

**September
2008**

DEPARTMENT OF THE NAVY

Assistant Secretary of the Navy
(ASN) Research Development
and Acquisition (RDA)

NAVAL POPS

Program Health Assessment Guidance for Naval Acquisition Programs

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NAVAL PoPS

CRITERIA HANDBOOK



Supplement for the Implementation of Naval PoPS

*A Program Health Assessment Methodology
for Navy and Marine Corps Acquisition Programs*

SEPTEMBER 2008
VERSION 1.0

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NAVAL POPS CRITERIA HANDBOOK
TABLE OF CONTENTS

Chapter 1: Criteria 1

 Gate 1..... 1

 Gate 2..... 33

 Gate 3..... 73

 Gate 4..... 121

 Gate 5..... 169

 Gate 6 (Post IBR) 215

 Gate 6 (Post CDR) 261

 Gate 6 CPD..... 305

 Gate 6 (Pre FRP) 349

Chapter 2: Spreadsheet..... 391

 1.0 Introduction to Naval PoPS Criteria Spreadsheet..... 394

 2.0 Program Health Assessment Process 394

 3.0 Key Spreadsheet Terms 396

 4.0 Spreadsheet Scoring Methodology..... 396

 5.0 Spreadsheet Components 400

 6.0 PowerPoint Generation 406

 7.0 Naval PoPS Spreadsheet Demonstration 410

 8.0 Notable Exceptions in the PoPS Spreadsheet..... 417

Chapter 1 contains the Naval PoPS Criteria required for each DON Program Health Assessment. Criteria are organized by Metric within each Gate. Ctrl+Click on the Gate listed in the Table of Contents to navigate directly to that section within the handbook.

Chapter 2 provides instructions for using the Naval PoPS Criteria Spreadsheet to conduct Program Health Assessments. The Naval PoPS Criteria Spreadsheet reference files include:

- Gate 1_POPS CRITERIA_MMDDYY_v1.xls
- Gate 2_POPS CRITERIA_MMDDYY_v1.xls
- Gate 3_POPS CRITERIA_MMDDYY_v1.xls
- Gate 4_POPS CRITERIA_MMDDYY_v1.xls
- Gate 5_POPS CRITERIA_MMDDYY_v1.xls
- Gate 6 Post IBR_CRITERIA_MMDDYY_v1.xls
- Gate 6 Post CDR_CRITERIA_MMDDYY_v1.xls
- Gate 6 CPD_CRITERIA_MMDDYY_v1.xls
- Gate 6 Pre FRP_CRITERIA_MMDDYY_v1.xls

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CHAPTER 1

Gate 1

Naval PoPS Criteria



GATE 1
METRIC CRITERIA DIRECTORY

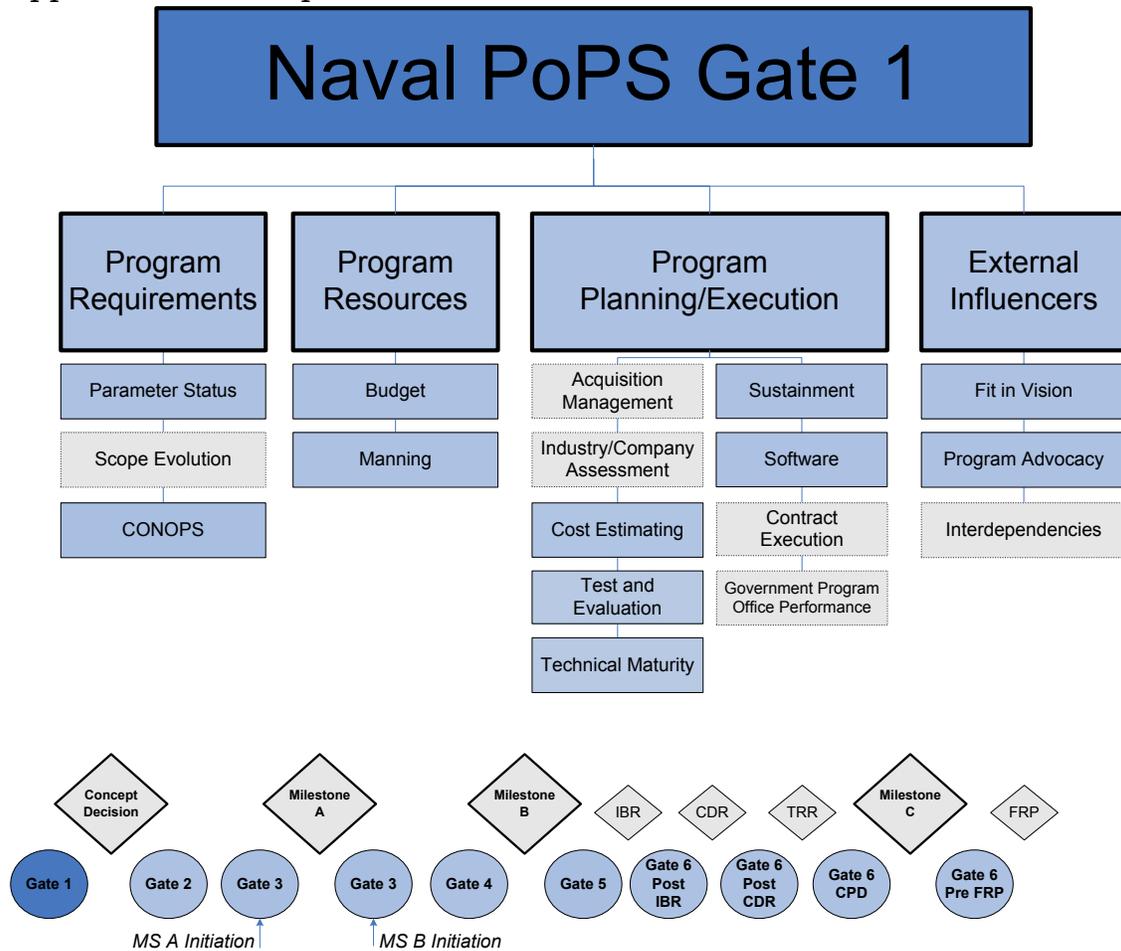
Program Requirements	
Parameter Status	5
Scope Evolution	8
CONOPS	9
Program Resources	
Budget	10
Manning.....	11
Program Planning/Execution	
Acquisition Management	12
Industry/Company Assessment.....	13
Cost Estimating.....	14
Test and Evaluation	15
Technical Maturity	16
Sustainment	18
Software.....	20
Contract Execution	22
Government Program Office Performance.....	23
External Influencers	
Fit in Vision	24
Program Advocacy	25
Interdependencies	31

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 1

Begin Use	Preparation for DON Gate 1 Review; prior to Concept Decision
End Use	Completion of Gate 1 Review/Concept Decision
Assessment and/or Briefing Responsibility	Requirements Office/Prospective PM/Cognizant PEO
Associated Files	Gate 1_POPS CRITERIA_MMDDYY_v1.xls Gate 1_POPS VISUALS_MMDDYY_v1.xls Gate 1_POPS BRIEF_MMDDYY_v1.ppt

Note: The light gray Metric boxes in the Program Health framework below are not applicable for this phase.



NAVAL POPS GATE 1

Gate 1 Criteria

This section contains the required Gate 1 Program Health Assessment Criteria. The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 1. The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).

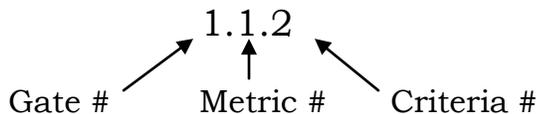
1.1.2 Threat assessment is still valid. ← **Criteria Statement**

G	Threat assessment is still valid.	} Criteria Responses
Y	Threat assessment is invalid, but revision is in work.	
R	Threat assessment is invalid and no revision is in work.	

Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



Gate 1
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

1.1.1 Capabilities Based Analysis (CBA) has been successfully completed; includes Functional Area Analysis (FAA), Functional Needs Analysis (FNA), and Functional Solutions Analysis (FSA). FSA includes materiel and non-materiel solutions.



CBA has been successfully completed; includes FAA, FNA, and FSA. FSA includes materiel and non-materiel solutions.



CBA has been completed, but there are some significant content related issues with the FAA/FNA/FSA.



CBA has not been completed. -OR- The completed CBA is invalid due to the number of significant content related issues.

1.1.2 Threat assessment in the Capabilities Based Analysis (CBA) is still valid.



Threat assessment in the CBA is still valid.



Threat assessment in the CBA is invalid, but revision is in work.



Threat assessment in the CBA is invalid and no revision is in work.

[Criteria continued on next page]

1.1.3 No content related issues with the Initial Capabilities Document (ICD); capabilities are clearly defined. Critical comments from Navy/Marine Corps staffing have been adjudicated.



No content related issues with the ICD; capabilities are clearly defined. Critical comments from Navy/Marine Corps staffing have been adjudicated.



Some content related issues with the ICD. Critical comments from Navy/Marine Corps staffing are being adjudicated.



Significant content related issues with the ICD. Critical comments from Navy/Marine Corps staffing are not being adjudicated.

1.1.4 Initial Capabilities Document (ICD) capabilities reflect the completed Capabilities Based Analysis (CBA). Differences have been resolved.



ICD capabilities reflect the completed CBA. Differences have been resolved.



ICD capabilities partially reflect the completed CBA. Differences are being resolved.



ICD capabilities do not reflect the CBA and differences are not being resolved.

1.1.5 Analysis of Alternatives (AoA) Guidance has been submitted.



AoA Guidance has been submitted.



AoA Guidance has been developed, but there are issues that must be resolved.



AoA Guidance has not been developed.

[Criteria continued on next page]

1.1.6 Required architectural descriptions/views¹ of the capability have been completed, are included in the Initial Capabilities Document (ICD), and are Department of Defense Architecture Framework (DODAF) compliant.



Required architectural descriptions/views of the capability have been completed, are included in the ICD, and are DODAF compliant.



Required architectural descriptions/views of the capability have been developed, but there are issues that must be resolved.



Required architectural descriptions/views of the capability have not been developed. –OR– Architectural descriptions/views of the capability are not DODAF compliant.

[Back to Gate 1 Directory](#)

¹ Reference CJCSI 3170.01F, CJCSI 6212.01D, and DoDI 4630.8.

Gate 1
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

No Criteria applicable for this Gate.

[Back to Gate 1 Directory](#)

Gate 1
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

1.3.1 Plan exists for development of the Concept of Operations (CONOPS), to include how CONOPS will be used to inform the Analysis of Alternatives (AoA), operational manpower requirements, sustainability/supportability strategy, testing strategy, etc. Initial Capabilities Document (ICD) is being used as the basis for the CONOPS.



Plan exists for development of the CONOPS. ICD is being used as the basis for the CONOPS.



Plan exists for development of the CONOPS, but there is a weak linkage to the ICD.



Plan does not exist for development of the CONOPS.

[Back to Gate 1 Directory](#)

Gate 1
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

1.4.1 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities [e.g., Analysis of Alternatives (AoA), Concept of Operations (CONOPS), cost estimating, technology assessments, and various studies] to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient and/or available to allow program planning activities to proceed to next Gate Review without high risk.

[Back to Gate 1 Directory](#)

Gate 1
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

1.5.1 The Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) have defined preliminary Program Office manpower requirements (e.g., staff phasing, skills, experience, certifications, etc.).



PEO and/or Program Office and the host SYSCOM have defined preliminary Program Office manpower requirements.



PEO and/or Program Office and the host SYSCOM are defining preliminary Program Office manpower requirements.



PEO and/or Program Office and the host SYSCOM are not defining preliminary Program Office manpower requirements.

1.5.2 Based on preliminary Program Office manpower requirements defined by the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM), staffing is stable and adequate (in terms of availability, skills, experience and certifications) to conduct program planning activities. Key Program Office positions have been identified [e.g., prospective Program Manager (PM), Requirements Officer, Analysis of Alternatives (AoA) Director].



Staffing is stable and adequate to conduct program planning activities. Key Program Office positions have been identified.



Some staffing instability and/or inadequacy exists, but it will not affect the ability to conduct program planning activities. Key Program Office positions are being identified.



Staffing is unstable and/or inadequate to conduct program planning activities. Key Program Office positions are not being identified.

[Back to Gate 1 Directory](#)

Gate 1
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS), milestone documentation development, and progress toward defining derived requirements in the System Design Specification (SDS).

ACQUISITION MANAGEMENT CRITERIA

No Criteria applicable for this Gate.

[Back to Gate 1 Directory](#)

Gate 1
Program Planning/Execution

**INDUSTRY/COMPANY
ASSESSMENT**

INDUSTRY/COMPANY ASSESSMENT: Market research activities, industrial base health, and implications to inform development of the Request for Proposal (RFP); for major contracts,² the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the program, etc.

INDUSTRY/COMPANY ASSESSMENT CRITERIA

No Criteria applicable for this Gate.

[Back to Gate 1 Directory](#)

² Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

Gate 1
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

1.8.1 Plan to conduct cost estimates has been developed (includes cost estimate approach); all stakeholders actively involved.



Plan to conduct cost estimates has been developed; all stakeholders actively involved.



Plan to conduct cost estimates is being developed; all key stakeholders are involved.



Plan to conduct cost estimates is not being developed.

1.8.2 Cost estimate range to address potential capability alternatives has been developed and approved.



Cost estimate range to address potential capability alternatives has been developed and approved.



Cost estimate range to address potential capability alternatives is being developed.



Cost estimate range to address potential capability alternatives is not being developed.

[Back to Gate 1 Directory](#)

Gate 1
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

1.9.1 Identified alternatives to be assessed in the Analysis of Alternatives (AoA) can be evaluated.



Identified alternatives to be assessed in the AoA can be evaluated.

[No Yellow Criteria]



Identified alternatives to be assessed in the AoA cannot be evaluated.

[Back to Gate 1 Directory](#)

Gate 1
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

1.10.1 Identifying the Critical Technology Elements (CTEs) required to support the capabilities defined in the Initial Capabilities Document (ICD).

-  Identifying the CTEs required to support the capabilities defined in the ICD.
-  Plan exists to identify the CTEs required to support the capabilities defined in the ICD.
-  No plan exists to identify the CTEs required to support the capabilities defined in the ICD.

1.10.2 Collecting data on Critical Technology Elements (CTEs) that have been tested/demonstrated in other environments.

-  Collecting data on CTEs that have been tested/demonstrated in other environments.
-  Plan exists to collect data on CTEs that have been tested/demonstrated in other environments.
-  No plan exists to collect data on CTEs that have been tested/demonstrated in other environments, or no data exists on identified CTEs.

[Criteria continued on next page]

1.10.3 [Milestone B Initiation]³: Plan to define the Technology Development Strategy (TDS) has been developed and approved. Periodic technology refreshments are included as a key planning consideration. Initial plans include consideration for how to leverage and measure common development and maintenance of applications with other systems/programs as well as how to leverage a modular design to reduce the effort and cycle time of system modernization.



Plan to define the TDS has been developed and approved.



Plan to define the TDS is being developed.



Plan to define the TDS is not being developed.

[Back to Gate 1 Directory](#)

³ Criteria 1.10.3 is only required for programs with a Milestone B Initiation designation.

Gate 1
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key sustainment planning activities.

SUSTAINMENT CRITERIA

1.11.1 Functional Solution Analyses (FSAs) adequately address the Sustainment approaches for each alternative.

-  FSAs adequately address the Sustainment approaches for each alternative.
-  FSAs do not adequately address the Sustainment approaches for each alternative, but plan exists to address the Sustainment strategy associated with each alternative being evaluated in the AoA.
-  FSAs do not address the Sustainment approaches for each alternative, and no plan exists to address the Sustainment strategy associated with each alternative being evaluated in the AoA.

1.11.2 Initial Capabilities Document (ICD) includes minimum attributes for reliability, availability and maintainability (RAM) and ownership cost characteristics. The minimum value of the Material Reliability (KSA) is properly balanced to support Materiel Availability (KPP) and Ownership Cost (KSA) characteristics.

-  ICD includes minimum attributes for RAM and ownership cost characteristics. The minimum value of the Material Reliability (KSA) is properly balanced to support Materiel Availability (KPP) and Ownership Cost (KSA) characteristics.
-  ICD includes minimum attributes for RAM and ownership cost characteristics, but the value for the Material Reliability (KSA) is not properly balanced to support Materiel Availability (KPP) and Ownership Cost (KSA) characteristics.
-  ICD does not include minimum attributes for RAM and ownership cost characteristics.

[Criteria continued on next page]

1.11.3 AoA Sustainment guidance includes seeking opportunities to use common Sustainment infrastructure, tools, and information systems and for the generation of a preliminary Hazard list.



AoA Sustainment guidance includes seeking opportunities to use common Sustainment infrastructure, tools, and information systems and for the generation of a preliminary Hazard list.

[No Yellow Criteria]



AoA Sustainment guidance does not include seeking opportunities to use common Sustainment infrastructure, tools, and information systems or for the generation of a preliminary Hazard list.

