling options or combination of options and the specific implementation approach. When selecting the handling option(s) and formulating the implementation approach, the risk owner should address questions such as:

- *Is the risk handling strategy feasible?*
- *Is the risk handling strategy affordable in terms of funding and any needed additional resources (e.g., personnel, equipment, facilities)?*
- *Is adequate time available to develop and implement the risk handling strategy?*
- *What impact does the risk handling strategy have on the overall program schedule?*
- *What impact will the risk handling strategy have on the technical performance of the system?*
- *Are the expectations realistic given program circumstances, constraints, and objectives?*

RISK MITIGATION PLANNING
 The activity that identifies, evaluates, and selects options to set risk at acceptable levels given enterprise/program/project constraints and objectives. Risk mitigation planning is intended to enable program success. It includes the specifics of **what** should be done, **when** it should be

Risk handling answers the question, "How am I going to keep the risk from occurring or reduce its impact should it occur?" It is the process of developing options and determining actions to mitigate the risk in order to meet program objectives. Each risk should be analyzed to determine what category of response/approach is required - Accept, Avoid, Transfer, or Mitigate.

Accept: The program acknowledges that the risk event or condition may be realized. It should continue to be tracked through continuous monitoring to ensure the accepted consequences do not change for the worse. Before accepting the risk, the program should identify the resources and schedule that would be needed should the risk be realized.

Avoid: The program eliminates the source of the risk and replaces it with a lower risk Solution" for a more simple explanation. Risk avoidance may provide the PM with an understanding of what the real needs are and ways of circumventing the risks that are not critical to program cost, schedule, and/or performance. The avoidance handling option should be used only if the selected implementation approach truly results in the desired effect and reduced risk likelihood and/or consequence.

Transfer: Programs should recognize that the transfer of risk does not eliminate all responsibility and risks must be monitored for potential consequences. Transference requires active management to track progress at established knowledge points to ensure expectations are achieved. The transfer option may be viable only if it results in an acceptable risk likelihood and/or consequence posture.

Mitigate: Programs should avoid the tendency to readily select mitigation as the risk handling option without seriously evaluating the acceptance, avoidance, and transfer options.

4.4.1 Risk Burn-Down

For programs within Marine Corps Systems Command, the risk handling plan should include a risk burn-down plan for all HIGH risks and may be a consideration for any moderate risks. For most risks, the burn-down plan consists of time-phased handling activities with specific success criteria. This detail allows the program to track progress to plan to reduce the risk to an acceptable level or to closure. Burn-down charts should be used to track actual progress against the planned reduction of risk levels as part of risk monitoring.

[Figure 2](#) provides an example of a Risk Burn-Down Chart. [Appendix C](#) provides a template for the Risk Burn-Down Chart. The risk burn-down plan generally consists of six steps:

1. Identify and lay out the risk handling activities in a sequential manner, using realistic and logical schedule precedence.
2. Ensure all risk handling activities are clearly defined and jargon free, are objective and not subjective, and have specific, measureable outcomes.
3. Assign a planned likelihood and consequence value to each risk handling activity.
4. Estimate the start and finish dates for each risk handling activity.
5. Include the risk handling activities or a subset of these activities in the program IMS.
6. Chart the relationship of risk handling activities, plotting risk level versus time to estimate their relative risk burn-down/reduction contribution.

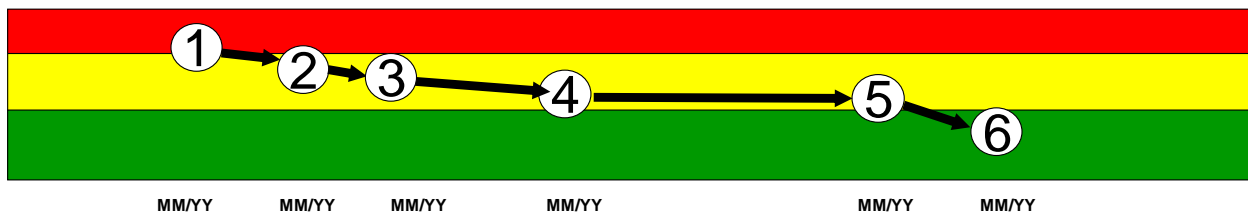


Figure 2. Risk Burn-Down Chart

4.5. Risk Monitoring

Describe the plan for risk monitoring and data tracking to include frequency, tools, and methods. Evaluate the risk handling implementation approach and associated activities to determine effectiveness and whether or not changes are needed.

Risk monitoring answers the question, "How has the risk changed or how are the risk handling plans working?" Risk monitoring includes a continuous process to systematically track and evaluate the performance of risk mitigation approaches.

Successful risk monitoring includes timely, specific reporting procedures part of effective communications among the program office, contractor, and stakeholders.

Risk monitoring documents may include: Technical Performance Metric (TPM) status, other program metrics, risk register reports/updates, technical

RISK MONITORING
 Risk monitoring is the activity of systematically tracking and evaluating the performance of risk mitigation actions against established metrics throughout the acquisition process. It feeds information

as

reports, earned value reports, watch lists, schedule performance reports, technical review minutes/reports, IMSs, test results, and operational feedback.

As operational information becomes available, better assessments can be made of the risk inherent in operating the system. If the risks are found to be lower than previously assessed, then specific risk mitigation actions may be reduced. Adverse trends, mishaps, new root causes, or other negative events may be cause for additional risk assessments and mitigation actions.

5. Risk Management Documentation, Communication and Tools

Describe where your RMP will reside, how often it will be reviewed, the configuration management of updates and the approval authority.

Describe the process for communicating the status of potential, current and retired risks to all personnel involved in Risk Management. Note: Briefing chart requirements for PMRs and PoPs should align to published templates. At a minimum display the Risk Matrix Cube and Burn Down/Water Fall charts for those High risks these can be provided via Project Recon.

List Risk Management Tool(s) (government and contractor) used to perform risk management. If different tools are used between the program office and contractor then the plan should describe how information/data will be transferred. Note it is highly recommended that the same tool be used and one in which the government has full access.