[Back to Gate 1 Directory](#)

Gate 1
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

1.12.1 Analysis of Alternatives (AoA) guidance directs developing a projection of the percentage of total functionality provided by software for each alternative; this may require assumptions, which are to be described.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: ORGANIZATION

1.12.2 Staffing is adequate (in terms of availability, skills, experience, certifications) to select alternatives for software and to conduct software planning activities.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: COST/SCHEDULE

1.12.3 Software cost estimates range has been developed to address potential capability alternatives.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

1.12.4 Analysis of Alternatives (AoA) guidance directs inclusion of software cost estimates (including rationale for cost estimate approach and involvement of relevant stakeholders to include requirements stakeholders).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

1.12.5 Requirement to identify Information Exchange Requirements (IERS) and data exchange requirements is addressed in Analysis of Alternatives (AoA) planning.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Back to Gate 1 Directory](#)

Gate 1
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors⁴ as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

No Criteria applicable for this Gate.

[Back to Gate 1 Directory](#)

⁴ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

Gate 1
Program Planning/Execution

**GOVERNMENT PROGRAM
OFFICE PERFORMANCE**

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

No Criteria applicable for this Gate.

[Back to Gate 1 Directory](#)

Gate 1
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

1.15.1 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

1.15.2 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 1 Directory](#)

Gate 1
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)⁵
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners⁶
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services⁷

⁵ Each OSD stakeholder is assessed individually.

⁶ Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

⁷ Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

1.16.1 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

1.16.2 OSD Advocacy⁸

1.16.2.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

⁸ OSD stakeholders are assessed individually in Criteria 1.16.2.1-1.16.2.5 below.

1.16.2.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

1.16.2.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

1.16.2.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

1.16.2.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

1.16.3 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

1.16.4 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

1.16.5 International Partners Advocacy⁹

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

1.16.6 Other Services Advocacy¹⁰

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 1 Directory](#)

⁹ Criteria 1.16.5 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then the PM/user should select “N/A” in the Naval PoPS Criteria Spreadsheet.

¹⁰ Criteria 1.16.6 is only required for Joint programs. If this Criteria does not apply, then the PM/user should select “N/A” in the Naval PoPS Criteria Spreadsheet.

Gate 1
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

INTERDEPENDENCIES CRITERIA

No Criteria applicable for this Gate.

[Back to Gate 1 Directory](#)

PAGE INTENTIONALLY LEFT BLANK

Gate 2

Naval PoPS Criteria



GATE 2
METRIC CRITERIA DIRECTORY

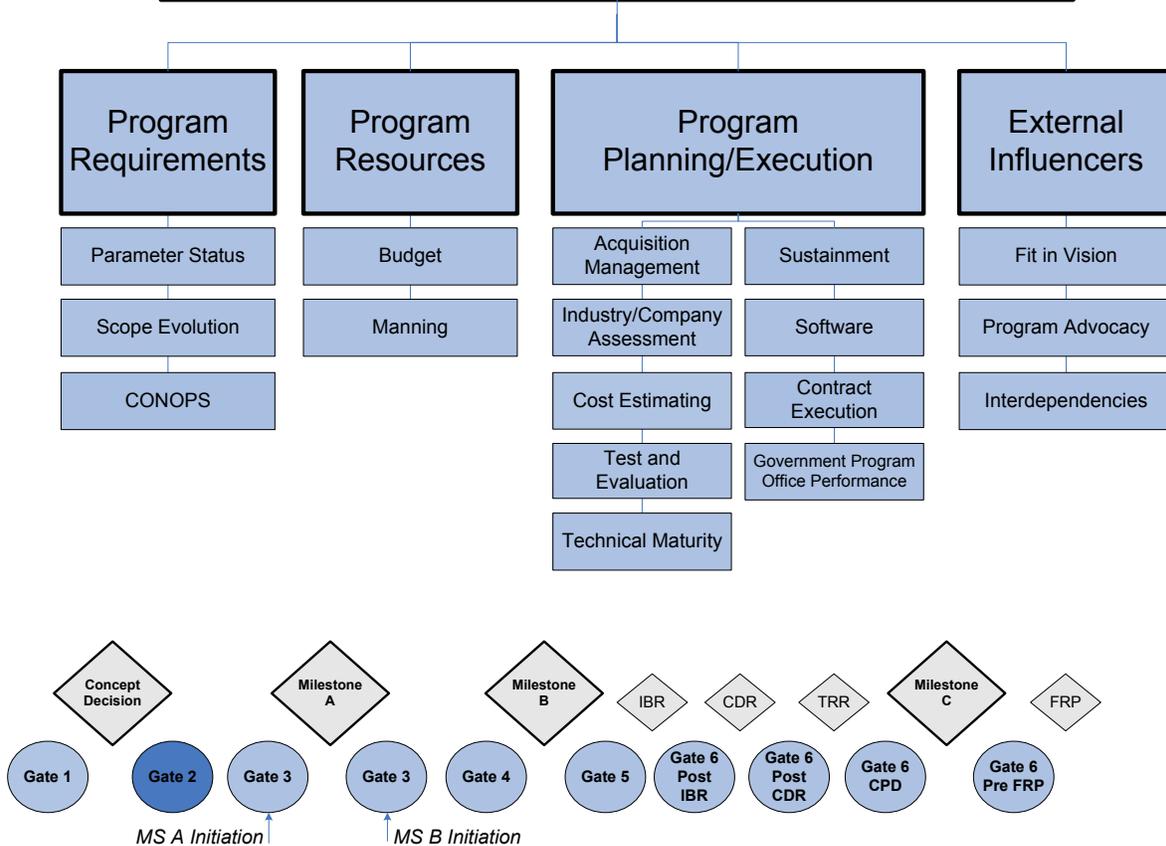
Program Requirements	
Parameter Status	37
Scope Evolution	39
CONOPS	40
Program Resources	
Budget	41
Manning.....	43
Program Planning/Execution	
Acquisition Management	45
Industry/Company Assessment.....	46
Cost Estimating.....	50
Test and Evaluation	51
Technical Maturity	53
Sustainment	55
Software.....	57
Contract Execution	59
Government Program Office Performance.....	62
External Influencers	
Fit in Vision	64
Program Advocacy	65
Interdependencies	71

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 2

Begin Use	After completion of Gate 1 Review/Concept Decision
End Use	Completion of Gate 2 Review/AoA Selection
Assessment and/or Briefing Responsibility	Requirements Office/Prospective PM/Cognizant PEO
Associated Files	Gate 2_POPS CRITERIA_MMDDYY_v1.xls Gate 2_POPS VISUALS_MMDDYY_v1.xls Gate 2_POPS BRIEF_MMDDYY_v1.ppt

Naval PoPS Gate 2

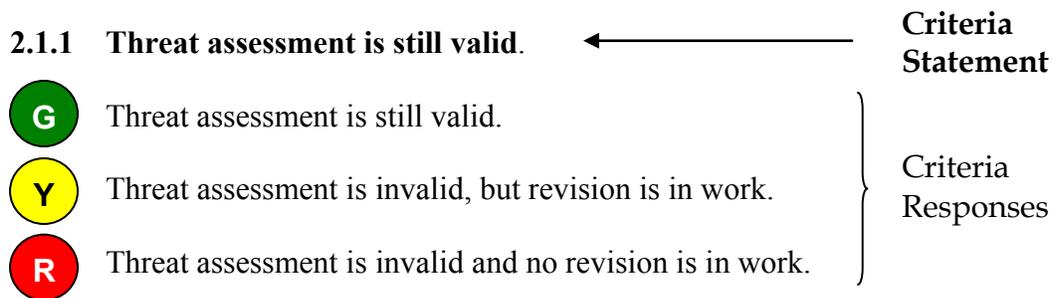


NAVAL POPS GATE 2

Gate 2 Criteria

This section contains the required Gate 2 Program Health Assessment Criteria. The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 2. The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

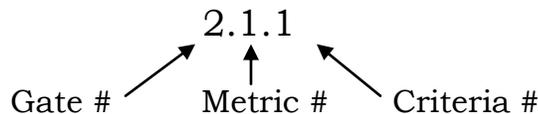
Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).



Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



Gate 2
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

2.1.1 Threat assessment is valid.



Threat assessment is valid.



Threat assessment is under development and will be validated prior to the next Gate Review.



Threat assessment is invalid and no revision is in work.

2.1.2 Initial Capabilities Document (ICD) is approved; capabilities are clearly defined and understood.



ICD is approved; capabilities are clearly defined and understood.

[No Yellow Criteria]



ICD is not approved

2.1.3 Analysis of Alternatives (AoA) preferred system concept fills the capability gaps identified in the Initial Capabilities Document (ICD).



AoA preferred system concept fills the capability gaps identified in the ICD.



AoA preferred system concept partially fills the capability gaps identified in the ICD.



AoA preferred system concept does not fill the capability gaps identified in the ICD.

[Criteria continued on next page]

2.1.4 Capability Development Document (CDD) Guidance has been submitted.



CDD Guidance has been submitted.



CDD Guidance has been developed, but there are issues that must be resolved.



CDD Guidance has not been developed.

2.1.5 Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attributes have been identified to support Initial Capabilities Document (ICD)/Capability Development Document (CDD) capabilities. Threshold and objective values in work.



KPPs/KSAs/other attributes have been identified to support ICD/CDD capabilities. Threshold and objective values in work.



KPPs/KSAs/other attributes that will support ICD/CDD capabilities are being identified.



KPPs/KSAs/other attributes that can support ICD/CDD capabilities are not being identified.

2.1.6 Required architectural descriptions/views¹¹ of the program capabilities are being developed, are on track for completion to support the Capability Development Document (CDD), and are Department of Defense Architecture Framework (DODAF) compliant.



Required architectural descriptions/views of the program capabilities are being developed, are on track for completion to support the CDD, and are DODAF compliant.



Required architectural descriptions/views of the program capabilities are being developed; schedule will delay CDD release by no more than six months.



Required architectural descriptions/views of the program capabilities are being developed, but schedule will delay CDD release by more than six months. –OR– Architectural descriptions/views of the capability are not being developed/are not DODAF compliant.

[Back to Gate 2 Directory](#)

¹¹ Reference CJCSI 3170.01F, CJCSI 6212.01D, and DoDI 4630.8.

Gate 2
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

2.2.1 Scoped requirements/cost/schedule assumptions in the Initial Capabilities Document (ICD)/Analysis of Alternatives (AoA) are sufficient to serve as the set of baseline assumptions for the planned acquisition program.



Scoped requirements/cost/schedule assumptions in the ICD/AoA are sufficient to serve as the set of baseline assumptions for the planned acquisition program.



Scoped requirements/cost/schedule assumptions in the ICD/AoA are sufficient to serve as the set of baseline assumptions for the planned acquisition program, but require modifications/updates.



Scoped requirements/cost/schedule assumptions in the ICD/AoA are not sufficient to serve as the set of baseline assumptions for the planned acquisition program.

[Back to Gate 2 Directory](#)

Gate 2
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

2.3.1 Relevant Navy/Marine Corps/Army/Air Force/Joint Concept of Operations (CONOPS) have been identified and reviewed and are being used to inform the CONOPS.



Relevant CONOPS have been identified and reviewed and are being used to inform the CONOPS.



Relevant CONOPS have been identified.



Relevant CONOPS have not been identified.

2.3.2 Concept of Operations (CONOPS) guidance and assumptions have been submitted; framework will support development of operational manpower requirements, sustainability/supportability strategy, preliminary testing strategy, etc.



CONOPS guidance and assumptions have been submitted; framework will support development of operational manpower requirements, sustainability/supportability strategy, preliminary testing strategy, etc.



CONOPS guidance and assumptions have been developed, but there are content-related issues that must be resolved.



CONOPS guidance and assumptions have not been developed.

[Back to Gate 2 Directory](#)

Gate 2
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

2.4.1 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities [e.g., Concept of Operations (CONOPS), Capability Development Document (CDD), cost estimating, technology assessments, and various studies] to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.

[Criteria continued on next page]

2.4.2 Funding, based on current cost estimate, is being POMed across the Future Years Defense Program (FYDP). Planned/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. [If S-Curve has been developed]¹²: Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is being POMed across the FYDP.

Planned/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. [If S-Curve has been developed]: Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is being POMed across the FYDP.

Planned/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. [If S-Curve has been developed]: Program is funded to 30-45% probability on the S-Curve.



Funding has NOT been approved/is NOT being POMed across the FYDP. –OR–

Planned/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. [If S-curve has been developed]: Program is funded to < 30% probability on the S-Curve.

[Back to Gate 2 Directory](#)

¹² If S-Curve has not been developed, then the Criteria after the colon does not apply for this Gate.

Gate 2
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

2.5.1 The Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) have negotiated a staffing agreement that identifies Program Office manpower requirements (e.g., staff phasing, skills, experience, certifications, etc.) and associated funding sources. Associated staffing plan has been authorized and funded and is being executed.



PEO and/or Program Office and the host SYSCOM have negotiated a staffing agreement that identifies Program Office manpower requirements and associated funding sources. Associated staffing plan has been authorized and funded and is being executed.



PEO and/or Program Office and the host SYSCOM have estimated Program Office manpower requirements, but requirements have not been finalized. Associated staffing plan has been developed, but has not been authorized or funded.



PEO and/or Program Office and the host SYSCOM have not defined Program Office manpower requirements. Staffing plan does not exist.

[Criteria continued on next page]

2.5.2 Based on the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) negotiated staffing agreement, staffing is stable and adequate (in terms of availability, skills, experience, and certifications) to conduct program planning activities. Key Program Office positions have been defined [e.g., prospective Program Manager (PM), Engineer, Logistics, Test and Evaluation (T&E), Contract Management, Budget and Financial Management, Cost Analysis, Depots/Centers, Requirements Officer].

- G** Staffing is stable and adequate to conduct program planning activities.
- Skeleton program office has been established.
 - Key Program Office positions are stable (the most recent key personnel change was more than 3 months ago and no changes are planned within the next 3 months).
 - There is an appropriate balance between organic and contractor positions.
 - At least 90% of all program staff members are personnel possessing at least the required level of Defense Acquisition Workforce Improvement Act (DAWIA) certification and training.
 - Program Manager (PM) and Deputy Program Manager (DPM) have met the statutory training requirements for their positions.

- Y** Some staffing instability and/or inadequacy exists, but it will not affect the ability to conduct program planning activities.
- Skeleton program office is being established.
 - Key Program Office positions have some movement volatility [one key personnel change has been made within the past 3 months or is projected within the next 3 months. NOTE: If 2 or more key personnel changes have occurred within the last 6 months, then this Metric rating is reduced to red (see below)].
 - Overall staffing is sufficient, but there are insufficient organic resources.
 - 80-89% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
 - Either the PM or the DPM has met the statutory training requirements for his/her position.

- R** Staffing is unstable and/or inadequate to conduct program planning activities.
- Skeleton program office is not being established.
 - Key Program Office positions have significant movement volatility (two or more key personnel changes have been made within the last 6 months, or two or more changes are forecast within the next 6 months).
 - Government oversight is compromised due to insufficient organic resources.
 - Less than 80% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
 - Neither the PM nor the DPM have met the statutory training requirements for their positions.

[Back to Gate 2 Directory](#)

Gate 2
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS), milestone documentation development, and progress toward defining derived requirements in the System Design Specification (SDS).

ACQUISITION MANAGEMENT CRITERIA

2.6.1 Program master schedule is current and includes all critical path activities. Key stakeholders have reviewed the master schedule and have determined that it is realistic and achievable based on planned activities.



Program master schedule is current and includes all critical path activities. Key stakeholders have reviewed the schedule and have determined that it is realistic and achievable based on planned activities.



Program master schedule has been developed and reviewed by key stakeholders; required revisions are in work to ensure that the schedule is realistic, achievable, and includes all critical path activities.



Program master schedule has not been developed. –OR– Significant revisions are required but are not in work.

2.6.2 Milestone documentation¹³ development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet Program Approval/Source Selection Decision Dates.



Milestone documentation development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet Program Approval/Source Selection Decision Dates.



Milestone documentation draft content requires revision; one or more required documents *may* impact the ability to meet the Program Approval/Source Selection Decision Dates.



Milestone documentation draft content requires significant revision; one or more required documents *will* impact the ability to meet the Program Approval/Source Selection Decision Dates.

[Back to Gate 2 Directory](#)

¹³ Reference SECNAV INSTRUCTION 5000.2C for required milestone documentation.

Gate 2
Program Planning/Execution

INDUSTRY/COMPANY ASSESSMENT

INDUSTRY/COMPANY ASSESSMENT: Market research activities, industrial base health, and implications to inform development of the Request for Proposal (RFP); for major contracts,¹⁴ the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the program, etc.

INDUSTRY ASSESSMENT CRITERIA

The following Industry Assessment Criteria is required for all programs.

2.7.1 Market research activities [e.g., releasing Requests for Information (RFIs), soliciting government information on related contracts, conducting concept refinement/cost benefit studies, etc.] have been ongoing.

G Market research activities have been ongoing.

Y Market research activities are being initiated.

R Market research activities have not started.

2.7.2 Industrial base health is strong [e.g., design capabilities, manufacturing/production capabilities, state of technological development, industrial base financial health (stock trends), domestic vs. foreign ownership, manpower availability, etc.]. More than one viable offeror is anticipated; preliminary market survey appears robust.

G Industrial base health is strong. More than one viable offeror is anticipated; preliminary market survey is robust.

Y Industrial base health is moderate. More than one viable offeror is anticipated; preliminary market survey is adequate.

R Industrial base health is weak. Field of potential offerors is weak/unknown.