Events that may drive the need to update your RMP include an upcoming acquisition milestone decision, following a system-level technical review, a change to the Acquisition Strategy after a contract award, or other program re-baselining.

MCSC endorses and provides the use of Project Recon, although it is not mandated. Project Recon provides standard outputs such as the Risk Reporting Matrix as well as the Risk Burn-Down Charts. These charts are utilized for MCSC Program Management Reviews (PMRs) and Milestone/Decision Points to present risks. See [Appendix D](#) for instructions to request access to Project Recon.

APPENDICIES

A. Risk Information Form Template

Please select the icon below to download the Risk Information Form template.



Risk Information
Form.pdf

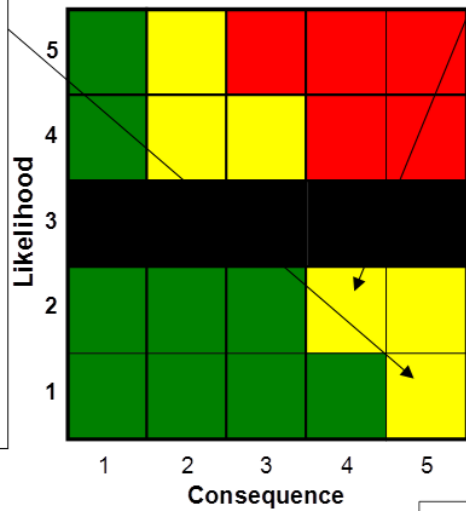
B. Risk Reporting Matrix Template

Program Risks

Risk Reporting Matrix

• Risk #1 (List Risk statement – IF statement)

• List Approach and takes to accomplish



• Risk #2 (List Risk statement – IF statement)

• List Approach and takes to accomplish

Risk Management Board

Chairperson: Name
Member 1: Name
Member 2: Name
Member 3: Name
Member 4: Name
Member 5: Name

C. Risk Burn Down Slide Template

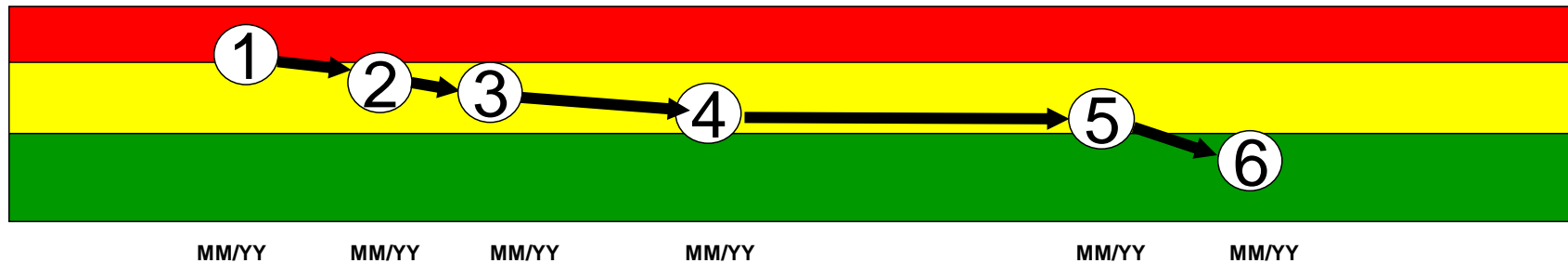
Significant Risks Burn-down

Description:

Provide brief description of risk

Mitigation Steps:

- 1. List current and future tasks to mitigate risk add provide dates
- 2. Check off those that are completed
-
-
-



D. Project Recon Risk Tool Information

Below are the steps to request access for Project Recon:

Step 1: Register for an Army Online Account (AKO) at: <https://www.us.army.mil>. You may create an account with your CAC. The site will ask you for an AKO sponsor. Please identify Bonnie Leece as your AKO sponsor. Her username is: Bonnie.Leece and her AKO email is: bonnie.j.leece.civ@mail.mil. Note: You need an AKO email address to complete the next steps. Please contact Bonnie Leece at 586-282-4240 with any questions.

Step 2: Complete the attached National Agency Check (NAC) Form and email as an attachment (digitally signed and encrypted) to: usarmy.detroit.tacom.mbx.g2-computer-access-requests@mail.mil -or- FAX the NAC form to: TACOM LCMC G2 Security Office at (586) 282-6362, 'ATTN: SET Database Access.' If you fax the form you need to email the TARDEC ASEC Support Mailbox: usarmy.detroit.rdecom.mbx.tardec-asec@mail.mil when the form is submitted. In the email, please include date and time the encrypted email or FAX was sent.



SE Tools offsite NAC
Form (Your Name Her

Step 3: Complete the attached SE Tools Access Request Form and email to: usarmy.detroit.rdecom.mbx.tardec-asec@mail.mil. This document must be manually signed, scanned and emailed or electronically signed to be valid. The TARDEC office will send you an email with Project Recon access information when they have (1) received the SE Tools Access Request Form from you and (2) approval from the TACOM LCMC G2 Security Office based on NAC search. If you have any questions please call: (586) 219-6096.



SE Tools Access
Request Form v6 (You

E. Acronym List

Acronym	Full Title
AKO	Army Knowledge Online
AoA	Analysis of Alternatives
APB	Acquisition Program Baseline
CDD	Capability Development Document
COTS	Commercial Off The Shelf
CT	Contracts
DC, CD&I	Deputy Commandant, Combat Development and Integration
DoD	Department of Defense
DoDI	Department of Defense Instructions
DWO	Deputy Warranting Officers
ENG	Engineer
EVM	Earned Value Management
FM	Financial Manager
I&I	Interoperability and Integration
ILA	Independent Logistics Assessment
IMP	Integrated Master Plan
IMS	Integrated Master Schedule
IPR	Integrated Program Reviews
IPT	Integrated Product Team
ISSO	Information System Security Officer
IT	Information Technology
KPP	Key Performance Parameter
LCCE	Life Cycle Cost Estimate

LCL	Life Cycle Logistician
LSA	Logistics Support Analysis
MRL	Manufacturing Readiness Levels
NAC	National Agency Check
PMO	Program Management Office
RAB	Risk Advisory Board
RMB	Risk Management Board
RMP	Risk Management Plan
SEMP	Systems Engineering Management Plan
SEP	Systems Engineering Plan
SoS	System of Systems
SSWG	System Safety Working Group
T&E	Test and Evaluation
TPM	Technical Performance Metric
TRA	Technical Readiness Assessment
TRL	Technical Readiness Level
TWH	Technical Warrant Holders

Template (n) Sample DFM Checklist

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

Sample DFM Checklist (required only for AAPs)

**Marine Corps Systems Command
Director for Financial Management**

Abbreviated Acquisition Program Checklist

PART A: To be completed by the Product Manager.