[Criteria continued on next page]

¹⁴ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

2.7.3 There is an understanding of the industrial implications for cost, schedule, and technical risks. Industrial base concerns/issues are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan.



Industrial base concerns/issues are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan.



Industrial base concerns/issues are difficult to resolve, but risk mitigation strategies are being identified and incorporated into the overall program plan.



Industrial base concerns/issues are not resolvable.

COMPANY ASSESSMENT CRITERIA

The following Company Assessment Criteria only applies to programs with one or more major contracts. This Criteria will be used to assess EACH company/contractor separately. If the program does not have any contracts at this time, then the following Criteria is not applicable and will be grayed out on the associated Naval PoPS Criteria Spreadsheet for this Gate.

2.7.4 Company's financial health is strong [Price-Earnings (PE) ratio, accounting records]; stable or trending upward.



Strong financial health; stable or trending upward.



Moderate financial health; stable or trending upward.



Poor financial health. –OR– Moderate financial health, but trending downward.

2.7.5 Company's manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).



Manpower resources are stable and adequate.



Manpower resources are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.



Manpower resources are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

2.7.6 Company demonstrates strong commitment to/management of supply chain [e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000].

-  Strong commitment to/management of supply chain.
-  Some issues exist with commitment to/management of supply chain, but issues are resolvable and corrective actions have been initiated.
-  Significant issues exist with commitment to/management of supply chain that are affecting program execution and issues are not being resolved.

2.7.7 Program is aligned with core business unit.

-  Program is aligned with core business unit.
-  Program is somewhat aligned with core business unit.
-  Program is not aligned with core business unit.

2.7.8 Company has not been on the “No Buy” List in the past five years.

-  Company has not been on the “No Buy” List in the past five years.
-  Company has been on the “No Buy” List in the past five years, but is not currently on the list.
-  Company is currently on the “No Buy” List.

2.7.9 Company’s facility/manufacturing/production capabilities and available capacity are adequate.

-  Facility/manufacturing/production capabilities and available capacity are adequate.
-  Facility/manufacturing/production capabilities and available capacity are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Facility/manufacturing/production capabilities and available capacity are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

2.7.10 Senior financial influencers at the corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate moderate commitment to the program.



Senior financial influencers at corporate level demonstrate little/no commitment to the program.

2.7.11 Senior executives at the corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate moderate commitment to the program.



Senior executives at corporate level demonstrate little/no commitment to the program.

2.7.12 Company performance is strong across all current work (outside of contract with the program).



Company performance is strong across all current work.



Company performance is weak in one or two current work engagements.



Company performance is weak in three or more current work engagements.

[Back to Gate 2 Directory](#)

Gate 2
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

2.8.1 Cost estimating activities are on or ahead of schedule. Appropriate technical authorities and stakeholders are involved to ensure total ownership cost implications are being addressed.



Cost estimating activities are on or ahead of schedule.



Cost estimating activities are behind schedule, but delays are not impacting program planning activities.



Cost estimating activities are behind schedule and delays are impacting program planning activities.

2.8.2 Cost estimate confidence level is above 75%.



Cost estimate confidence level is above 75%.



Cost estimate confidence level is between 25-75%.



Cost estimate confidence level is less than 25%.

[Back to Gate 2 Directory](#)

Gate 2
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

2.9.1 Key stakeholders have been identified and have agreed to participate on the T&E Working-Level Integrated Product Team (WIPT). Key stakeholders include: Program T&E Lead, Contractor T&E Lead, Operational Test Agency (OTA) Operational Test Coordinator (OTC), Sponsor, System Command (SYSCOM) T&E, Systems Safety, Certification Agencies [Joint Interoperability Test Command (JITC), Weapon Systems Explosive Safety Review Board (WSERB), etc.], Program Executive Office (PEO), Deputy Assistant Secretary of the Navy (DASN), Office of the Chief of Naval Operations (OPNAV) N091. For programs on OSD Oversight for Developmental Testing (DT): Acquisition Technology and Logistics (AT&L)/Systems and Software Engineering (SSE)/Developmental Test and Evaluation (DTE). For programs on OSD Oversight for Operational Testing (OT): Director of Operational Test and Evaluation (DOT&E).

-  Key stakeholders have been identified and have agreed to participate on the T&E WIPT.
-  Key stakeholders are being identified.
-  Key stakeholders are not being identified.

2.9.2 Plan of Action and Milestones (POA&M) is in place for the development of the Test and Evaluation Strategy (TES).

-  POA&M is in place for the development of the TES.
-  POA&M for the development of the TES will be completed within the next 90 days.
-  POA&M for the development of the TES will not be completed within the next 90 days.

[Criteria continued on next page]

2.9.3 Plan/schedule to accomplish key test activities (prior to Milestone B) has been developed and integrated in the program master schedule.



Plan/schedule to accomplish key test activities has been developed and integrated in the program master schedule.



Plan/schedule to accomplish key test activities will be completed within the next 90 days.



Plan/schedule to accomplish key test activities will not be completed within the next 90 days.

2.9.4 Initial review of test resource capabilities, including ranges, targets, facilities, manpower, services, joint assets, and other programs, indicates that resources exist and are available to support planned Test and Evaluation (T&E) of the program.



Initial review of test resource capabilities indicates that resources exist and are available to support planned T&E of the program.



Initial review of test resource capabilities indicates that there are resource shortfalls that can be rectified.



Initial review of test resource capabilities has not been accomplished. – OR – Review indicates critical resource shortfalls that cannot be rectified.

2.9.5 Test and Evaluation (T&E) costs have been identified and are included in program cost estimates.



T&E costs have been identified and are included in program cost estimates.



T&E costs have been identified, but are not included in program cost estimates.



T&E costs have not been identified.

2.9.6 All Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes are measurable and testable.



All KPPs, KSAs, and other attributes are measurable and testable.



KPPs and KSAs are measurable and testable, but one or more other attributes is not measurable or testable.



One or more KPPs/KSAs is not measurable or testable.

[Back to Gate 2 Directory](#)

Gate 2
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

2.10.1 Critical Technology Elements (CTEs) have been identified.

-  CTEs have been identified.
-  CTEs are being identified.
-  CTEs are not being identified.

2.10.2 Collection of data on Critical Technology Elements (CTEs) that have been tested/demonstrated in other environments has been ongoing.

-  Collection of data on CTEs that have been tested/demonstrated in other environments has been ongoing.
-  Collection of data on CTEs that have been tested/demonstrated in other environments has been initiated.
-  Collection of data on CTEs that have been tested/demonstrated in other environments has not been initiated, or no data exists.

2.10.3 Preliminary Technology Readiness Level (TRL) assessment is complete.

-  Preliminary TRL assessment is complete.
-  Preliminary TRL assessment is being conducted.
-  Preliminary TRL assessment is not being conducted.

[Criteria continued on next page]

2.10.4 [Milestone A Initiation]¹⁵: Plan to define the Technology Development Strategy (TDS) has been developed and approved. Periodic technology refreshments are included as a key planning consideration. Initial plans include consideration for how to leverage and measure common development and maintenance of applications with other systems/programs as well as how to leverage a modular design to reduce the effort and cycle time of system modernization.

G Plan to define the TDS has been developed and approved.

Y Plan to define the TDS is being developed.

R Plan to define the TDS is not being developed.

2.10.5 [Milestone B Initiation]¹⁶: Technology Development Strategy (TDS) has been approved and is being used to inform Acquisition Strategy development, open system architectures, modular design, and Government Purpose rights strategies. Critical comments from Navy/Marine Corps staffing have been adjudicated. The TDS includes a maturation plan to ensure that all Critical Technology Elements (CTEs) achieve Technology Readiness Level (TRL) 6 by Milestone B.

G TDS has been approved and is being used to inform Acquisition Strategy development, open system architectures, modular design and Government Purpose rights strategies. Critical comments from Navy/Marine Corps staffing have been adjudicated. The TDS includes a maturation plan to ensure that all CTEs achieve TRL 6 by Milestone B.

Y TDS is being reviewed. Critical comments from Navy/Marine Corps staffing are being adjudicated. The TDS includes a maturation plan to ensure that all CTEs achieve TRL 6 by Milestone B.

R TDS is not available for review. –OR– Critical comments from Navy/Marine Corps staffing are not being adjudicated.

2.10.6 Key stakeholders have been identified and have agreed to participate on the Technology Integrated Product Team (IPT).

G Key stakeholders have been identified and have agreed to participate on the Technology IPT.

Y Key stakeholders have been identified to form the Technology IPT.

R Key stakeholders have not been identified to form the Technology IPT.

[Back to Gate 2 Directory](#)

¹⁵ Criteria 2.10.4 is only required for programs with a Milestone A Initiation designation.

¹⁶ Criteria 2.10.5 is only required for programs with a Milestone B Initiation designation.

Gate 2
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key sustainment planning activities.

SUSTAINMENT CRITERIA

2.11.1 Key stakeholders have been identified and have agreed to participate on the Logistics Integrated Product Team (IPT)/Life Cycle Working-Level IPT (WIPT). Key stakeholders include: PEO(s), SYSCOM(s), Sponsor(s), DASN(s), end user (fleet), etc.



Key stakeholders have been identified and have agreed to participate on the Logistics IPT/Lifecycle WIPT.



Key stakeholders are being identified.



Key stakeholders are not being identified.

2.11.2 Plan of Action and Milestones (POA&M) is in place for the development of the Sustainment Strategy [to include oversight of reliability, availability and maintainability (RAM) development, standardization, Environment, Safety and Occupational Health (ESOH) risk management, etc.].



POA&M is in place for the development of the Sustainment Strategy.



POA&M for the development of the Sustainment Strategy will be completed within the next 90 days.



POA&M for the development of the Sustainment Strategy will not be completed within the next 90 days.

[Criteria continued on next page]

2.11.3 Supportability and total ownership cost estimates for the alternatives assessed in the Analysis of Alternatives (AoA) have been validated.

-  Supportability and total ownership cost estimates for the alternatives assessed in the AoA have been validated.
-  Supportability and total ownership cost estimates for the alternatives assessed in the AoA are being validated.
-  Supportability and total ownership cost estimates for the alternatives assessed in the AoA have not been assessed.

2.11.4 Selected alternative satisfies reliability, availability and maintainability (RAM) and ownership cost characteristics (including preliminary Hazard list) in the Initial Capabilities Document (ICD).

-  Selected alternative satisfies all RAM and ownership cost characteristics in the ICD.
-  Selected alternative fails to satisfy one of the characteristics (RAM or ownership cost) in the ICD.
-  Selected alternative does not satisfy RAM or ownership cost characteristics in the ICD.

2.11.5 Preliminary Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes have been identified and support Initial Capabilities Document (ICD)/(draft) Capability Development Document (CDD) capabilities.

-  Preliminary Sustainment KPP, KSAs, and other attributes have been identified and support ICD/(draft) CDD capabilities.
-  Identification of preliminary Sustainment KPPs/KSAs/other attributes is no more than 60 days behind schedule.
-  Identification of preliminary Sustainment KPPs/KSAs/other attributes is more than 60 days behind schedule.

[Back to Gate 2 Directory](#)

Gate 2
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

2.12.1 Preliminary estimate and justification of the percentage of total system functionality to be provided by software for the selected alternative has been produced.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: ORGANIZATION

2.12.2 Staffing is adequate (availability, skills, experience, certifications) to address software considerations in developing the Concept of Operations (CONOPS) and Capability Development Document (CDD) and to conduct related software planning activities.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

2.12.3 Plan exists to investigate Program Office software manpower requirements (e.g. staff phasing, skills, certifications, training and experience).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

SOFTWARE CRITERIA: COST/SCHEDULE

2.12.4 Analysis of Alternatives (AoA) software cost estimates for the preferred alternative are within the previously established range, or acceptable justification for a waiver is provided.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

2.12.5 Plans have been developed to incorporate appropriate software cost estimating activities across the acquisition timeline, including identification of and involvement by relevant stakeholders.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

2.12.6 Plan exists to investigate software engineering tools, techniques and processes.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

2.12.7 Requirement to identify Information Exchange Requirements (IERS) and data exchange requirements has been addressed in Analysis of Alternatives (AoA) planning and is being addressed in developing the Concept of Operations (CONOPS) and Capability Development Document (CDD).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Back to Gate 2 Directory](#)

Gate 2
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors¹⁷ as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

The following Criteria only applies to programs with one or more major contracts. This Criteria will be used to assess EACH contractor's performance separately. If the program does not have any contracts at this time, then the following Criteria is not applicable and it will be grayed out on the associated Naval PoPS Criteria Spreadsheet for this Gate.

2.13.1 [For contracts using the Earned Value Management System (EVMS)]¹⁸:

Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the To Complete Performance Index (TCPI) based on the contractor's Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by less than 5%. Cumulative SPI and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points lie between 0.90 and 0.95.

[Criteria continued on next page]

¹⁷ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

¹⁸ Criteria 2.13.1 is applicable for contracts using EVMS; if EVMS is not being used, then select the "N/A" grade for Criteria 2.13.1 and select the appropriate Green/Yellow/Red grade for Criteria 2.13.2.



Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points lie below 0.90. –OR– No EVMS data due to program re-baseline since last report.

2.13.2 [For contracts that are not using the Earned Value Management System (EVMS)]¹⁹: Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.



Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.



Contractor has missed a schedule milestone, but is meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by 5-10%.



Contractor has missed a schedule milestone and is not meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by more than 10%.

2.13.3 All Contractor Performance Assessment Report (CPAR)/Informal Performance Assessment Report (IPAR) Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, Program Manager (PM) subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.



All CPAR/IPAR Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.



Some CPAR/IPAR Factor ratings are Yellow (with no more than one Red Factor rating), and/or Contractor is at 80-89% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Yellow.



Some CPAR/IPAR Factor ratings are Yellow (with two or more Red Factor ratings); or Contractor is below 80% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR Factor categories would have met Criteria for Red.

[Criteria continued on next page]

¹⁹ Criteria 2.13.2 is applicable for contracts NOT using EVMS; if EVMS is being used, then select the "N/A" grade for Criteria 2.13.2 and select the appropriate Green/Yellow/Red grade for Criteria 2.13.1.

2.13.4 Contractor is properly staffed (in terms of availability, skills, experience, and certifications) to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

-  Contractor is properly staffed to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.
-  Contractor has some manning issues, but issues are not affecting program activities. Actual contractor executing manning levels deviate 5-10% from current staffing plan.
-  Contractor has significant manning issues that are affecting program activities. Actual contractor executing manning levels deviate more than 10% from current staffing plan.

2.13.5 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

-  Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.
-  Contractor is executing with 5-10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by no more than 30 days.
-  Contractor is executing with more than 10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by more than 30 days.

[Back to Gate 2 Directory](#)

Gate 2
Program Planning/Execution

GOVERNMENT PROGRAM OFFICE PERFORMANCE

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

2.14.1 All Request For Information (RFI)/Request For Proposal (RFP) inquiries have been answered per requested due date.



All RFI/RFP inquiries have been answered per requested due date.



Less than 10% of RFI/RFP inquiries are overdue by more than 30 days.



10% (or more) of RFI/RFP inquiries are overdue by more than 30 days.

2.14.2 Plan to define intra-government requirements {e.g., Government Furnished Equipment (GFE), Government Furnished Information (GFI), PM agreements, Technology Transfer Agreements, Enterprise [Naval Aviation Enterprise (NAE), Surface Warfare Enterprise (SWE), Naval Facilities Engineering Command (NAVFAC), etc.] and SYSCOM Customer Service Agreements} has been developed.



Plan to define intra-government requirements has been developed.



Plan to define intra-government requirements is being developed.



Plan to define intra-government requirements is not being developed.

[Criteria continued on next page]

2.14.3 Government facilities to support contractor requirements have been defined and identified.



Government facilities to support contractor requirements have been defined and identified.



Government facilities to support contractor requirements have been defined, but have not been identified.



Government facilities to support contractor requirements have not been defined.

[Back to Gate 2 Directory](#)

Gate 2
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

2.15.1 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

2.15.2 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 2 Directory](#)

Gate 2
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)²⁰
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners²¹
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services²²

²⁰ Each OSD stakeholder is assessed individually.

²¹ Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

²² Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

2.16.1 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

2.16.2 OSD Advocacy²³

2.16.2.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

²³ OSD stakeholders are assessed individually in Criteria 2.16.2.1-2.16.2.5 below.

2.16.2.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

2.16.2.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

2.16.2.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

2.16.2.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

2.16.3 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

2.16.4 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

2.16.5 International Partners Advocacy²⁴

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

2.16.6 Other Services Advocacy²⁵

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 2 Directory](#)

²⁴ Criteria 2.16.5 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

²⁵ Criteria 2.16.6 is only required for Joint programs. If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

Gate 2
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

Note: The Interdependencies Criteria assessment should reflect the most current OSD DAES Report for the program. The following OSD DAES definitions apply:

Interoperability (I) Ratings:

- Synchronization - PM for the program under review will provide an assessment (Green, Yellow or Red color in I-box) of the synchronization of this program with the needs of his program. In other words, whether the dependant program is on track to deliver the quantity required on the scheduled required.
- Criticality – PM for the program under review will provide an assessment (a number in the I-box) of its importance to your program meeting the capabilities identified in the CONOPS/CDD and articulated in the Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other performance attributes.
- The following terms of reference will be used:
 - 1= Crucial Interdependency
 - Program cannot achieve capabilities articulated in the CONOPS/CDD without the related capability provided by this program.
 - 2= Significant Interdependency
 - Program full realization of capabilities identified in CONOPS will be diminished but all CDD threshold capabilities will be met.
 - 3= Enabling Interdependency
 - While programs are related and complementary, failure to deliver this program does not substantially impact the ability of the program under review to deliver the documented capabilities.

INTERDEPENDENCIES CRITERIA

2.17.1 [Based on OSD DAES]: All Crucial (1) interoperability ratings are Green. All Significant (2) interoperability ratings are Green. Less than 10% of Enabling (3) interoperability ratings are Yellow. No Red ratings. –OR– If OSD DAES data is not a reporting requirement, Program Manager (PM) subjective evaluation using Interoperability rating definitions would have met Criteria for Green.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): All interoperability ratings are Green.
- Enabling (3): Less than 10% of interoperability ratings are Yellow. No Red ratings.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): No more than 10% of interoperability ratings are Yellow. No Red ratings.
- Enabling (3): 10-50% of interoperability ratings are Yellow. No more than 20% of interoperability ratings are Red.



- Crucial (1): One or more interoperability ratings is Yellow or Red.
- Significant (2): More than 10% of interoperability ratings are Yellow. –OR– One or more Red interoperability ratings.
- Enabling (3): More than 50% of interoperability ratings are Yellow. –OR– More than 20% of interoperability ratings are Red.

[Back to Gate 2 Directory](#)

Gate 3

Naval PoPS Criteria



GATE 3
METRIC CRITERIA DIRECTORY

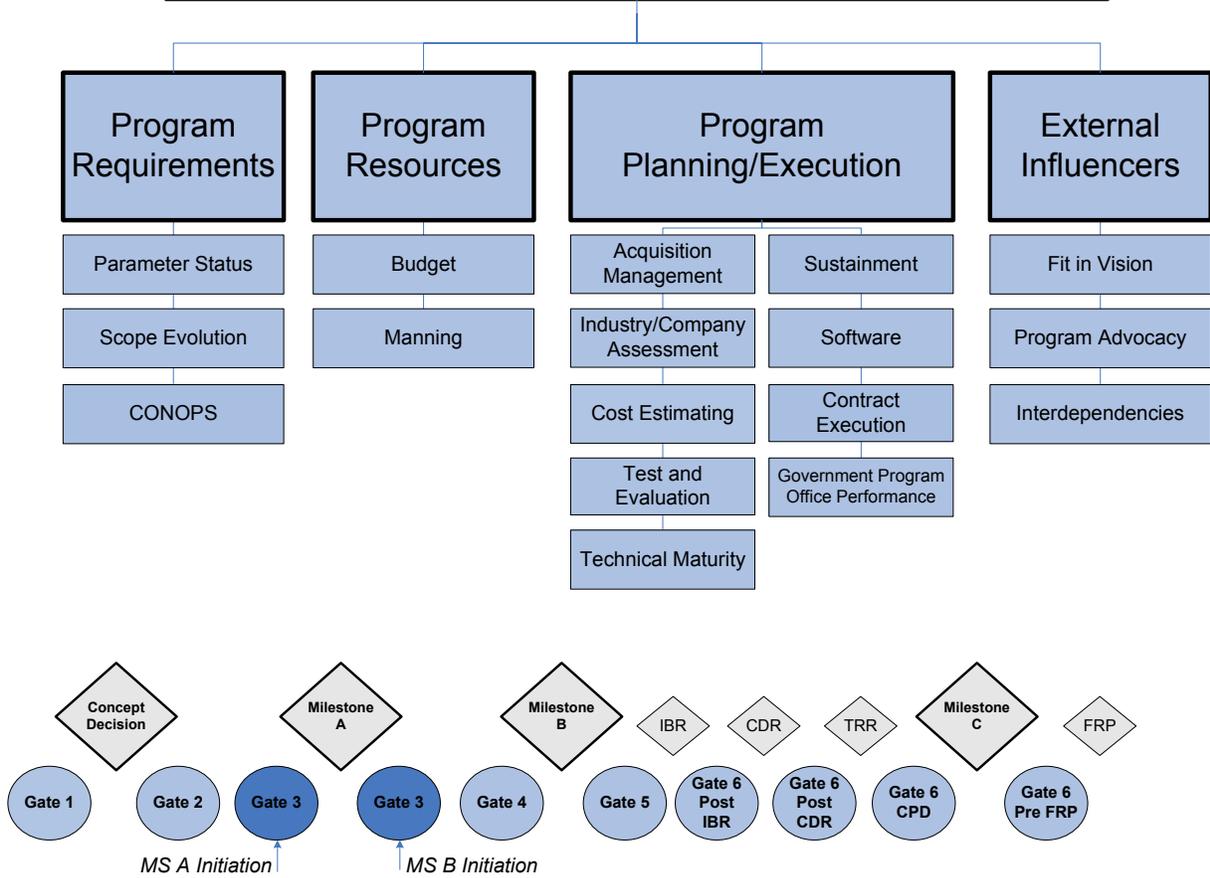
Program Requirements	
Parameter Status	77
Scope Evolution	80
CONOPS	81
Program Resources	
Budget	82
Manning.....	83
Program Planning/Execution	
Acquisition Management	86
Industry/Company Assessment.....	88
Cost Estimating.....	92
Test and Evaluation	94
Technical Maturity	96
Sustainment	99
Software.....	103
Contract Execution	106
Government Program Office Performance.....	109
External Influencers	
Fit in Vision	112
Program Advocacy	113
Interdependencies	119

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 3

Begin Use	After Gate 2 Review/AoA Selection in preparation for DON Gate 3 Review/Milestone A (as applicable)
End Use	Completion of Gate 3 Review/Milestone A (as applicable)
Assessment and/or Briefing Responsibility	Requirements Office/Prospective PM/Cognizant PEO
Associated Files	Gate 3_POPS CRITERIA_MMDDYY_v1.xls Gate 3_MSA_POPS VISUALS_MMDDYY_v1.xls Gate 3_MSB_POPS VISUALS_MMDDYY_v1.xls Gate 3_MSA_POPS BRIEF_MMDDYY_v1.ppt Gate 3_MSB_POPS BRIEF_MMDDYY_v1.ppt

Naval PoPS Gate 3



NAVAL POPS GATE 3

Gate 3 Criteria

This section contains the required Gate 3 Program Health Assessment Criteria.²⁶ The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 3. The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).

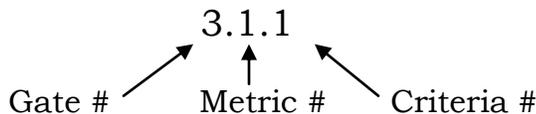
3.1.1 Threat assessment is still valid. ← **Criteria Statement**

G	Threat assessment is still valid.	} Criteria Responses
Y	Threat assessment is invalid, but revision is in work.	
R	Threat assessment is invalid and no revision is in work.	

Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



²⁶ This Criteria also applies to programs preparing for a Milestone A Review.

Gate 3
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

3.1.1 Threat assessment is valid.



Threat assessment is valid.



Threat assessment is invalid, but revision is in work.



Threat assessment is invalid and no revision is in work.

3.1.2 No content related issues with the Capability Development Document (CDD); capabilities are clearly defined and understood. Critical comments from Navy/Marine Corps staffing have been adjudicated.



No content related issues with the CDD; capabilities are clearly defined and understood. Critical comments from Navy/Marine Corps staffing have been adjudicated.



Some content related issues with the CDD. Critical comments from Navy/Marine Corps staffing are being adjudicated.



Significant content related issues with the CDD. Critical comments from Navy/Marine Corps staffing are not being adjudicated.

[Criteria continued on next page]

3.1.3 Capability Development Document (CDD); capabilities reflect the Functional Solutions Analysis (FSA), Initial Capabilities Document (ICD) and Analysis of Alternatives (AoA) that generated the original requirements.

-  CDD capabilities reflect the FSA, ICD and AoA that generated the original requirements.
-  CDD capabilities somewhat reflect the FSA, ICD and AoA that generated the original requirements.
-  CDD capabilities do not reflect the FSA, ICD and AoA that generated the original requirements.

3.1.4 Capability Development Document (CDD) capability descriptions are sufficient to support the development of all acquisition documents²⁷.

-  CDD capability descriptions are sufficient to support the development of all acquisition documents.
-  CDD capability descriptions are being revised so that they are sufficient to support the development of all acquisition documents.
-  CDD capability descriptions are not sufficient to support the development of all acquisition documents and no revision is in work.

3.1.5 Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attribute objective and threshold values have been defined and are aligned to all capability requirements in the Capability Development Document (CDD). Based on cost trade-off analyses, preliminary cost drivers have been identified.

-  KPPs/KSAs/other attribute objective and threshold values have been defined and are aligned to all capability requirements in the CDD. Based on cost trade-off analyses, preliminary cost drivers have been identified.
-  KPPs/KSAs/other attribute objective and threshold values are being defined in alignment to all capability requirements in the CDD. Based on cost trade-off analyses, preliminary cost drivers are being identified.
-  KPPs/KSAs/other attribute objective and threshold values are not being defined/do not align to all capability requirements in the CDD. Preliminary cost drivers are not being identified.

[Criteria continued on next page]

²⁷ Reference SECNAV INSTRUCTION 5000.2C for required acquisition documents.

3.1.6 Functionally allocated baseline has been conducted to determine levels of satisfaction in meeting KPP/KSA/other attribute threshold values. Able to achieve all KPP/KSA/other attribute threshold values.



Able to achieve all KPP/KSA/other attribute threshold values.



Able to achieve KPP/KSA threshold values, but unable to achieve other attribute threshold values.



Unable to achieve KPP/KSA threshold values –OR- functionally allocated baseline has not been conducted.

3.1.7 Required architectural descriptions/views²⁸ of the program capabilities have been completed and are Department of Defense Architecture Framework (DODAF) compliant.



Required architectural descriptions/views of the program capabilities have been completed and are DODAF compliant.



Required architectural descriptions/views of the program capabilities have been developed, but require some revision.



Required architectural descriptions/views of the program capabilities have been developed, but require significant revision/are not DODAF compliant.

[Back to Gate 3 Directory](#)

²⁸ Reference CJCSI 3170.01F, CJCSI 6212.01D, and DoDI 4630.8.

Gate 3
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

3.2.1 No Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes (scope or quantity) from the Analysis of Alternatives (AoA) baseline.



No KPP/KSA/other attribute changes (scope or quantity) from AoA baseline.



Minor KPP/KSA/other attribute changes (scope or quantity) from AoA baseline.



Significant KPP/KSA/other attribute changes (scope or quantity) from AoA baseline.

3.2.2 Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes from AoA baseline have little/no impact on program cost or schedule (less than 10% change from baseline).



KPP/KSA/other attribute changes from AoA baseline have little/no impact on program cost or schedule (less than 10% change from baseline).



KPP/KSA/other attribute changes from AoA baseline have moderate impact on program cost or schedule (10-30% change from baseline).



KPP/KSA/other attribute changes from AoA baseline have significant impact on program cost or schedule (more than 30% change from baseline).

[Back to Gate 3 Directory](#)

Gate 3
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

3.3.1 Concept of Operations (CONOPS) has been reviewed by Navy/Marine Corps and critical comments have been adjudicated.



CONOPS has been reviewed by Navy/Marine Corps and critical comments have been adjudicated.



CONOPS has been reviewed by Navy/Marine Corps and critical comments are being adjudicated.



CONOPS has not been reviewed by Navy/Marine Corps –OR- critical comments are not being adjudicated.

3.3.2 Concept of Operations (CONOPS) is being used to inform operational manpower requirements, sustainability/supportability strategy, and preliminary testing strategy.



CONOPS is being used to inform operational manpower requirements, sustainability/supportability strategy, and preliminary testing strategy.

[No Yellow Criteria]



CONOPS is not being used to inform operational manpower requirements, sustainability/supportability strategy, and preliminary testing strategy.

[Back to Gate 3 Directory](#)

Gate 3
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

3.4.1 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.

3.4.2 Funding, based on current cost estimate, is POMed across the Future Years Defense Program (FYDP). Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. Program is funded to 30-45% probability on the S-Curve.



Funding has NOT been approved/POMed across the FYDP. –OR– Existing/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. Program is funded to < 30% probability on the S-Curve.

[Back to Gate 3 Directory](#)

Gate 3
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

3.5.1 The Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) have negotiated a staffing agreement; Program Office manpower requirements (e.g., staff phasing, skills, experience, certifications, etc.) and associated funding sources have been finalized. Associated staffing plan has been authorized and funded and is being executed.



PEO and/or Program Office and the host SYSCOM have negotiated a staffing agreement; Program Office manpower requirements and associated funding sources have been finalized. Associated staffing plan has been authorized and funded and is being executed.



PEO and/or Program Office and the host SYSCOM have estimated manpower requirements, but requirements have not been finalized. Associated staffing plan has been developed, but has not been authorized or funded.



PEO and/or Program Office and the host SYSCOM have not defined Program Office manpower requirements. Staffing plan does not exist.

[Criteria continued on next page]

3.5.2 Based on the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) negotiated staffing agreement, staffing is stable and adequate (in terms of availability, skills, experience, and certifications) to execute program activities. Key Program Office positions have been defined [to include prospective Program Manager (PM), Engineer, Logistics, Test and Evaluation (T&E), Contract Management, Budget and Financial Management, Cost Analysis, Depots/Centers, and Requirements Officer].



Staffing is stable and adequate to execute program activities.

- Program office has been established.
- Key Program Office positions are stable (the most recent key personnel change was more than 3 months ago and no changes are planned within the next 3 months).
- At least 50% of the key leaders have been with the program for more than one year.
- At least 90% of all program staff members are personnel possessing at least the required level of Defense Acquisition Workforce Improvement Act (DAWIA) certification and training.
- Program Manager (PM) and Deputy Program Manager (DPM) have met the statutory training requirements for their positions.
- Manning deficiencies (if any) have been identified and are being mitigated.



Some staffing instability and/or inadequacy exists, but it will not affect the ability to execute program activities.

- Program office is being established.
- Key Program Office positions have some movement volatility [one key personnel change has been made within the past 3 months or is projected within the next 3 months. NOTE: If 2 or more key personnel changes have occurred within the last 6 months, then this Metric rating is reduced to Red (see below)].
- At least 50% of the key leaders have been with the program for 6 months – 1 year.
- 80-89% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Either the PM or the DPM has met the statutory training requirements for his/her position.
- Manning deficiencies and associated mitigation strategies are being identified.

[Criteria continued on next page]



Staffing is unstable and/or inadequate to execute program activities.

- Program office has not been established.
- Key Program Office positions have significant movement volatility (two or more key personnel changes have been made within the last 6 months, or two or more changes are forecast within the next 6 months).
- Over 50% of the key leaders have been with the program for less than 6 months.
- Less than 80% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Neither the PM nor the DPM have met the statutory training requirements for their positions.
- Critical manning deficiencies have been identified, but mitigation strategies do not exist.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS), milestone documentation development, and progress toward defining derived requirements in the System Design Specification (SDS).

ACQUISITION MANAGEMENT CRITERIA

3.6.1 Program master schedule is current and includes all critical path activities. Key stakeholders have reviewed the master schedule and have determined that it is realistic and achievable based on planned activities.



Program master schedule is current and includes all critical path activities. Key stakeholders have reviewed the schedule and have determined that it is realistic and achievable based on planned activities.



Program master schedule has been developed and reviewed by key stakeholders; required revisions are in work to ensure that the schedule is realistic, achievable, and includes all critical path activities.



Program master schedule has not been developed. –OR– Significant revisions are required but are not in work.

3.6.2 Milestone documentation²⁹ development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet Program Approval/Source Selection Decision Dates.



Milestone documentation development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet Program Approval/Source Selection Decision Dates.



Milestone documentation draft content requires revision; one or more required documents *may* impact the ability to meet the Program Approval/Source Selection Decision Dates.



Milestone documentation draft content requires significant revision; one or more required documents *will* impact the ability to meet the Program Approval/Source Selection Decision Dates.

[Criteria continued on next page]

²⁹ Reference SECNAV INSTRUCTION 5000.2C for required milestone documentation.

3.6.3 System Design Specification (SDS) Development Plan is complete (e.g., guidance addresses design disclosure, system design compliance with a higher-level architecture, and how modularity and use of open, published and government-controlled interfaces are employed, as well as all required supportability areas).



SDS Development Plan is complete.



SDS Development Plan is in draft form.



SDS Development Plan has not been started.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

INDUSTRY/COMPANY ASSESSMENT

INDUSTRY/COMPANY ASSESSMENT: Market research activities, industrial base health, and implications to inform development of the Request for Proposal (RFP); for major contracts,³⁰ the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the program, etc.

INDUSTRY ASSESSMENT CRITERIA

The following Industry Assessment Criteria is required for all programs.

3.7.1 Market research activities [e.g., releasing Requests for Information (RFIs), soliciting government information on related contracts, conducting concept refinement/cost benefit studies, etc.] have been ongoing.



Market research activities have been ongoing.



Market research activities are being initiated.



Market research activities have not started.

3.7.2 Industrial base health is strong [e.g., design capabilities, manufacturing/production capabilities, state of technological development, industrial base financial health (stock trends), domestic vs. foreign ownership, manpower availability, prime/sub-contractor supply chains, potential reuse candidates, etc.]. More than one viable offeror is anticipated; preliminary market survey appears robust.