PROPOSED AAP Name: _____

ESTIMATED COST: _____

FUNDING SOURCE: (then year \$) (attach a separate sheet if more space is required):

RDT&E, N: _____

PMC: _____

O&M, MC: _____

PART B: To be completed by the Director for Financial Management

1. Does the funding source(s) cited above for the proposed AAP:

a. contain adequate funds to support the estimated cost of the upgrade? (Yes _____ NO _____)

b. represent a proper expenditure of the type of funds cited? (Yes _____ No _____)

c. fall within the thresholds established for an AAP? (Yes _____ No _____)

2. The proposed (AAP) (Modification AAP) was planned for during budget development or has otherwise been determined to be an affordable effort with a sufficient funding priority to warrant execution at this time? (Yes _____ No _____)

3. DFM is aware of no Congressional, OSD or Navy level interest in the proposed AAP. (Yes _____ No _____)

DIRECTOR FOR FINANCIAL MANAGEMENT _____

Template (o) Sample MCOTEA Concurrence Letter

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

Sample MCOTEA Concurrence Letter (applies to ACAT IV(M) and AAP Requests)

5000
PMM-113
Date

From: Commander, Marine Corps Systems Command
To: Director, Marine Corps Operational Test and Evaluation Activity

Subj: PROPOSED ABBREVIATED ACQUISITION PROGRAM
FOR XXXX (CTDS #XXX)

Ref: (a) SECNAVINST 5000.2E
(b) Statement of Need/CDD/CPD

Encl: (1) Developmental test reports/market research or other supporting documentation

1. In accordance with reference (a), this letter is to seek your concurrence with our plan to execute the subject project as Abbreviated Acquisition Program (AAP). The proposed AAP is described as follows:

a. Summarize the required capability per reference (b).

b. Provide a rationale to convince MCOTEA why operational testing is not required. Provide results of developmental testing, current use in applications similar to Marine Corps operational environments, SYSCOM managed Limited User Evaluation, etc.

2. Invite MCOTEA participation.

3. Provide a point of contact from the Program Management Office.

[Insert PM Name]
By direction

Template (p) DBS Problem Statement Template

Editable versions of all templates are available at the bottom of the [MAG Homepage](#).

UNCLASSIFIED

DEPARTMENT OF DEFENSE



Requirements Validation

Instructions and Template

{With DUSN (M) Supplemental Guidance}

Requirements Validation Version History

Ver. No.	Version Date	Change Type	Change Authority	Disposition	Reference
1.0	23-10-2014	Initial Release of the BCA Template	CIO		
2.0	05-11-2014	Incorporation of Problem Statement (PS) Requirements into BCA template	DCMO		
3.0	01-20-2015	Inclusion of PS Working Group feedback; Updates for Clarity	DCMO		
4.0	02-12-2015	Updates for clarity and improved process flows	DCMO		
5.0	03-17-2015	Updates for clarity on Step 1 of the process & diagram	DCMO		

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Problem Statement Instructions

DUSN (M): DUSN (M) supplemental guidance will be indicated in blue text with a DUSN (M) header throughout this document. The ODCMO template in black text remains the governing authority for developing a problem statement. If any waivers, exceptions, or exemptions are needed, notify DUSN (M) staff who will coordinate with ODCMO.

To ensure a common understanding and usage of key terms (e.g. BEA, covered defense business system (DBS) programs, DBC) in this template, please refer to ODCMO's Guidance for Review and Certification of Defense Business Systems, version 3.4, Appendix B (February 2015), which provides a listing and description of business investment nomenclatures.

The problem statement is the requirements validation document for all covered DBS programs, regardless of acquisition category (i.e. non-ACAT systems and ACAT systems). The problem statement is approved by the DoD Investment Review Board (IRB) chairperson. Approved problem statements support the investment certification process for covered DBS programs.

Problem statements should be written in a clear, concise manner to identify the business/operational problem/gap/requirement and the analysis supporting the proposed solution – what is the issue, why is it important (i.e. operational impact), and how will the proposed solution fix it. The focus should be on the business/operational problem, not necessarily on the IT system.

Eliminate extraneous language, significant amounts of background information, and old/irrelevant information. Find the balance between providing a high-level overview of the problem/gap/requirement and sufficient detail for decision-makers to make informed decisions.

Common issues:

- Capitalization – avoid over use of capitalizations. Use sentence case in bullets. Not all acronyms are capitalized when spelled out, only proper names are capitalized.
- Spell and grammar – check the document.
- Verbs – use active voice (e.g. “she submitted x”) vice passive voice (e.g. “x has been submitted”). Passive sentences have two basic features (although both may not appear in every passive sentence): a form of the verb “to be” (for example: are, was, were, could be) and a verb's past participle (generally with “ed” on the end).
- Redundancy – do not copy and paste the same text into multiple sections of the problem statement.
- Brevity – concisely write all sections of the problem statement with enough background information to enhance rather than overshadow what is being written.
- Confusion – avoid focusing on systems/applications that are not the main topic of your problem statement to avoid confusion.

Problem statements are no longer required for technical refresh (TR) requests since all funds for TRs must be CS (TRs can now be submitted as out-of-cycle requests).