Industrial base health is strong. More than one viable offeror is anticipated; preliminary market survey is robust.



Industrial base health is moderate. More than one viable offeror is anticipated; preliminary market survey is adequate.



Industrial base health is weak. Field of potential offerors is weak/unknown.

[Criteria continued on next page]

³⁰ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

3.7.3 There is an understanding of the industrial implications for cost, schedule, and technical risks; planning to include industrial implications in the Acquisition Strategy. Industrial base concerns/issues are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan.



Industrial base concerns/issues are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan.



Industrial base concerns/issues are difficult to resolve, but risk mitigation strategies are being identified and incorporated into the overall program plan.



Industrial base concerns/issues are not resolvable.

COMPANY ASSESSMENT CRITERIA

The following Company Assessment Criteria only applies to programs with one or more major contracts. This Criteria will be used to assess EACH company/contractor separately. If the program does not have any contracts at this time, then the following Criteria is not applicable and will be grayed out on the associated Naval PoPS Criteria Spreadsheet for this Gate.

3.7.4 Company's financial health is strong [Price-Earnings (PE) ratio, accounting records]; stable or trending upward.



Strong financial health; stable or trending upward.



Moderate financial health; stable or trending upward.



Poor financial health. –OR– Moderate financial health, but trending downward.

3.7.5 Company's manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).



Manpower resources are stable and adequate.



Manpower resources are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.



Manpower resources are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

3.7.6 Company demonstrates strong commitment to/management of supply chain [e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000].

-  Strong commitment to/management of supply chain.
-  Some issues exist with commitment to/management of supply chain, but issues are resolvable and corrective actions have been initiated.
-  Significant issues exist with commitment to/management of supply chain that are affecting program execution and issues are not being resolved.

3.7.7 Program is aligned with core business unit.

-  Program is aligned with core business unit.
-  Program is somewhat aligned with core business unit.
-  Program is not aligned with core business unit.

3.7.8 Company has not been on the “No Buy” List in the past five years.

-  Company has not been on the “No Buy” List in the past five years.
-  Company has been on the “No Buy” List in the past five years, but is not currently on the list.
-  Company is currently on the “No Buy” List.

3.7.9 Company’s facility/manufacturing/production capabilities and available capacity are adequate.

-  Facility/manufacturing/production capabilities and available capacity are adequate.
-  Facility/manufacturing/production capabilities and available capacity are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Facility/manufacturing/production capabilities and available capacity are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

3.7.10 Senior financial influencers at the corporate level demonstrate high commitment to the program.

 Senior financial influencers at corporate level demonstrate high commitment to the program.

 Senior financial influencers at corporate level demonstrate moderate commitment to the program.

 Senior financial influencers at corporate level demonstrate little/no commitment to the program.

3.7.11 Senior executives at the corporate level demonstrate high commitment to the program.

 Senior executives at corporate level demonstrate high commitment to the program.

 Senior executives at corporate level demonstrate moderate commitment to the program.

 Senior executives at corporate level demonstrate little/no commitment to the program.

3.7.12 Company performance is strong across all current work (outside of contract with the program).

 Company performance is strong across all current work.

 Company performance is weak in one or two current work engagements.

 Company performance is weak in three or more current work engagements.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

3.8.1 Cost estimating activities are on or ahead of schedule. Appropriate technical authorities and stakeholders are involved to ensure total ownership cost implications are being addressed and are aligned with AoA/CDD assumptions.



Cost estimating activities are on or ahead of schedule.



Cost estimating activities are behind schedule, but delays are not impacting program planning/execution activities.



Cost estimating activities are behind schedule and delays are impacting program planning/execution activities.

3.8.2 Current cost estimate confidence level is above 80%.



Current cost estimate confidence level is above 80%.



Current cost estimate confidence level is between 50-80%.



Current cost estimate confidence level is less than 50%.

[Criteria continued on next page]

3.8.3 Initial independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between the program office and initial independent cost estimate. Differences in assumptions and methodologies have been resolved.



Initial independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between Program Office and initial independent cost estimate. Differences in assumptions and methodologies have been resolved.



10-30% difference between Program Office and initial independent cost estimate. Differences in assumptions and methodologies are resolvable.



More than 30% difference between Program Office and initial independent cost estimate. Differences in assumptions and methodologies are not resolvable. -OR- Initial independent cost estimate has not been accomplished.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

3.9.1 Test and Evaluation (T&E) Working-Level Integrated Product Team (WIPT) has been formed.



T&E WIPT has been formed.



T&E WIPT is being formed.



T&E WIPT is not being formed.

3.9.2 Test and Evaluation Strategy (TES) is approved and aligns with the (planned) Acquisition Strategy and the Systems Engineering Plan (SEP). Critical comments from Navy/Marine Corps staffing have been adjudicated.

- **Test requirements are traceable to capability requirements and the current threat assessment.**
- **T&E Strategy includes utilization of Modeling and Simulation (as appropriate).**
- **Key Performance Parameter (KPP), Key System Attribute (KSA), and other attribute objective and threshold values are testable and measurable.**



TES is approved and aligns with the (planned) Acquisition Strategy and the SEP. Critical comments from Navy/Marine Corps staffing have been adjudicated.



TES has been developed, but has not yet been approved. Critical comments from Navy/Marine Corps staffing are being adjudicated.



TES has not been developed. –OR– Critical comments from Navy/Marine Corps staffing are not being adjudicated.

[Criteria continued on next page]

3.9.3 Plan/schedule to accomplish key test activities has been developed and integrated in the program master schedule. Adequate calendar time exists based on historical test precedence.



Plan/schedule to accomplish key test activities has been developed and integrated in the program master schedule. Adequate calendar time exists based on historical test precedence.



Plan/schedule to accomplish key test activities will be completed within the next 90 days.



Plan/schedule to accomplish key test activities will not be completed within the next 90 days.

3.9.4 Test and Evaluation (T&E) organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.



T&E organizations are executing key test activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

3.9.5 Review of test resource capabilities, including ranges, targets, facilities, manpower, services, joint assets, and other programs, has been conducted. Gaps have been identified (if any) and mitigation plans have been established.



Review of test resource capabilities has been conducted. Gaps have been identified (if any) and mitigation plans have been established.



Review of test resource capabilities has been conducted, but mitigation plans for significant gaps have not been developed.



Review of test resource capabilities has not been conducted.

3.9.6 Test and Evaluation (T&E) costs have been identified and are included in program cost estimates.



T&E costs have been identified and are included in program cost estimates.



T&E costs have been identified, but are not included in program cost estimates.



T&E costs have not been identified.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

3.10.1 Critical Technology Elements (CTEs) required to support the capabilities in the Capability Development Document (CDD) have been identified and are maturing according to plan.

-  Critical Technology Elements (CTEs) required to support the capabilities in the Capability Development Document (CDD) have been identified and are maturing according to plan.
-  CTEs are maturing behind schedule, but mitigation strategies in place to achieve Technology Readiness Level (TRL) 6 by Milestone B.
-  CTEs are maturing behind schedule and no mitigation strategies are in place.

3.10.2 The number of Critical Technology Elements (CTEs) is stable or decreasing.

-  The number of CTEs is stable or decreasing.
-  The number of CTEs is increasing, but is not impacting program execution.
-  The number of CTEs is increasing and is impacting program execution.

[Criteria continued on next page]

3.10.3 [Milestone A Initiation]³¹: Technology Development Strategy (TDS) has been approved and is being used to inform Acquisition Strategy development, open system architectures, modular design, and Government Purpose rights strategies. Critical comments from Navy/Marine Corps staffing have been adjudicated. The TDS includes a maturation plan to ensure that all Critical Technology Elements (CTEs) achieve Technology Readiness Level (TRL) 6 by Milestone B.



TDS has been approved and is being used to inform Acquisition Strategy development, open system architectures, modular design and Government Purpose rights strategies. Critical comments from Navy/Marine Corps staffing have been adjudicated. The TDS includes a maturation plan to ensure that all CTEs achieve TRL 6 by Milestone B.



TDS is being reviewed. Critical comments from Navy/Marine Corps staffing are being adjudicated. The TDS includes a maturation plan to ensure that all CTEs achieve TRL 6 by Milestone B.



TDS is not available for review. –OR– Critical comments from Navy/Marine Corps staffing are not being adjudicated.

3.10.4 [Milestone B Initiation]³²: Technology Development Strategy (TDS) is signed, current and valid. TDS is being used to inform Acquisition Strategy development, open system architectures, modular design, Government Purpose rights strategies, and System Design Specification (SDS) development. Functional components of the system are well defined with clearly specified functions and interfaces.



TDS is signed, current and valid.



TDS is signed, but updates are required.



TDS has not been approved.

3.10.5 Technology Integrated Product Team (IPT) has been formed and is executing chartered responsibilities on or ahead of schedule.



Technology IPT has been formed and is executing chartered responsibilities on or ahead of schedule.



Technology IPT has been formed and is executing chartered responsibilities no more than 30 days behind schedule; delays are not affecting program planning/execution.



Technology IPT is executing chartered responsibilities more than 30 days behind schedule; delays are affecting program planning/execution. –OR– Technology IPT has not been formed.

[Criteria continued on next page]

³¹ Criteria 3.10.3 is only required for programs with a Milestone A Initiation designation.

³² Criteria 3.10.4 is only required for programs with a Milestone B Initiation designation.

3.10.6 Technical baseline for preferred system concepts has been defined; viable options are available and have been scoped for risk reduction.



Technical baseline for preferred system concepts has been defined; viable options are available and have been scoped for risk reduction.



Technical baseline for preferred system concepts is being defined.



Technical baseline for preferred system concepts is not being defined.

3.10.7 Manufacturing/producibility issues (if any) have been identified. Developing associated mitigation strategies.



Manufacturing/producibility issues (if any) have been identified. Developing associated mitigation strategies.



Manufacturing/producibility issues are being identified.



Manufacturing/producibility issues are not being identified.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key sustainment planning activities.

SUSTAINMENT CRITERIA

3.11.1 Logistics Integrated Product Team (IPT)/Life Cycle Working-Level IPT (WIPT) has been formed.

-  Logistics IPT/Lifecycle WIPT has been formed.
-  Logistics IPT/Lifecycle WIPT is being formed.
-  Logistics IPT/Lifecycle WIPT is not being formed.

3.11.2 Sustainment Strategy is approved and aligns with the Capability Development Document (CDD) and the (planned) Acquisition Strategy. Stakeholders have reached agreement on the state of sustainability at Initial Operational Capability (IOC). Government and industry roles are being identified.

-  Sustainment Strategy is approved and aligns with the CDD and the (planned) Acquisition Strategy. Stakeholders have reached agreement on the state of sustainability at IOC. Government and industry roles are being identified.
-  Sustainment Strategy has been developed, but has not yet been approved. Stakeholders are reaching agreement on the state of sustainability at IOC.
-  Sustainment Strategy has not been developed.

[Criteria continued on next page]

3.11.3 Plan/schedule to accomplish key Sustainment activities [in alignment with the Concept of Operations (CONOPS)] has been developed and integrated in the program master schedule.

-  Plan/schedule to accomplish key Sustainment activities has been developed and integrated in the program master schedule.
-  Plan/schedule to accomplish key Sustainment activities will be completed within the next 90 days.
-  Plan/schedule to accomplish key Sustainment activities will not be completed within the next 90 days.

3.11.4 Organizations are executing key Sustainment activities on or ahead of schedule.

-  Organizations are executing key Sustainment activities on or ahead of schedule.
-  Organizations are executing key Sustainment activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.
-  Organizations are executing key Sustainment activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

3.11.5 Assessments of reliability, availability and maintainability (RAM) and ownership cost have been conducted; Capability Development Document (CDD) conformance has been verified.

-  Assessments of RAM and ownership cost have been conducted; CDD conformance has been verified.
-  Assessments of RAM and ownership cost are being conducted to verify CDD conformance.
-  Assessments of RAM and ownership cost have not been initiated. – OR – Assessments have determined that there is not CDD conformance.

[Criteria continued on next page]

3.11.6 Sustainment costs have been identified and included in program cost estimates.

-  Sustainment costs have been identified and included in program cost estimates.
-  Sustainment costs have been identified, but are not included in program cost estimates.
-  Sustainment costs have not been identified.

3.11.7 Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes have been defined and are aligned to all capability requirements in the Capability Development Document (CDD).

-  Sustainment KPPs, KSAs, and other attributes have been defined and are aligned to all capability requirements in the CDD.
-  Sustainment KPPs/KSAs/other attributes are being defined.
-  Sustainment KPPs/KSAs/other attributes are not being defined.

3.11.8 Analyses indicate that Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes can be attained.

-  Analyses indicate that Sustainment KPPs, KSAs, and other attributes can be attained.
-  One or more Sustainment KPPs/KSAs are below threshold values; risks to achieving KPP/KSA threshold values have been identified and are being managed.
-  One or more Sustainment KPPs/KSAs failed to meet threshold values. Risks to achieving KPP/KSA threshold values have not been identified and/or are not being properly managed.

[Criteria continued on next page]

3.11.9 All key areas of the Sustainment Strategy [including Maintenance Planning, Supply Support, Technical Data, Computer Resources Report, Package Handling Storage and Transportation (PHS&T), Manpower and Personnel, Support Equipment, Training and Training Support, Facilities, Environment, Safety and Occupational Health (ESOH), and Design Interface] have been assessed and can support planned Sustainment activities.



All key areas of the Sustainment Strategy have been assessed and can support planned Sustainment activities.



All key areas of the Sustainment Strategy have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.



All key areas of the Sustainment Strategy have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

3.12.1 Refined estimate and justification of the percentage of total system functionality to be provided by software for the selected alternative have been produced; the justification is related to and reflects the Concept of Operations (CONOPS) and Capability Development Document (CDD) that were developed.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

3.12.2 A preliminary identification (with supporting context information) of the percentage of total software that will be new development vs. Commercial Off The Shelf (COTS)/Government Off The Shelf (GOTS)/Non-Developmental Items (NDI)/open source has been produced.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

SOFTWARE CRITERIA: ORGANIZATION

3.12.3 Staffing is adequate (availability, skills, experience, certifications) to address software in the Capability Development Document (CDD) approval and the System Design Specification (SDS) development efforts, and to conduct related software planning activities [e.g., ensuring that projected Software (SW) components, together with other system elements specified in the SDS, will satisfy the CDD].

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

3.12.4 Software staff are participating in selection of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold/objective values and development of architectural descriptions/views.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

3.12.5 The planned investigation of Program Office software manpower requirements (required at Gate 2) has been conducted and approved.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: COST/SCHEDULE

3.12.6 Software cost estimating activities are on or ahead of schedule; Stakeholders are involved (as appropriate).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

3.12.7 Software schedule reflects the industry accepted development and integration time for the percentage of total functionality of the system and complexity of the software for similar systems.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

3.12.8 The planned investigation of Program Office software engineering tools, techniques, and processes (required at Gate 2) has been conducted and approved.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

3.12.9 Requirement to identify Information Exchange Requirements (IERS) and data exchange requirements has been addressed in Analysis of Alternatives (AoA) planning and is being addressed in developing the Concept of Operations (CONOPS) and Capability Development Document (CDD).



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors³³ as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

The following Criteria only applies to programs with one or more current contracts. This Criteria will be used to assess EACH contractor’s performance separately. If the program does not have any contracts at this time, then the following Criteria is not applicable and will be grayed out on the associated Naval PoPS Criteria Spreadsheet for this Gate.

3.13.1 [For contracts using the Earned Value Management System (EVMS)]³⁴:

Government’s independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the To Complete Performance Index (TCPI) based on the contractor’s Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.



Government’s independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor’s LRE exceeds the cumulative CPI by less than 5%. Cumulative SPI and CPI points are 0.95 or better.



Government’s independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor’s LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points lie between 0.90 and 0.95.

[Criteria continued on next page]

³³ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

³⁴ Criteria 3.13.1 is applicable for contracts using EVMS; if EVMS is not being used, then select the “N/A” grade for Criteria 3.13.1 and select the appropriate Green/Yellow/Red grade for Criteria 3.13.2.



Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points lie below 0.90. –OR– No EVMS data due to program re-baseline since last report.

3.13.2 [For contracts that are not using the Earned Value Management System (EVMS)]³⁵: Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.



Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.



Contractor has missed a schedule milestone, but is meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by 5-10%.



Contractor has missed a schedule milestone and is not meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by more than 10%.

3.13.3 All Contractor Performance Assessment Report (CPAR)/Informal Performance Assessment Report (IPAR) Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, Program Manager (PM) subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.



All CPAR/IPAR Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.



Some CPAR/IPAR Factor ratings are Yellow (with no more than one Red Factor rating), and/or Contractor is at 80-89% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Yellow.



Some CPAR/IPAR Factor ratings are Yellow (with two or more Red Factor ratings); or Contractor is below 80% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR Factor categories would have met Criteria for Red.

[Criteria continued on next page]

³⁵ Criteria 3.13.2 is applicable for contracts NOT using EVMS; if EVMS is being used, then select the "N/A" grade for Criteria 3.13.2 and select the appropriate Green/Yellow/Red grade for Criteria 3.13.1.

3.13.4 Contractor is properly staffed (in terms of availability, skills, experience, and certifications) to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

 Contractor is properly staffed to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

 Contractor has some manning issues, but issues are not affecting program activities. Actual contractor executing manning levels deviate 5-10% from current staffing plan.

 Contractor has significant manning issues that are affecting program activities. Actual contractor executing manning levels deviate more than 10% from current staffing plan.

3.13.5 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

 Contractor is executing with 5-10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by no more than 30 days.

 Contractor is executing with more than 10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by more than 30 days.

[Back to Gate 3 Directory](#)

Gate 3
Program Planning/Execution

GOVERNMENT PROGRAM OFFICE PERFORMANCE

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

3.14.1 All Request For Information (RFI)/Request For Proposal (RFP) inquiries have been answered per requested due date.



All RFI/RFP inquiries have been answered per requested due date.



Less than 10% of RFI/RFP inquiries are overdue by more than 30 days.



10% (or more) of RFI/RFP inquiries are overdue by more than 30 days.

3.14.2 Intra-government requirements {e.g., Government Furnished Equipment (GFE), Government Furnished Information (GFI), PM agreements, Technology Transfer Agreements, Enterprise [Naval Aviation Enterprise (NAE), Surface Warfare Enterprise (SWE), Naval Facilities Engineering Command (NAVFAC) etc.] and SYSCOM Customer Service Agreements} have been defined and are being executed according to plan.



Intra-government requirements have been defined and are being executed according to plan.



Intra-government requirements have been defined, but are being executed behind schedule.



Intra-government requirements have not been defined.

[Criteria continued on next page]

3.14.3 Government facilities are available in accordance with scheduled requirements.

-  Government facilities are available in accordance with scheduled requirements.
-  Some schedule, maintainability and/or availability issues exist with regards to Government facilities, but issues are not affecting contract execution.
-  Significant schedule, maintainability and/or availability issues exist with regards to the delivery of Government facilities that are affecting contract execution.

3.14.4 Program Office releases funding to contractor(s) to maintain execution of the contract schedule.³⁶

-  Program Office releases funding to contractors to maintain execution of the contract schedule.
-  Program Office releases funding late to contractors, but not affecting contract execution.
-  Program Office releases funding late to contractors and is affecting contract execution.

3.14.5 Government responds to deliverable submissions by due date [e.g., technical inquiries, review of Contract Data Requirements List (CDRL) items (to include review/approval of engineering drawings, contractor questions, etc.)].

-  Government responds to deliverable submissions by due date.
-  Less than 10% of responses to deliverable submissions are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of responses to deliverable submissions are overdue by more than 30 days; late responses are affecting contract execution.

3.14.6 Government Furnished Equipment (GFE) is being delivered in accordance with scheduled requirements.

-  GFE is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFE is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFE is overdue by more than 30 days; late delivery is affecting contract execution.

[Criteria continued on next page]

³⁶ Criteria 3.14.4 is only required for programs with contracts. If the program being assessed does not have any contracts, then this Criteria does not apply and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

3.14.7 Government Furnished Information (GFI) is being delivered in accordance with scheduled requirements.

-  GFI is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFI is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFI is overdue by more than 30 days; late delivery is affecting contract execution.

3.14.8 [Milestone A Initiation]³⁷: Government Configuration Control Board (CCB) has been established and is responsive to proposed changes [e.g., Engineering Change Proposals (as applicable), deviation, waivers, or temporary modifications].

-  Government CCB has been established and is responsive to proposed changes.
-  Less than 10% of CCB responses to proposed changes are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of CCB responses to proposed changes are overdue by more than 30 days; late responses are affecting contract execution.—OR— CCB has not been established.

3.14.9 [Milestone A Initiation]³⁸: Risks are clearly identified, categorized and are being mitigated per established timelines. Risks are not being realized as issues.

-  Risks are clearly identified, categorized and are being mitigated per established timelines. Risks are not being realized as issues.
-  Risks mitigation timelines have slipped, but are not manifesting as issues.
-  Risks have manifested as issues.

[Back to Gate 3 Directory](#)

³⁷ Criteria 3.14.8 is only required for programs with a Milestone A designation.

³⁸ Criteria 3.14.9 is only required for programs with a Milestone A designation.

Gate 3
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

3.15.1 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

3.15.2 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 3 Directory](#)

Gate 3
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)³⁹
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners⁴⁰
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services⁴¹

³⁹ Each OSD stakeholder is assessed individually.

⁴⁰ Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

⁴¹ Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

3.16.1 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

3.16.2 OSD Advocacy⁴²

3.16.2.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

⁴² OSD stakeholders are assessed individually in Criteria 3.16.2.1-3.16.2.5 below.

3.16.2.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

3.16.2.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

3.16.2.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

3.16.2.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

3.16.3 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

3.16.4 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

3.16.5 International Partners Advocacy⁴³

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

3.16.6 Other Services Advocacy⁴⁴

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 3 Directory](#)

⁴³ Criteria 3.16.5 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

⁴⁴ Criteria 3.16.6 is only required for Joint programs. If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

Gate 3
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

Note: The Interdependencies Criteria assessment should reflect the most current OSD DAES Report for the program. The following OSD DAES definitions apply:

Interoperability (I) Ratings:

- Synchronization - PM for the program under review will provide an assessment (Green, Yellow or Red color in I-box) of the synchronization of this program with the needs of his program. In other words, whether the dependant program is on track to deliver the quantity required on the scheduled required.
- Criticality – PM for the program under review will provide an assessment (a number in the I-box) of its importance to your program meeting the capabilities identified in the CONOPS/CDD and articulated in the Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other performance attributes.
- The following terms of reference will be used:
 - 1= Crucial Interdependency
 - Program cannot achieve capabilities articulated in the CONOPS/CDD without the related capability provided by this program.
 - 2= Significant Interdependency
 - Program full realization of capabilities identified in CONOPS will be diminished but all CDD threshold capabilities will be met.
 - 3= Enabling Interdependency
 - While programs are related and complementary, failure to deliver this program does not substantially impact the ability of the program under review to deliver the documented capabilities.

INTERDEPENDENCIES CRITERIA

3.17.1 [Based on OSD DAES]: All Crucial (1) interoperability ratings are Green. All Significant (2) interoperability ratings are Green. Less than 10% of Enabling (3) interoperability ratings are Yellow. No Red ratings. –OR– If OSD DAES data is not a reporting requirement, Program Manager (PM) subjective evaluation using Interoperability rating definitions would have met Criteria for Green.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): All interoperability ratings are Green.
- Enabling (3): Less than 10% of interoperability ratings are Yellow. No Red ratings.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): No more than 10% of interoperability ratings are Yellow. No Red ratings.
- Enabling (3): 10-50% of interoperability ratings are Yellow. No more than 20% of interoperability ratings are Red.



- Crucial (1): One or more interoperability ratings is Yellow or Red.
- Significant (2): More than 10% of interoperability ratings are Yellow. –OR– One or more Red interoperability ratings.
- Enabling (3): More than 50% of interoperability ratings are Yellow. –OR– More than 20% of interoperability ratings are Red.

[Back to Gate 3 Directory](#)

Gate 4

Naval PoPS Criteria



GATE 4
METRIC CRITERIA DIRECTORY

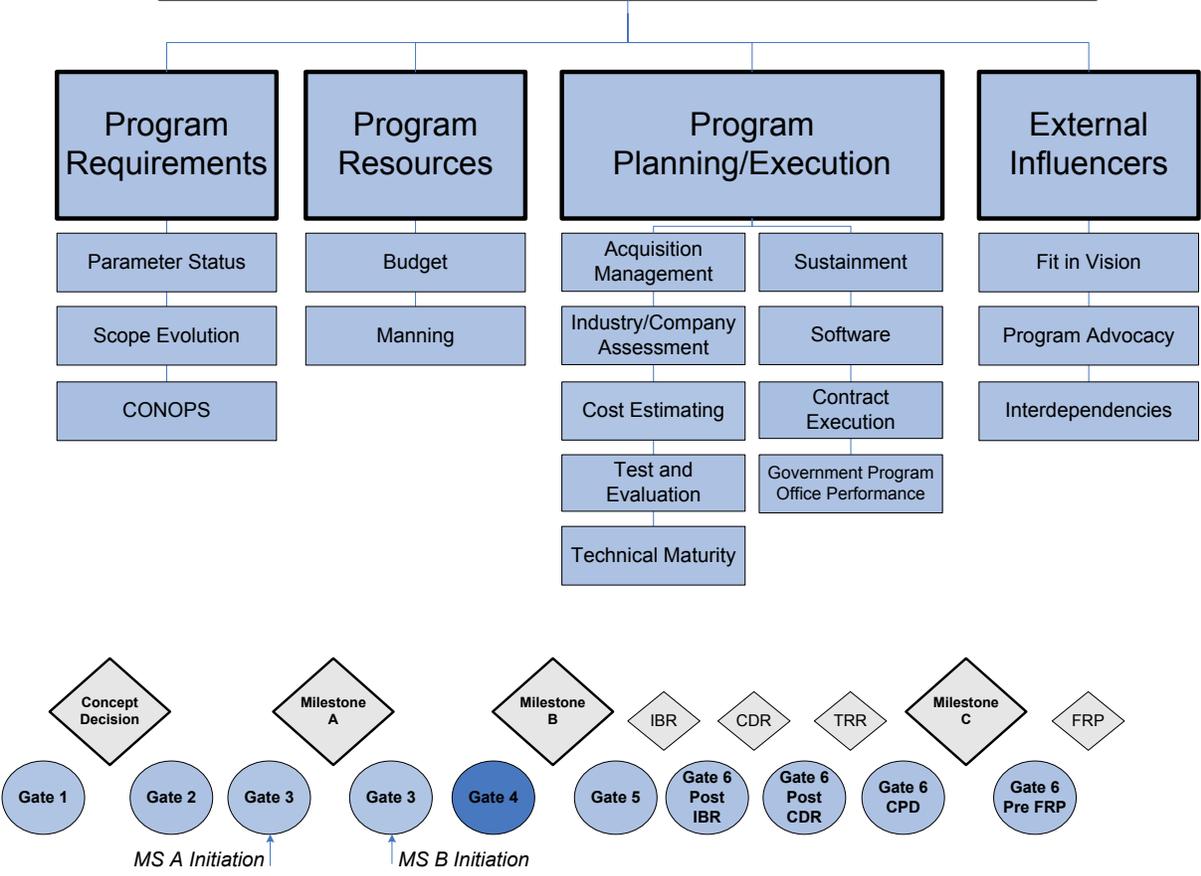
Program Requirements	
Parameter Status	125
Scope Evolution	128
CONOPS	129
Program Resources	
Budget	130
Manning.....	131
Program Planning/Execution	
Acquisition Management	133
Industry/Company Assessment.....	135
Cost Estimating.....	139
Test and Evaluation	141
Technical Maturity	144
Sustainment	146
Software.....	150
Contract Execution	153
Government Program Office Performance.....	156
External Influencers	
Fit in Vision	159
Program Advocacy	160
Interdependencies	166

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 4

Begin Use	After completion of Gate 3 Review/Milestone A (as applicable) in preparation for Gate 4 Review/Milestone B
End Use	Completion of Gate 4 Review/Milestone B
Assessment and/or Briefing Responsibility	PM/Cognizant PEO
Associated Files	Gate 4_POPS CRITERIA_MMDDYY_v1.xls Gate 4_MSA_POPS VISUALS_MMDDYY_v1.xls Gate 4_MSB_POPS VISUALS_MMDDYY_v1.xls Gate 4_MSA_POPS BRIEF_MMDDYY_v1.ppt Gate 4_MSB_POPS BRIEF_MMDDYY_v1.ppt

Naval PoPS Gate 4

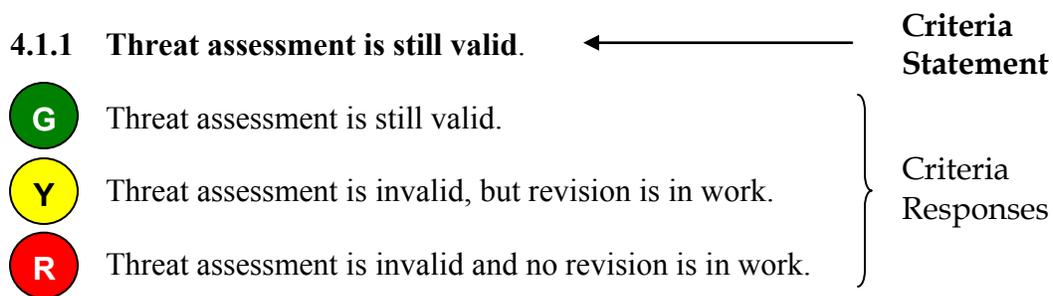


NAVAL POPS GATE 4

Gate 4 Criteria

This section contains the required Gate 4 Program Health Assessment Criteria.⁴⁵ The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 4. The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

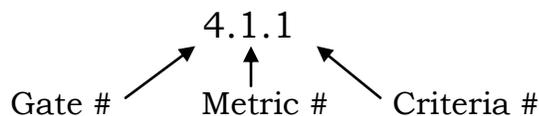
Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).



Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



⁴⁵ This Criteria also applies to programs preparing for a Milestone B Review.

Gate 4
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

4.1.1 Threat assessment is valid and Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes are still applicable.



Threat assessment is valid and KPPs, KSAs, and other attributes are still applicable.



Threat assessment is invalid, but revision is in work. KPPs/KSAs/other attributes may require adjustments.



Threat assessment is invalid and no revision is in work. KPPs/KSAs/other attributes require adjustments.

4.1.2 Capability Development Document (CDD) is approved. Capabilities are clearly defined, understood, and sufficient to support the development/updating of all acquisition documents⁴⁶.



CDD is approved. Capabilities are clearly defined, understood, and sufficient to support the development/updating of all acquisition documents.



CDD is approved. Capability descriptions are being revised so that they are sufficient to support the development/updating of all acquisition documents.



CDD is not approved.

[Criteria continued on next page]

⁴⁶ Reference SECNAV INSTRUCTION 5000.2C for required acquisition documents.

4.1.3 Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attribute cost drivers have been identified.



KPP/KSA/other attribute cost drivers have been identified.



KPP/KSA/other attribute cost drivers are being identified.



KPP/KSA/other attribute cost drivers are not being identified.

4.1.4 Physically allocated baseline has been conducted to determine levels of satisfaction in meeting Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Able to achieve all KPP/KSA/other attribute threshold values.



Able to achieve all KPP/KSA/other attribute threshold values.



Able to achieve KPP/KSA threshold values, but unable to achieve other attribute threshold values.



Unable to achieve KPP/KSA threshold values. –OR– Physically allocated baseline has not been conducted.

4.1.5 Requirements Traceability Matrix (RTM) is complete and aligns with all Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attributes [as well as the System Design Specification (SDS)]. All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is complete and aligns with all KPPs/KSAs/other attributes (as well as the SDS). All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is complete and somewhat aligns with KPPs/KSAs/other attributes (as well as the SDS). Two or three of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is not complete –OR- RTM does not align with KPPs/KSAs/other attributes (or the SDS). Less than two of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.

[Criteria continued on next page]

4.1.6 Required architectural descriptions/views⁴⁷ of the system capabilities have been completed and are Department of Defense Architecture Framework (DODAF) compliant.



Required architectural descriptions/views of the system capabilities have been completed and are DODAF compliant.



Required architectural descriptions/views of the system capabilities have been developed, but some revision required.



Required architectural descriptions/views of the system capabilities have been developed, but require significant revision/are not DODAF compliant.

[Back to Gate 4 Directory](#)

⁴⁷ Reference CJCSI 3170.01F, CJCSI 6212.01D, and DoDI 4630.8.

Gate 4
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

4.2.1 No Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes (scope or quantity) from previous Gate Review.



No KPP/KSA/other attribute changes from previous Gate Review.



Minor KPP/KSA/other attribute changes from previous Gate Review.



Significant KPP/KSA/other attribute changes from previous Gate Review.

4.2.2 Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes from previous Gate Review have little/no impact on program cost [less than 2% cost growth within one year or over Future Years Defense Program (FYDP)] or on program schedule (less than 3 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have little/no impact on program cost (less than 2% cost growth within one year or over FYDP) or on program schedule (less than 3 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have moderate impact on program cost (2-3% cost growth within one year or over FYDP) or on program schedule (3-6 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have significant impact on program cost (>3% cost growth within one year or over FYDP) or on program schedule (>6 month schedule increase).

[Back to Gate 4 Directory](#)

Gate 4
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

4.3.1 Concept of Operations (CONOPS) is approved, valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is approved, valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is approved, but requires revision.



CONOPS is not approved/is invalid.

[Back to Gate 4 Directory](#)

Gate 4
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

4.4.1 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.

4.4.2 Funding, based on current cost estimate, is POMed across the Future Years Defense Program (FYDP). Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. Program is funded to 30-45% probability on the S-Curve.



Funding has NOT been approved/POMed across the FYDP. –OR– Existing/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. Program is funded to < 30% probability on the S-Curve.

[Back to Gate 4 Directory](#)

Gate 4
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

4.5.1 Based on the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) negotiated staffing agreement, staffing is stable and adequate (in terms of availability, skills, experience, and certifications) to execute program activities. Note: Key Program Office positions include Program Manager (PM), Engineer, Logistics, Test and Evaluation (T&E), Contract Management, Budget and Financial Management, Cost Analysis, Depots/Centers, and Requirements Officer.