Process Directions

The following template outlines the format necessary for the review and adjudication of a Problem Statement. All submissions need to adhere to this design to ensure the business need is clearly and fully represented. Do not omit any sections without the approval of the Office of the Deputy Chief Management Officer (ODCMO) or its designee. Requests to vary from the approved format must be submitted in writing, and approval/disapproval of the request will be issued in writing.

All Problem Statements will be initially reviewed and validated by the appropriate business area lead (e.g. Human Resources Management (HRM), Acquisition) within the ODCMO. For coordination, all submissions will be shared with the Defense Business Council (DBC) members for their review and comment. The objective is to complete reviews within five (5) business days. Timelines may vary depending on scope and complexity of the stated requirement. All nonconcurs must be mitigated before final approval is granted.

Problem Statements must be signed by the Functional Sponsor and validated by the Precertification Authority (PCA), in writing, prior to submission. If either one or all of these validations is missing upon submission, the Problem Statement will be returned until the proper signatures are obtained.

DUSN (M): No other signatures are required from the submitting organization. The DON PCA signature block is annotated for DUSN (M) approval.

DUSN (M) encourages submission of draft problem statements to DUSN (M) for informal review prior to, or concurrent with, internal staffing to expedite the problem statement review and approval process. No new functional sponsor signature will be required if changes are made after formal review, unless requested by DUSN (M).

The functional sponsor/functional area manager (FAM) signature must be the general officer/flag officer/senior executive service member at the echelon 1 level.

For the purposes of this review and approval, the **Functional Sponsor** is defined as the senior executive responsible for activities of the requirements validation phase to include: defining the business need (problem / gap); desired outcomes; and, acceptance criteria. The Functional Sponsor remains actively engaged in the program throughout its lifecycle in order to achieve the complete Doctrine, Organization, Training, Materiel, Leadership and education, Personnel, Facilities, and Policy (DOTMLPF-P) solution, and for declaring the Initial Operating Capability (IOC) and the criteria for declaring Full Deployment (FD)³.

³ DAU 12.4 DBS-specific Criteria: <https://acc.dau.mil/CommunityBrowser.aspx?id=516884>

Approach

The Requirements Validation (i.e. Problem Statement) portion of this template will be submitted in two (2) parts. The first part consists of the Executive Summary and Sections 1-3 of the template. The second part consists of the approved content from Part 1 and the addition of Sections 3-8. The criteria needed for each section is outlined below. The purpose of Part 1 is to allow the DCMO and the Offices of the Principle Staff Assistants (PSAs) an initial review (e.g. checkpoint) of the requirement to help determine its alignment to the functional strategy, cross-functional dependencies and enterprise applicability. At the conclusion of Part 1 of the process, the DCMO will provide the Component with an initial assessment of the need, to include areas for improvement or clarity. The DCMO can also assist with a review by the Defense Business Council (DBC), at this stage, if needed. Once Part 1 is completed and reviewed, the requirement is returned to the Component to complete the remainder of the template. Upon completion of Part 2, the final requirements document will be submitted, in its entirety, for formal review, coordination and approval. When completing this package, it is important to note the following:

- If a Requirements package meets any of the evaluation criteria noted in the “Thresholds” section, it will be routed to the DBC for review and comment.
- A decision/recommendation may be made upon the completion of the Part 1 review not to proceed with the Requirement. Any recommendation not to continue will be a collaborative discussion between the submitting organization, the functional PSA and the DCMO in order to define the proper course of action to meet user requirements.

All iterations of the requirements validation process will be submitted electronically via the Problem Statement SharePoint portal: <https://dcmo.osd.mil/coi/PS/SitePages/Home.aspx>

DUSN (M): Submit problem statements to DUSN (M), who will upload them to the ODCMO portal after review, revision (as required), and PCA endorsement. DUSN (M) will coordinate with the functional sponsor/FAM on any additional information or changes required by the subsequent ODCMO/4th Estate Working Group (4th Estate WG)/Defense Business Council (DBC) review. DUSN (M) encourages submission of draft consolidated comments matrix responses and problem statement revisions to DUSN (M) for review prior to formal resubmission.

Thresholds

A Requirements Validation package needs to be submitted for any development or modernization⁴ effort, regardless of the funding type. The guidance outlined in 10 USC §2222 is still applicable.

⁴ DoD FMR Vol 2b Ch18 (18-9)

DUSN (M): Problem statements must be submitted for any amount of development/modernization (DM) funding (any appropriation type) for covered DBS programs. There is no DM \$ threshold.

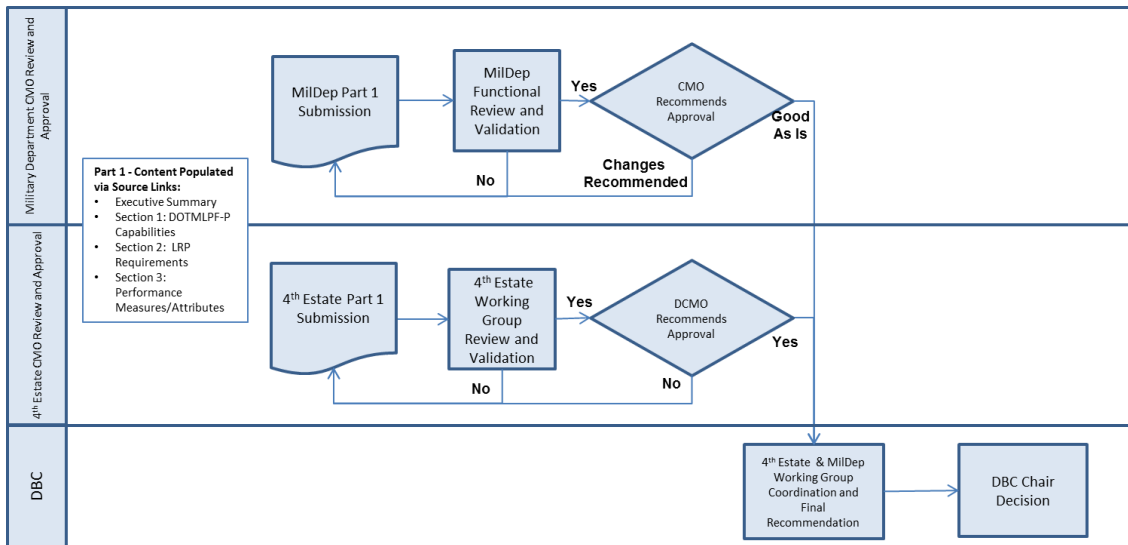
In support of the enhanced requirements validation process, there is no defined dollar threshold for submitting a requirement document/need. Submission evaluation criteria are based on the following:

- Are the requirements enterprise/transformational and impacts cross-functional equities?
- Are the requirements strategically aligned to the Agency Strategic Plan?
- Do any LRPs affect or are affected by the DOTMLPF-P capabilities necessary to fulfill the business need/problem?

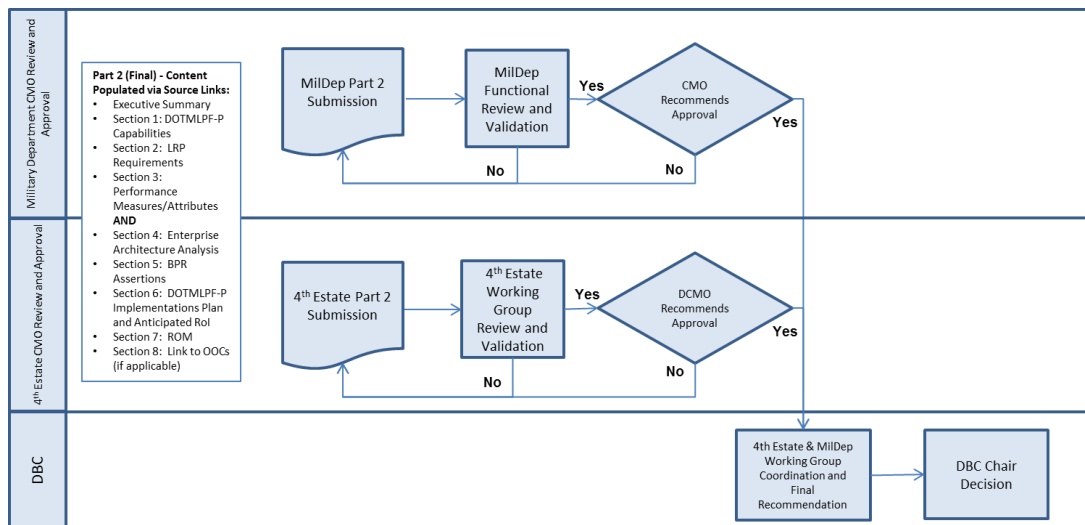
The template begins on the following page of this document. Depending on the scope of the requirement, the complete business requirement should be captured in 5-10 pages. Organizations are encouraged to consider these directions to ensure an accurate and timely review. The figures below outline the process flows and coordination points needed for the submission of Parts 1 and 2 of a Problem Statement.

DUSN (M): Parts 1 and 2 combined should be approximately 5-10 pages in length, as noted above. Part 1 should not exceed 3-5 pages.

Complete PSs (parts 1 and 2) may be submitted in lieu of sequential PS submissions (part 1 then part 2).



Part 1 Problem Statement Process



Part 2 Problem Statement Process

Part 1 Submission Criteria

Executive Summary

Present an executive-level overview in **1-2 pages** that describes:

- A validated need/requirement. (Should be substantiated with statute, regulations, policy, strategic priorities, etc.)
- Evidence that the need is not being met, including the magnitude and quantifiable measure(s) of the problem/gap, and which mission/functional areas are affected.
- The proposed project/initiative that will address this problem and the organization/person(s) leading it; what mission outcomes, key objectives (preferably measurable) it satisfies; cost, savings, process improvements, other benefits and overall implementation timeline.
- A summary of the project/initiative's requirements.
- Boundaries/scope of the project -- what is included and excluded. (If project will be executed in phases/spirals, identify how this BCA fits into a larger plan).
- Summary of the comparison of alternatives. (Briefly describe alternatives considered and rationale for final selection).
- High level implementation strategy and key milestones (e.g., start and delivery dates).
- Key assumptions and constraints foundational to the analysis (may be referenced if difficult to summarize).
- Contract vehicle(s) that could be utilized to host the proposed solution; and

- For cloud outsourcing/hosting situations, include a clear statement regarding any contract issues that impact this proposal (e.g., incorporating language into contract to mitigate known risks).

DUSN (M): One or two sentences summarizing the expected RoI and ROM cost should be provided (applies to part 2 only -- details provided in sections 6 and 7).

As appropriate, include a summary level comparison chart/graph/table of status quo and primary alternatives in presenting the recommendation.

Keep information at a summary level and focus on the most important points. Reference detailed discussion, if necessary.

The executive summary should be written last to make sure the analysis supports the recommendation rather than the other way around.

Part 1 serves as a checkpoint in the Requirements Validation process to ensure the defined requirements are not duplicative of existing tools or processes, are in alignment with strategic plans and/or identify existing interdependencies.

DUSN (M): The discussion above includes results from both parts 1 and 2. The executive summary should briefly describe the business problem, the capability gap(s) that exists, why the problem is important, and the proposed solution. Identify the scope (duration/length of time) of the DM effort. The executive summary may need to be updated after the part 1 approval. The final executive summary should be no longer than 2 pages.

For the following sections, ODCMO places an emphasis on due diligence regarding a thorough review of the subject matter. However, only a summary of the relevant analysis should be presented, rather than a “novel” of all related analyses performed in the past. Avoid cut and paste excerpts from previous analyses. Provide a succinct, stand-alone, understandable, and defensible summary that is pertinent to each problem statement category below.

Section 1: DOTMLPF-P Capabilities

This section identifies specific DOTMLPF-P capabilities that are needed to solve the problem. The subject matter experts (SMEs) should consider the entire DOTMLPF-P spectrum in identifying the required capabilities. The capabilities are very high level statements at this stage and will be further

refined and detailed as the SMEs and the sponsor work through the required sections. This section is designed to encourage the decomposition of warfighter needs into discrete and manageable capabilities, each of which is independently implementable and has standalone value to the warfighter. It should outline/address/validate a thorough review of the capabilities was conducted and note the results.