- G** Staffing is stable and adequate to execute program activities.
- At least 90% of Program Office authorized/funded billets are filled.
 - Key Program Office positions are stable (the most recent key personnel change was more than 3 months ago and no changes are planned within the next 3 months).
 - At least 50% of the key leaders have been with the program for more than one year.
 - At least 90% of all program staff members are personnel possessing at least the required level of Defense Acquisition Workforce Improvement Act (DAWIA) certification and training.
 - Program Manager (PM) and Deputy Program Manager (DPM) have met the statutory training requirements for their positions.
 - Manning deficiencies (if any) have been identified and are being mitigated.

[Criteria continued on next page]



Some staffing instability and/or inadequacy exists, but it will not affect the ability to execute program activities.

- 80-89% of Program Office authorized/funded billets are filled.
- Key Program Office positions have some movement volatility [one key personnel change has been made within the past 3 months or is projected within the next 3 months. NOTE: If 2 or more key personnel changes have occurred within the last 6 months, then this Metric rating is reduced to Red (see below)].
- At least 50% of the key leaders have been with the program for 6 months – 1 year.
- 80-89% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Either the PM or the DPM has met the statutory training requirements for his/her position.
- Manning deficiencies and associated mitigation strategies are being identified.



Staffing is unstable and/or inadequate to execute program activities.

- Less than 80% of all Program Office authorized/funded billets are filled.
- Key Program Office positions have significant movement volatility (two or more key personnel changes have been made within the last 6 months, or two or more changes are forecast within the next 6 months).
- Over 50% of the key leaders have been with the program for less than 6 months.
- Less than 80% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Neither the PM nor the DPM have met the statutory training requirements for their positions.
- Critical manning deficiencies have been identified, but mitigation strategies do not exist.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS), milestone documentation development, and progress toward defining derived requirements in the System Design Specification (SDS).

ACQUISITION MANAGEMENT CRITERIA

4.6.1 Program master schedule is current and includes all critical path activities. Key stakeholders have reviewed the master schedule and have determined that it is realistic and achievable based on planned activities.

G Program master schedule is current and includes all critical path activities. Key stakeholders have reviewed the schedule and have determined that it is realistic and achievable based on planned activities.

Y Program master schedule has been developed and reviewed by key stakeholders; required revisions are in work to ensure that the schedule is realistic, achievable, and includes all critical path activities.

R Program master schedule has not been developed. –OR– Significant revisions are required but are not in work.

4.6.2 Milestone documentation⁴⁸ development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet Program Approval/Source Selection Decision Dates.

G Milestone documentation development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet Program Approval/Source Selection Decision Dates.

Y Milestone documentation draft content requires revision; one or more required documents *may* impact the ability to meet the Program Approval/Source Selection Decision Dates.

R Milestone documentation draft content requires significant revision; one or more required documents *will* impact the ability to meet the Program Approval/Source Selection Decision Dates.

[Criteria continued on next page]

⁴⁸ Reference SECNAV INSTRUCTION 5000.2C for required milestone documentation.

4.6.3 No content related issues with the System Design Specification (SDS); derived requirements are clearly defined and understood. Critical comments from Navy/Marine Corps staffing have been adjudicated.

-  No content related issues with the SDS; derived requirements are clearly defined and understood. Critical comments from Navy/Marine Corps staffing have been adjudicated.
-  Some content related issues with the SDS. Critical comments from Navy/Marine Corps staffing are being adjudicated.
-  Significant content related issues with the SDS. Critical comments from Navy/Marine Corps staffing are not being adjudicated.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

INDUSTRY/COMPANY ASSESSMENT

INDUSTRY/COMPANY ASSESSMENT: Market research activities, industrial base health, and implications to inform development of the Request for Proposal (RFP); for major contracts,⁴⁹ the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the program, etc.

INDUSTRY ASSESSMENT CRITERIA:

The following Industry Assessment Criteria is required for all programs.

4.7.1 Market research activities [e.g., releasing Requests for Information (RFIs), soliciting government information on related contracts, conducting concept refinement/cost benefit studies, etc.] have been ongoing.



Market research activities have been ongoing.



Market research activities are being initiated.



Market research activities have not started.

4.7.2 Industrial base health is strong [e.g., design capabilities, manufacturing/production capabilities, state of technological development, industrial base financial health (stock trends), domestic vs. foreign ownership, manpower availability, prime/sub-contractor supply chains, potential reuse candidates, etc.]. More than one viable offeror is anticipated; preliminary market survey appears robust.



Industrial base health is strong. More than one viable offeror is anticipated; preliminary market survey is robust.



Industrial base health is moderate. More than one viable offeror is anticipated; preliminary market survey is adequate.



Industrial base health is weak. Field of potential offerors is weak/unknown.

[Criteria continued on next page]

⁴⁹ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

4.7.3 There is an understanding of the industrial implications for cost, schedule, and technical risks; industrial implications are informing development of the Request for Proposal (RFP). Risk mitigation strategies have been incorporated in the overall program plan and the Acquisition Strategy.

-  Industrial base concerns/issues are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan and the Acquisition Strategy.
-  Industrial base concerns/issues are difficult to resolve, but risk mitigation strategies are being identified and incorporated into the overall program plan and the Acquisition Strategy.
-  Industrial base concerns/issues are not resolvable.

COMPANY ASSESSMENT CRITERIA:

The following Company Assessment Criteria only applies to programs with one or more major contracts. This Criteria will be used to assess EACH company/contractor separately. If the program does not have any contracts at this time, then the following Criteria is not applicable and will be grayed out on the associated Naval PoPS Criteria Spreadsheet for this Gate.

4.7.4 Company's financial health is strong [Price-Earnings (PE) ratio, accounting records]; stable or trending upward.

-  Strong financial health; stable or trending upward.
-  Moderate financial health; stable or trending upward.
-  Poor financial health. –OR– Moderate financial health, but trending downward.

4.7.5 Company's manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).

-  Manpower resources are stable and adequate.
-  Manpower resources are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Manpower resources are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

4.7.6 Company demonstrates strong commitment to/management of supply chain [e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000].

-  Strong commitment to/management of supply chain.
-  Some issues exist with commitment to/management of supply chain, but issues are resolvable and corrective actions have been initiated.
-  Significant issues exist with commitment to/management of supply chain that are affecting program execution and issues are not being resolved.

4.7.7 Program is aligned with core business unit.

-  Program is aligned with core business unit.
-  Program is somewhat aligned with core business unit.
-  Program is not aligned with core business unit.

4.7.8 Company has not been on the “No Buy” List in the past five years.

-  Company has not been on the “No Buy” List in the past five years.
-  Company has been on the “No Buy” List in the past five years, but is not currently on the list.
-  Company is currently on the “No Buy” List.

4.7.9 Company’s facility/manufacturing/production capabilities and available capacity are adequate.

-  Facility/manufacturing/production capabilities and available capacity are adequate.
-  Facility/manufacturing/production capabilities and available capacity are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Facility/manufacturing/production capabilities and available capacity are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

4.7.10 Senior financial influencers at the corporate level demonstrate high commitment to the program.

-  Senior financial influencers at corporate level demonstrate high commitment to the program.
-  Senior financial influencers at corporate level demonstrate moderate commitment to the program.
-  Senior financial influencers at corporate level demonstrate little/no commitment to the program.

4.7.11 Senior executives at the corporate level demonstrate high commitment to the program.

-  Senior executives at corporate level demonstrate high commitment to the program.
-  Senior executives at corporate level demonstrate moderate commitment to the program.
-  Senior executives at corporate level demonstrate little/no commitment to the program.

4.7.12 Company performance is strong across all current work (outside of contract with the program).

-  Company performance is strong across all current work.
-  Company performance is weak in one or two current work engagements.
-  Company performance is weak in three or more current work engagements.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

4.8.1 Cost estimating activities are on or ahead of schedule. Appropriate technical authorities and stakeholders are involved to ensure total ownership cost implications are being addressed and are aligned with Capability Development Document (CDD)/(draft) Acquisition Program Baseline (APB) assumptions.



Cost estimating activities are on or ahead of schedule.



Cost estimating activities are behind schedule, but delays are not impacting program planning/execution.



Cost estimating activities are behind schedule and delays are impacting program planning/execution.

4.8.2 Current cost estimate confidence level is above 85%.



Current cost estimate confidence level is above 85%.



Current cost estimate confidence level is between 60-85%.



Current cost estimate confidence level is less than 60%.

[Criteria continued on next page]

4.8.3 Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between Program Office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between Program Office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



10-30% difference between Program Office and independent cost estimate. Differences in assumptions and methodologies are resolvable.



More than 30% difference between Program Office and independent cost estimate. Differences in assumptions and methodologies are not resolvable. -OR- Independent cost estimate has not been accomplished.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

4.9.1 Test and Evaluation Master Plan (TEMP) is approved and aligns with the Acquisition Strategy and the Systems Engineering Plan (SEP). Critical comments from Navy/Marine Corps staffing have been adjudicated.

- Test requirements are traceable to capability requirements and the current threat assessment.
- TEMP identifies Modeling and Simulation requirements and utilization.
- Key Performance Parameter (KPP), Key System Attribute (KSA), and other attribute objective and threshold values are testable and measurable.



TEMP is approved and aligns with the Acquisition Strategy and the SEP. Critical comments from Navy/Marine Corps staffing have been adjudicated.



TEMP has been developed, but has not yet been approved. Critical comments from Navy/Marine Corps staffing are being adjudicated.



TEMP has not been developed. –OR– Critical comments from Navy/Marine Corps staffing are not being adjudicated.

4.9.2 Test and Evaluation (T&E) organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.



T&E organizations are executing key test activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

[Criteria continued on next page]

4.9.3 Review of test resource capabilities, including ranges, targets, facilities, manpower, services, joint assets, and other programs, has been conducted. Gaps have been identified (if any) and mitigation plans have been established.

G Review of test resource capabilities has been conducted. Gaps have been identified (if any) and mitigation plans have been established.

Y Review of test resource capabilities has been conducted, but mitigation plans for significant gaps have not been developed.

R Review of test resource capabilities has not been conducted.

4.9.4 Test and Evaluation (T&E) costs have been identified and are included in program cost estimates.

G T&E costs have been identified and are included in program cost estimates.

Y T&E costs have been identified, but are not included in program cost estimates.

R T&E costs have not been identified.

4.9.5 Early operational assessment/preliminary test results have not identified any significant performance risks/issues.

G Early operational utility assessment/preliminary test results have not identified any significant performance risks/issues.

Y Early operational utility assessment/preliminary test results have identified some significant performance risks/issues, but T&E is engaged with key stakeholders in working mitigation strategies.

R Early operational utility assessment/preliminary test results have identified significant performance risks/issues that cannot be resolved.

4.9.6 Test and Evaluation (T&E) requirements for the Request for Proposal (RFP) have been finalized.

G T&E requirements for the RFP have been finalized.

Y T&E requirements for the RFP are being identified.

R T&E requirements for the RFP are not being identified.

[Criteria continued on next page]

4.9.7 Deficiency identification and tracking system has been developed for the program.



Deficiency identification and tracking system has been developed for the program.



Deficiency identification and tracking system will be developed prior to Request for Proposal (RFP) release.



Deficiency identification and tracking system will not be developed prior to RFP release.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

4.10.1 All Critical Technology Elements (CTEs) required to support the capabilities in the Capability Development Document (CDD) are at Technology Readiness Level (TRL) 6 or above; or if any CTE is below TRL 6, a substitute mature technology is available that meets the user's needs.



All CTEs required to support the capabilities in the CDD are at TRL 6 or above; or if any CTE is below TRL 6, a substitute mature technology is available that meets the user's needs.



One or more of the CTEs is at TRL 5 (but none is below); no substitute mature technology is available that meets the user's needs. Program is on track to have all CTEs at TRL 6 by the Milestone B decision.



Any of the program's CTEs are at TRL 4 or lower and there are no substitute mature technologies. –OR– One or more of the program's identified CTEs is at TRL5, there are no substitute mature technologies, and it will be difficult to have all CTEs at TRL 6 by the Milestone B decision.

4.10.2 Technology Development Strategy (TDS) is signed, current and valid. TDS is being used to inform the Acquisition Strategy, open system architectures, modular design, Government Purpose rights strategies, and the System Design Specification (SDS). Functional components of the system are well defined with clearly specified functions and interfaces.



TDS is signed, current and valid.



TDS is signed, but updates are required.



TDS has not been approved.

[Criteria continued on next page]

4.10.3 Latest testing/analysis results are being addressed and fed back into the Technology Development Strategy (TDS).

G Latest testing/analysis results are being addressed and fed back into the TDS.

[No Yellow Criteria]

R Latest testing/analysis results are not being addressed and fed back into the TDS.

4.10.4 Technology Integrated Product Team (IPT) is executing chartered responsibilities on or ahead of schedule.

G Technology IPT is executing chartered responsibilities on or ahead of schedule.

Y Technology IPT is executing chartered responsibilities no more than 30 days behind schedule; delays are not affecting program planning/execution.

R Technology IPT is executing chartered responsibilities more than 30 days behind schedule; delays are affecting program planning/execution. –OR– Technology IPT has not been formed.

4.10.5 Technical baseline for preferred system concepts has been defined; viable options are available and have been scoped for risk reduction. Utility of open system architectures and modular design has been determined.

G Technical baseline for preferred system concepts has been defined; viable options are available and have been scoped for risk reduction. Utility of open system architectures and modular design has been determined.

Y Technical baseline for preferred system concepts is being defined.

R Technical baseline for preferred system concepts is not being defined. –OR– There are no viable options available.

4.10.6 Manufacturing/producibility issues have been resolved.

G Manufacturing/producibility issues have been resolved.

Y Manufacturing/producibility issues exist, but issues are being resolved through the execution of mitigation strategies.

R Manufacturing/producibility issues exist that are not being resolved.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key sustainment planning activities.

4.11.1 Sustainment Plan is approved and aligns with the Capability Development Document (CDD) and the Acquisition Strategy. Life Cycle Business Case Analysis (BCA) for the Sustainment Plan [i.e. Performance Based Logistics (PBL)] has commenced. Government and industry roles are defined. Initial Operational Capability (IOC) is defined.

-  Sustainment Plan is approved and aligns with the CDD and the Acquisition Strategy.
-  Sustainment Plan is approved, but updates are required.
-  Sustainment Plan is not approved.

4.11.2 Organizations are executing key Sustainment activities on or ahead of schedule.

-  Organizations are executing key Sustainment activities on or ahead of schedule.
-  Organizations are executing key Sustainment activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.
-  Organizations are executing key Sustainment activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

[Criteria continued on next page]

4.11.3 Translation of Capability Development Document (CDD) reliability, availability and maintainability (RAM), safety, and ownership cost requirements to the System Design Specification (SDS) is complete.

-  Translation of CDD RAM, safety, and ownership cost requirements to the SDS is complete.
-  Translation of CDD RAM, safety, and ownership cost requirements to the SDS is no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.
-  Translation of CDD RAM, safety, and ownership cost requirements to the SDS is more than 60 days behind schedule; delays are seriously impacting program planning/execution activities. –OR– There are significant issues translating CDD RAM, safety and ownership cost requirements to the SDS that cannot be resolved by normal programmatic means at the PM/PEO level.

4.11.4 Sustainment costs have been identified and included in program cost estimates.

-  Sustainment costs have been identified and included in program cost estimates.
-  Sustainment costs have been identified, but are not included in program cost estimates.
-  Sustainment costs have not been identified.

4.11.5 Sustainment Products (e.g., pubs, training, supply, manpower, etc.) are on schedule to support Test and Evaluation (T&E) efforts. Programmatic Environment, Safety and Occupational Health (ESOH) Evaluation (PESHE) is completed and includes a National Environmental Policy Act (NEPA)/Executive Order (EO) 12114 Compliance Schedule. ESOH hazards and their associated risks are assessed and tracked.

-  Sustainment Products are on schedule to support T&E.
-  Sustainment Products are no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.
-  Sustainment Products are more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

[Criteria continued on next page]

4.11.6 Reliability and Maintainability (R&M) and Environment, Safety and Occupational Health (ESOH)/system safety engineering tasks and test requirements (progression of required R&M tests from equipment to system levels) in the System Design Specification (SDS) Request for Proposal (RFP) are finalized.

 R&M and ESOH/system safety engineering tasks and test requirements in the SDD RFP are finalized.

 R&M and ESOH/system safety engineering tasks and test requirements in the SDD RFP are being identified.

 R&M and ESOH/system safety engineering tasks and test requirements for the SDD RFP are not being identified.

4.11.7 Sustainment Key Performance Parameters (KPPs), Key System Attribute (KSAs), and other attributes are aligned to all evolving programmatic plans and documents [including capability requirements in the Capability Development Document (CDD)].

 Sustainment KPPs, KSAs, and other attributes are aligned to all evolving programmatic plans and documents.

[No Yellow Criteria]

 Sustainment KPPs, KSAs, and other attributes are not aligned to all evolving programmatic plans and documents.

4.11.8 Analyses indicate that Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes can be attained.

 Analyses indicate that Sustainment KPPs, KSAs, and other attributes can be attained.

 One or more Sustainment KPPs/KSAs are below threshold values; risks to achieving KPP/KSA threshold values have been identified and are being managed.