DUSN (M): Each of the eight DOTMLPF-P categories should highlight how the required capabilities will fix the problem identified in the PS. Examples, not all inclusive, are listed below:

Doctrine – what changes in operational tactics are required (e.g. enterprise vs. status quo?)

Organization – what organizational changes or realignments are required?

Training – what training is required to implement changes?

Materiel – what materiel solutions (hardware/software) are required?

Leadership/Education – what leadership attributes are required to manage the investment?

Personnel – what changes are needed to ensure effective/efficient materiel solutions?

Facilities – what changes are needed? i.e. to comply with environmental impact statements, additional infrastructure, etc?

Policy – what changes are required to ensure seamless transition from “as is” to the “to be” solution?

This section should not exceed one page.

Section 2: Legal, Regulatory and Policy (LRP) Requirements

The purpose of this section is to identify LRP requirements that must be addressed by any potential solution and the specific content within the LRP sources that affect any potential solution. The nature of the LRP requirements affects the scope of the problem, placing requirements on the implementation of any solution, and can either complicate or simplify the implementation. It may be determined that LRP requirements may need to be changed or waived in order to solve the user’s need/problem. This section should outline/address/validate a thorough review of the LRPs was conducted and note the results.

DUSN (M): A complete LRP history is not required or desired; only identify the relevant governing issuances, focusing on any limiting clauses that impact the potential solutions, not to exceed one page. Identify any waivers, exceptions, or exemptions needed to ensure compliance with the LRPs.

Section 3: Performance Measures/Attributes

A *Performance Measure* is a description of the successful delivery of capability in terms of desired outcomes. Performance Measures are sometimes referred to as Measures of Success. *Performance Attribute* is a description of the components that make up the successful delivery of capability (performance measure). Performance measures and attributes must be defined and measured to determine the effectiveness of any potential implementation of the identified DOTMLPF-P capabilities. This section should outline/address/validate a thorough review of applicable measures/attributes was conducted and note the results.

DUSN (M): Focus on high level measures and/or attributes linked to the DOTMLPF-P capability framework in section 1. Performance measures should be quantifiable and clearly relate to desired business outcomes (in terms of time, cost, and/or performance/quality) and benefits, while performance attributes should describe the specific capability components that will produce those results. Quantifiable performance measures should be relevant to the business problem (have a business value), provide the current baseline, and the target/goal. Investments for marginal improvements must be justified.

The number of representative performance measures/attributes should range from 3-5, not to exceed 1-2 pages. When developing your list, keep in mind that the performance measures must be easily accessible, represent performance outcomes that directly relate to the business problem, and be rationally derived.

This concludes part 1. Keep in mind that part 2 results may impact part 1, and part 1 should be updated as necessary. For example, the executive summary will be updated to include the ROM and RoI for the final submission.

Part 2 Submission Criteria

Section 4: Enterprise Architecture Analysis

Enterprise Architecture is a management practice that aligns resources, improves business performance and assists agencies better execute their core missions. An EA describes the current and future state of the agency and lays out a plan for transitioning from the current state to the desired future state. (FEA Practice Guidance dated Nov 2007,

http://www.whitehouse.gov/sites/default/files/omb/assets/fea_docs/FEA_Practice_Guidance_Nov_2007.pdf) EA Analysis is an activity whereby the EA is referenced to inform a decision. An EA analysis can identify opportunities for reuse, inform legal, regulatory and policy constraints, identify dependent or tangential process and help to capture impacts to those processes caused by changes to a specific process.

After reviewing the defined Need/Problem Statement and capabilities, the Architecture Team will assist in determining if some capability already exists within the organization, other Services, DoD/Federal Agencies and partner nations that may solve the SME defined problem. If a solution already exists, the Sponsor will direct the SMEs to reuse the existing solution, and the requirement will terminate. If there is

no duplication, the Architecture Team will review the requirements and ensure it aligns with the organization's strategy, and that all relevant LRP requirements have been identified and will be satisfied by the capabilities requested by the SMEs. This section should outline/address/validate a thorough review of the architecture was conducted and note the results.

DUSN (M): Concisely lay out the plan or roadmap to transition from the current state to the desired future state, focusing on the proposed materiel solution architecture. For example, how will the proposed solution integrate into and align with the existing architecture? What level of effort is projected to incorporate hardware/software modifications? Are commercial-off-the-shelf solutions available? Highlight compliance with data standards, business rules, laws, regulations, and policies defined in the DoD BEA. This section should not exceed 1-2 pages.

Section 5: Business Process Models to Support Business Process Re-engineering (BPR) Assertions

BPR is the fundamental rethinking and radical redesign of business processes to achieve dramatic improvements in critical contemporary measures of performance, such as cost, quality, service, and speed⁵. This section should outline/address/validate a thorough review of BPR was conducted and note the results.

DUSN (M): This section should delve into fundamental questions/issues, such as: is the business process streamlined and efficient? What specific business processes (high level) are changing? Is the "to be" state consistent with the desired outcomes. Only the salient attributes of the supporting BPR analysis should be described, not to exceed 1-2 pages.

Section 6: DOTMLPF-P Implementation Plan, to Include Anticipated Return-on-Investment (RoI)

This section must include the different DOTMLPF-P solutions, characterized execution requirements, implementation work plans including schedules, resource allocations, anticipated RoI and investment auditability, and business case analysis supporting the solutions. This section will support/justify the continued review of this Problem Statement. This section should outline and validate the implementation plan and note the intended outcomes. Anticipated RoI must be quantitative monetization and support the ROM cited in Section 7 to the maximum extent possible. If the ROI is negative, there should be adequate, succinct justification explaining why this problem statement must be approved. It may also include qualitative measures that improve mission performance as these are also important.

DUSN (M): The DOTMLPF-P implementation plan should be submitted and aligned in the same format as the DOTMLPF-P capabilities plan in section 1. Taken together, the two DOTMLPF-P plans should describe (at high level) how the required capabilities will be implemented.

⁵ DoDI 5010.43

Effective 1 Oct 2015, ODCMO requires a quantitative RoI for all problem statements. The RoI will be tracked and assessed retroactively to ensure documented cost savings were realized. The RoI will reflect total costs (i.e. people, integration/interfaces), not just IT expenditures. ODCMO defines RoI as the “return (monetized net benefit) from a set of changes (e.g. process improvements, IT implementation) divided by the cost of that action”.

$$RoI = \frac{\text{net benefits}}{\text{investment costs}}$$

Additional DUSN (M) guidance is provided in section 6 of the template. This section should not exceed 1-2 pages.

Section 7: Rough-Order-of-Magnitude (ROM)

A Rough Order of Magnitude Estimate (ROM estimate) is an estimation of a project’s level of effort and cost to complete. A ROM estimate takes place very early in a project’s life cycle — during the project selection and approval period and prior to project initiation in most cases. The main purpose of the ROM estimate is to provide decision-makers with the information necessary to make a decision on whether it makes sense to move forward with the project based on the estimated level of effort, in terms of completion time and cost. The ROM, at this stage, is only applicable to the Requirements Validation stage of the process. This is the initial assessment and any future cost of program development should be addressed in the Business Case Analysis (BCA) Cost Estimation section.

When submitting the ROM, the organization should consider and represent, as applicable, the Lifecycle Cost Estimates (LCE) as well as the projected costs over the future years defense program (FYDP). The ROM estimate can be cited as <Low: \$n, Expected: \$n, High: \$n> for LCE and the FYDP.

DUSN (M): The ROM should reflect the DM and CS costs for the effort over the FYDP, and the total costs to complete the effort (if it extends past the FYDP). The ROM will be refined later in the acquisition process (e.g. in the AoA). The low, expected, and high ROM estimates should be based on such factors as technology/cost/schedule risk, fiscal stability, and potential continuing resolution (CR) impacts.

Submitting organizations may be required to develop new, revised PSs, or PS addendums for future OOC and annual certification requests, whose cost and schedule estimates lie outside the ROM range in the approved problem statement. PS addendums may be submitted when schedule delays and/or cost increases are identified and extend the DM effort beyond the original PS scope (schedule and/or ROM). Substantial cost variations may be indicative of new requirements and/or development redesign, rather than fact of life (e.g. technical, programmatic, or budgeting) adjustments to the program. A brief rationale or justification for the proposed ROM range should be included in this section, not to exceed one page.

Section 8: Link to Out-of-Cycle (OOC) Requests or Other Investment(s)

If this requirement is aligned to an Out-of-Cycle (OOC) request, all relevant details should be outlined in this section to ensure continuity between the efforts, allowing for faster evaluation and approval timelines.

DUSN (M): Identify where investment certification differs from funding data (i.e. PBIS–IT, SNaP-IT, DITIP). Note and explain any changes in budget/programming/execution data to help track program continuity (including OOC requests), as it progresses through the various major decision processes (i.e. PPBES, acquisition management). For example, identify if an OOC request will be submitted upon approval of the PS for the current FY, funding for the program updated in PBIS-IT/SNaP-IT, etc. This will enable future OOC and certification requests to be processed more expediently. This section should not exceed one page.



<Insert Component
Name>

<Insert Initiative Name>

<Insert Initiative
Acronym>

Version X.X

Document Revision History

Version	Date	Summary of Changes
Version 1.0	<Insert date issued here>	<Insert summary of changes here>

Problem Statement Signature

The undersigned concur that this requirement is valid and aligns to current strategies and mission objectives.

DUSN (M): insert the name, title, and organization of the appropriate echelon 1 GO/FO/SES signature for DON problem statement submissions.

Functional Sponsor:

Date:

<Insert name here>

<Insert title here>

<Insert organization here>

Precertification Authority (PCA):

Date:

Mr. Michael Stewart

Director, Business Operations

Deputy Under Secretary of the Navy (Management)

Executive Summary

DUSN (M): This section must be written at a high level, clearly and succinctly, so senior leadership can quickly grasp the issue(s) and proposed solution(s), including:

1. Business/operational problem that needs to fixed.
2. Consequences/impact/risk if problem not addressed.
3. Why it is a problem now – were there prior attempts to develop a solution(s)?
4. Why are DM resources required?
5. Were non-materiel solutions explored?
6. What is the approach for fixing the problem? What high-level capabilities are needed and how will they be acquired?
7. Is this a stand-alone solution or a phased development? If incremental or temporary fix, PS should cover the entire solution, eliminating the need for additional PS’s.
8. Scope (duration/length of time) of the DM effort.
9. What is the ROM cost range and projected RoI (part 2 only)?

Section 1: DOTMLPF-P Capabilities

Category	What capabilities are needed to solve the problem? If none, so state.
Doctrine	What changes in operational tactics are required (e.g. enterprise vs status quo?)
Organization	What organizational changes or realignments are required?
Training	What training is required to implement changes?
Materiel	What materiel solutions (hardware/software) are required?
Leadership and Education	What leadership attributes are required to manage the investment?
Personnel	What changes are needed to ensure effective/efficient materiel solutions?
Facilities	What changes are needed? i.e. to comply with environmental impact statements, any infrastructure, etc?
Policy	What changes are required to ensure seamless transition from “as is” to the “to be” solution?

Section 2: Legal, Regulatory and Policy (LRP)

LRP abbreviation/number	Title	Date	Applicability
statute, regulation, or instruction (i.e. MCBul 3000)	title	date	ipact on solution(s) (i.e. if a waiver is required)

DUSN (M): Include only 3-5 most relevant LRPs and identify any waivers, exceptions, or exemptions needed to ensure compliance.

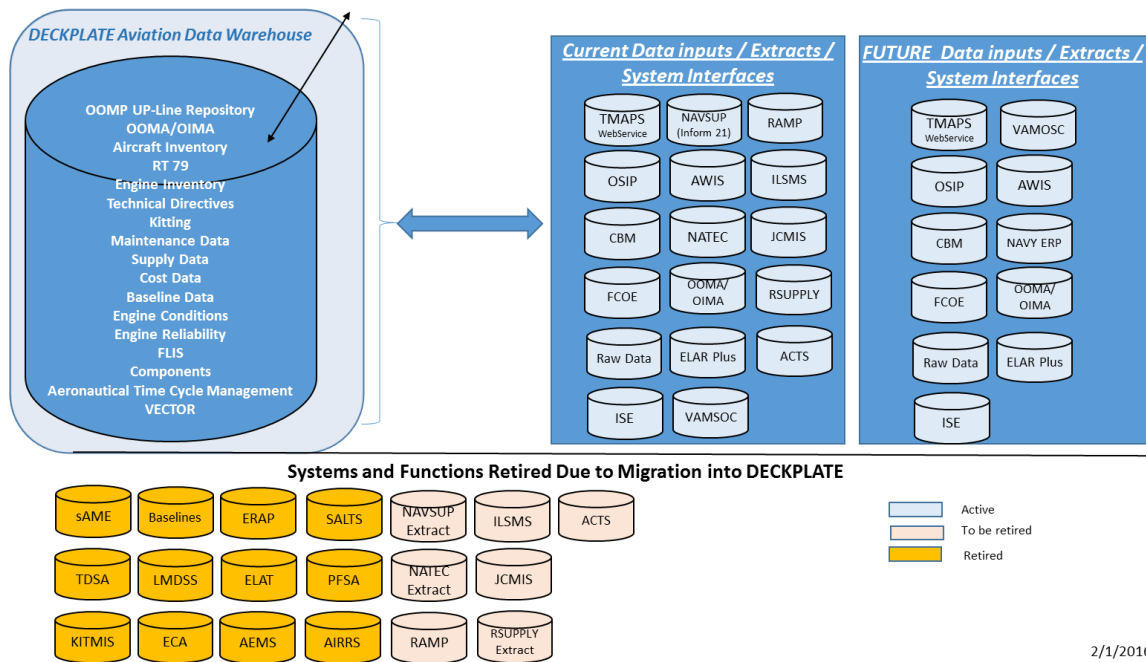
Section 3: Performance Measures/Attributes

DUSN (M): List strategic business goals or outcomes and the associated metrics that will be used to measure performance. These metrics should reflect evaluation of projected business outcomes (e.g. improve readiness, combat capability, safety, etc.) and linkage to the department’s strategic business guidance (e.g. SMP, BTP).

Strategic business initiative/goal/objective	Business outcome	Performance measure
Objective	What is success?	Evaluation metric (quantitative, baseline, and target/goal)

Section 4: Enterprise Architecture Analysis

DUSN (M): This section must include a clear and succinct description of the “as is” state and the “to be” solution. A graphic should be provided, showing the system architecture with the current and future states, based on the program data in the IBF-DAP tool. An example is shown below for the



2/1/2016 – v4.0

DECKPLATE program.

Section 5: Business Process Models to Support Business Process Re-engineering (BPR) Assertions

DUSN (M): This section should clearly and succinctly describe the results of the BPR analysis documented in the DITPR-DON tool and include:

1. Scope, magnitude, and duration of the business need.
2. Quantifiable gap between current performance and future requirements.
3. Justification for materiel solution - e.g. what is the specific business need(s) a non-materiel solution is unable to meet?
4. Enterprise application and any joint efforts with other services.
5. Engagement with key stakeholders.
6. Impact on related business programs – address any overlap areas.
7. Risk mitigation plans.

Section 6: DOTMLPF-P Implementation Plan, to Include Anticipated Return-on-Investment (RoI)

Category	How will new capabilities be implemented? If none required, so state
Doctrine	What gaps need to be addressed to transition from the present to future state? Can they be resolved in the required time frame?
Organization	Same as above
Training	Same as above
Materiel	Same as above, with availability assessment of needed hardware and software, as well as any integration and installation issues.
Leadership and Education	What are the plans to ensure streamlined feedback to/from leadership? Do management controls need to be modified (e.g. eliminate management layering and overlapping and/or redundant reviews). Will new educational curricula be required and how will they be phased in? What are the feedback mechanisms to evaluate effectiveness?
Personnel	Same as doctrine above
Facilities	Same as doctrine above
Policy	What steps will be taken to ensure the expeditious development and communication of new policies impacting the enterprise?

DUSN (M): RoI calculations should be based on actual savings (e.g. FTE reductions) vice cost efficiencies (i.e. cost avoidance or opportunity costs), since OSD intends to track attainment of RoI targets during program reviews.

ODCMO defines RoI as the “return (monetized net benefit) from a set of changes (e.g. process improvements, IT implementation) divided by the cost of that action”.

$$RoI = \frac{\text{net benefits}}{\text{investment costs}}$$

Additional references:

- https://www.ncca.navy.mil/references/DON_Economic_Analysis_Template.docx
- https://www.ncca.navy.mil/tools/JIC_PB17_Feb_2016_Final.xlsm

Section 7: Rough-Order-of-Magnitude (ROM)

DUSN (M): This section must contain at a minimum, the following table breakout of the expected ROM, by CS and DM. In addition, low and high ranges should also be presented along with their justification. The RoI described in section 6 should be based upon the expected ROM costs shown below. Build-up of the ROM, based on major cost elements, such as material, labor, licensing, etc. needs to be presented in this section. Cost estimates should be validated by the FAM, in conjunction with the Naval Center for Cost Analysis (NCCA), as needed. Cost streams may extend beyond the FYDP and should be reflected in the total ROM column.

\$K	FY16	FY17	FY18	FY19	FY20	FY 21	Total FYDP	Total ROM
CS								
DM								
Total								

DUSN (M): All costs should be consistent with and aligned to PBIS-IT and SNAP-IT. Any inconsistencies must be addressed and reconciled prior to submission to DUSN (M) for investment certification.

Section 8: Link to Out-of-Cycle (OOC) Requests or Other Investment(s)

DUSN (M): List and describe any out-of-cycle requests, investment funds from other sources, etc. that are associated to this PS.