 One or more Sustainment KPPs/KSAs failed to meet threshold values. Risks to achieving KPP/KSA threshold values have not been identified and/or are not being properly managed.

[Criteria continued on next page]

4.11.9 All key areas of the Sustainment Plan [including Maintenance Planning, Supply Support, Technical Data, Computer Resources Report, Package Handling Storage and Transportation (PHS&T), Manpower and Personnel, Support Equipment, Training and Training Support, Facilities, Environment, Safety and Occupational Health (ESOH), and Design Interface] have been assessed and can support planned Sustainment activities.



All key areas of the Sustainment Plan have been assessed and can support planned Sustainment activities.



All key areas of the Sustainment Plan have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.



All key areas of the Sustainment Plan have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

4.12.1 Refined estimate and justification of the percentage of total system functionality to be provided by software have been developed in association with the System Design Specification (SDS).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

4.12.2 Refined estimate and justification of the percentage of total software that will be new development versus Commercial Off The Shelf (COTS)/Government Off The Shelf (GOTS)/Non-Developmental Items (NDI)/open source have been developed in association with the System Design Specification (SDS).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

4.12.3 Preliminary estimates and justification of the percentage of total software that are associated with software safety and software security have been completed.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

SOFTWARE CRITERIA: ORGANIZATION

4.12.4 Staffing is adequate (availability, skills, experience, training and certifications) to address software-related System Design Specification (SDS) requirements and to provide software-related requirements in the Request for Proposal (RFP).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

4.12.5 Software staff are validating Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold/objective values and architectural descriptions/views.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

4.12.6 Execution of Program Office staffing plan is on or ahead of schedule.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: COST/SCHEDULE

4.12.7 Software cost estimating activities (to include planning for software lifecycle support costs) are on or ahead of schedule; Stakeholders are involved (as appropriate).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

4.12.8 Program Office has tailored the Software Development Plan (SDP), including Work Breakdown Structure (WBS) software elements, for inclusion in the Request for Proposal (RFP).



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

4.12.9 Schedule reflects the industry accepted development and integration time for the percentage of total functionality of the system and complexity of the software for similar systems.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

4.12.10 The approved Program Office software engineering tools, techniques and processes (see Gate 3) are in place and are included in the System Design Specification (SDS) (as appropriate).



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

4.12.11 Initial estimates for software defects have been identified.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors⁵⁰ as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

The following Criteria only applies to programs with one or more current contracts. This Criteria will be used to assess EACH contractor's performance separately. If the program does not have any contracts at this time, then the following Criteria is not applicable and will be grayed out on the associated Naval PoPS Criteria Spreadsheet for this Gate.

4.13.1 [For contracts using the Earned Value Management System (EVMS)]⁵¹:

Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the To Complete Performance Index (TCPI) based on the contractor's Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by less than 5%. Cumulative SPI and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points lie between 0.90 and 0.95.

[Criteria continued on next page]

⁵⁰ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

⁵¹ Criteria 4.13.1 is applicable for contracts using EVMS; if EVMS is not being used, then select the "N/A" grade for Criteria 4.13.1 and select the appropriate Green/Yellow/Red grade for Criteria 4.13.2.



Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points lie below 0.90. –OR– No EVMS data due to program re-baseline since last report.

4.13.2 [For contracts that are not using the Earned Value Management System (EVMS)]⁵²: Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.



Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.



Contractor has missed a schedule milestone, but is meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by 5-10%.



Contractor has missed a schedule milestone and is not meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by more than 10%.

4.13.3 All Contractor Performance Assessment Report (CPAR)/Informal Performance Assessment Report (IPAR) Factor ratings are Green or above, and Contractor is at 90% (or above) of award / incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, Program Manager (PM) subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.



All CPAR/IPAR Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.



Some CPAR/IPAR Factor ratings are Yellow (with no more than one Red Factor rating), and/or Contractor is at 80-89% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Yellow.



Some CPAR/IPAR Factor ratings are Yellow (with two or more Red Factor ratings); or Contractor is below 80% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR Factor categories would have met Criteria for Red.

[Criteria continued on next page]

⁵² Criteria 4.13.2 is applicable for contracts NOT using EVMS; if EVMS is being used, then select the "N/A" grade for Criteria 4.13.2 and select the appropriate Green/Yellow/Red grade for Criteria 4.13.1.

4.13.4 Contractor is properly staffed (in terms of availability, skills, experience, and certifications) to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

 Contractor is properly staffed to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

 Contractor has some manning issues, but issues are not affecting program activities. Actual contractor executing manning levels deviate 5-10% from current staffing plan.

 Contractor has significant manning issues that are affecting program activities. Actual contractor executing manning levels deviate more than 10% from current staffing plan.

4.13.5 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

 Contractor is executing with 5-10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by no more than 30 days.

 Contractor is executing with more than 10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by more than 30 days.

[Back to Gate 4 Directory](#)

Gate 4
Program Planning/Execution

**GOVERNMENT PROGRAM
OFFICE PERFORMANCE**

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

4.14.1 All Request For Information (RFI)/Request For Proposal (RFP) inquiries have been answered per requested due date.



All RFI/RFP inquiries have been answered per requested due date.



Less than 10% of RFI/RFP inquiries are overdue by more than 30 days.



10% (or more) of RFI/RFP inquiries are overdue by more than 30 days.

4.14.2 Intra-government requirements {e.g., Government Furnished Equipment (GFE), Government Furnished Information (GFI), PM agreements, Technology Transfer Agreements, Enterprise [Naval Aviation Enterprise (NAE), Surface Warfare Enterprise (SWE), Naval Facilities Engineering Command (NAVFAC), etc.] and SYSCOM Customer Service Agreements} have been defined and are being executed according to plan.



Intra-government requirements have been defined and are being executed according to plan.



Intra-government requirements have been defined, but are being executed behind schedule.



Intra-government requirements have not been defined.

[Criteria continued on next page]

4.14.3 Government facilities are available in accordance with scheduled requirements.

-  Government facilities are available in accordance with scheduled requirements.
-  Some schedule, maintainability and/or availability issues exist with regards to Government facilities, but issues are not affecting contract execution.
-  Significant schedule, maintainability and/or availability issues exist with regards to the delivery of Government facilities that are affecting contract execution.

4.14.4 Program Office releases funding to contractor(s) to maintain execution of the contract schedule.⁵³

-  Program Office releases funding to the contractor to maintain execution of the contract schedule.
-  Program Office releases funding late to the contractor, but not affecting contract execution.
-  Program Office releases funding late to the contractor and is affecting contract execution.

4.14.5 Government responds to deliverable submissions by due date [e.g., technical inquiries, review of Contract Data Requirements List (CDRL) items (to include review/approval of engineering drawings, contractor questions, etc.)].

-  Government responds to deliverable submissions by due date.
-  Less than 10% of responses to deliverable submissions are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of responses to deliverable submissions are overdue by more than 30 days; late responses are affecting contract execution.

[Criteria continued on next page]

⁵³ Criteria 4.14.4 is only required for programs with contracts. If the program being assessed does not have any contracts, then this Criteria does not apply and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

4.14.6 Government Furnished Equipment (GFE) is being delivered in accordance with scheduled requirements.

-  GFE is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFE is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFE is overdue by more than 30 days; late delivery is affecting contract execution.

4.14.7 Government Furnished Information (GFI) is being delivered in accordance with scheduled requirements.

-  GFI is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFI is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFI is overdue by more than 30 days; late delivery is affecting contract execution.

4.14.8 Government Configuration Control Board (CCB) has been established and is responsive to proposed changes [e.g., Engineering Change Proposals (as applicable), deviation, waivers, or temporary modifications].

-  Government CCB is responsive to proposed changes.
-  Less than 10% of CCB responses to proposed changes are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of CCB responses to proposed changes are overdue by more than 30 days; late responses are affecting contract execution. –OR– CCB has not been established.

4.14.9 Risks are clearly identified, categorized and are being mitigated per established timelines. Risks are not being realized as issues.

-  Risks are clearly identified, categorized and are being mitigated per established timelines. Risks are not being realized as issues.
-  Risks mitigation timelines have slipped, but are not manifesting as issues.
-  Risks have manifested as issues.

[Back to Gate 4 Directory](#)

Gate 4
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

4.15.1 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

4.15.2 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 4 Directory](#)

Gate 4
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)⁵⁴
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners⁵⁵
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services⁵⁶

⁵⁴ Each OSD stakeholder is assessed individually.

⁵⁵ Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

⁵⁶ Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

4.16.1 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

4.16.2 OSD Advocacy⁵⁷

4.16.2.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

⁵⁷ OSD stakeholders are assessed individually in Criteria 4.16.2.1-4.16.2.5 below.

4.16.2.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

4.16.2.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

4.16.2.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

4.16.2.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

4.16.3 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

4.16.4 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

4.16.5 International Partners Advocacy⁵⁸

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

4.16.6 Other Services Advocacy⁵⁹

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 4 Directory](#)

⁵⁸ Criteria 4.16.5 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

⁵⁹ Criteria 4.16.6 is only required for Joint programs. If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

Gate 4
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

Note: The Interdependencies Criteria assessment should reflect the most current OSD DAES Report for the program. The following OSD DAES definitions apply:

Interoperability (I) Ratings:

- Synchronization - PM for the program under review will provide an assessment (Green, Yellow or Red color in I-box) of the synchronization of this program with the needs of his program. In other words, whether the dependant program is on track to deliver the quantity required on the scheduled required.
- Criticality – PM for the program under review will provide an assessment (a number in the I-box) of its importance to your program meeting the capabilities identified in the CONOPS/CDD and articulated in the Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other performance attributes.
- The following terms of reference will be used:
 - 1= Crucial Interdependency
 - Program cannot achieve capabilities articulated in the CONOPS/CDD without the related capability provided by this program.
 - 2= Significant Interdependency
 - Program full realization of capabilities identified in CONOPS will be diminished but all CDD threshold capabilities will be met.
 - 3= Enabling Interdependency
 - While programs are related and complementary, failure to deliver this program does not substantially impact the ability of the program under review to deliver the documented capabilities.

INTERDEPENDENCIES CRITERIA:

4.17.1 [Based on OSD DAES]: All Crucial (1) interoperability ratings are Green. All Significant (2) interoperability ratings are Green. Less than 10% of Enabling (3) interoperability ratings are Yellow. No Red ratings. –OR– If OSD DAES data is not a reporting requirement, Program Manager (PM) subjective evaluation using Interoperability rating definitions would have met Criteria for Green.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): All interoperability ratings are Green.
- Enabling (3): Less than 10% of interoperability ratings are Yellow. No Red ratings.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): No more than 10% of interoperability ratings are Yellow. No Red ratings.
- Enabling (3): 10-50% of interoperability ratings are Yellow. No more than 20% of interoperability ratings are Red.



- Crucial (1): One or more interoperability ratings is Yellow or Red.
- Significant (2): More than 10% of interoperability ratings are Yellow. –OR– One or more Red interoperability ratings.
- Enabling (3): More than 50% of interoperability ratings are Yellow. –OR– More than 20% of interoperability ratings are Red.

[Back to Gate 4 Directory](#)

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Gate 5

Naval PoPS Criteria



GATE 5
METRIC CRITERIA DIRECTORY

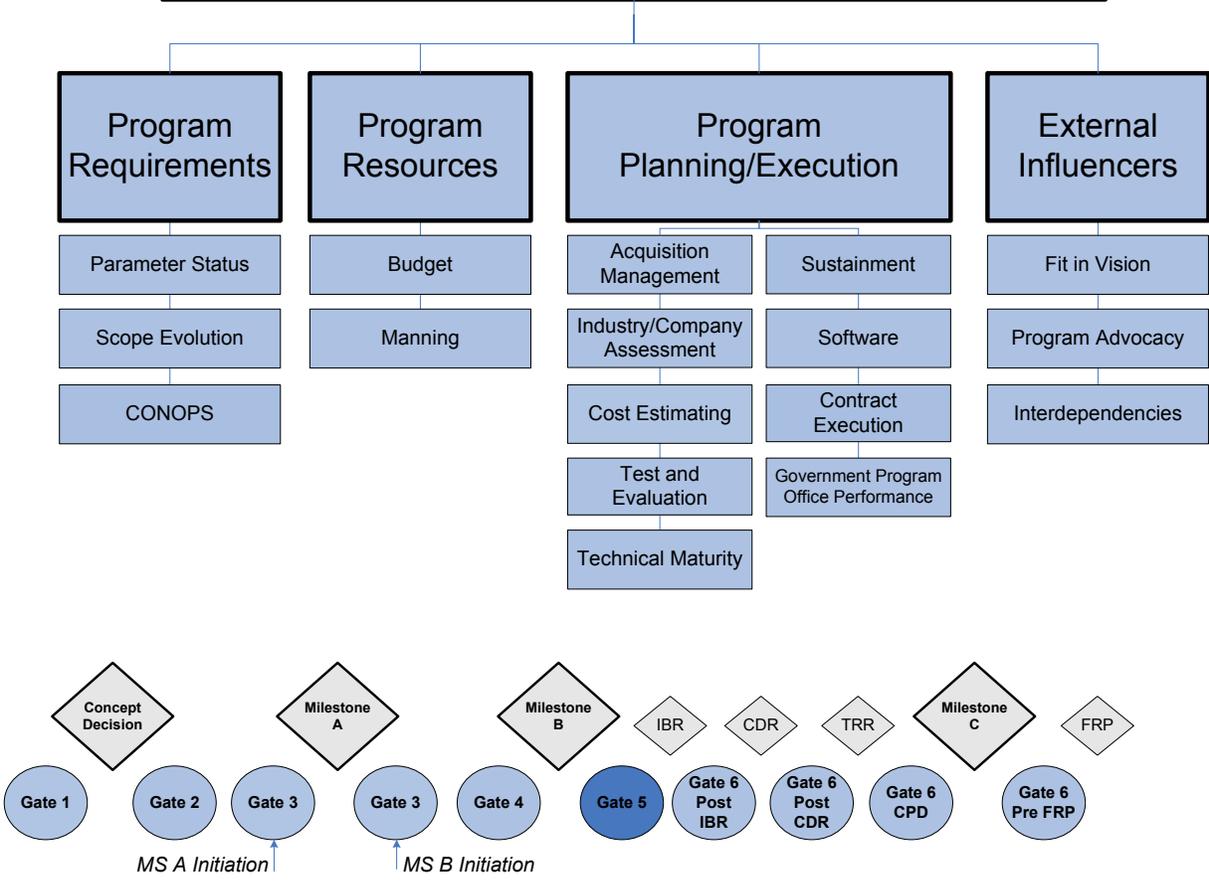
Program Requirements	
Parameter Status	173
Scope Evolution	176
CONOPS	177
Program Resources	
Budget	178
Manning.....	179
Program Planning/Execution	
Acquisition Management	181
Industry/Company Assessment.....	183
Cost Estimating.....	187
Test and Evaluation	189
Technical Maturity	192
Sustainment	194
Software.....	197
Contract Execution	200
Government Program Office Performance.....	203
External Influencers	
Fit in Vision	206
Program Advocacy	207
Interdependencies	213

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 5

Begin Use	After completion of Gate 4 Review/Milestone B in preparation for DON Gate 5 Review/RFP release
End Use	Completion of Integrated Baseline Review (IBR)/preparation for first DON Gate 6 Review
Assessment and/or Briefing Responsibility	PM/Cognizant PEO
Associated Files	Gate 5_POPS CRITERIA_MMDDYY_v1.xls Gate 5_POPS VISUALS_MMDDYY_v1.xls Gate 5_POPS BRIEF_MMDDYY_v1.ppt

Naval PoPS Gate 5

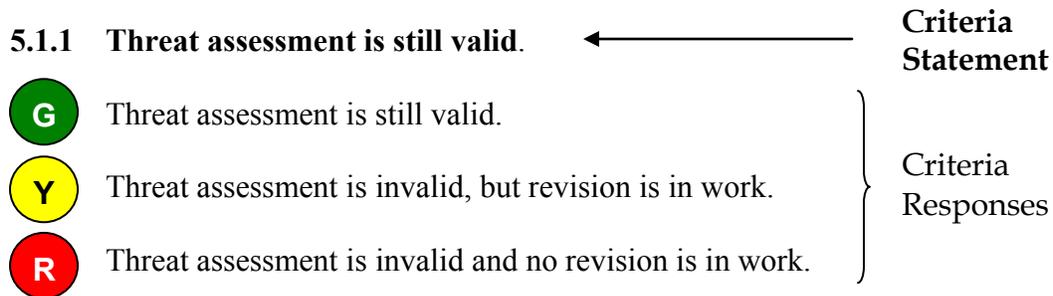


NAVAL POPS GATE 5

Gate 5 Criteria

This section contains the required Gate 5 Program Health Assessment Criteria. The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 5. The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

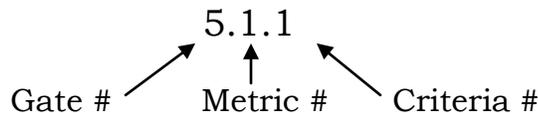
Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).



Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



Gate 5
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

5.1.1 Threat assessment is valid and Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes are still applicable.



Threat assessment is valid and KPPs, KSAs, and other attributes are still applicable.



Threat assessment is invalid, but revision is in work. KPPs/KSAs/other attributes may require adjustments.



Threat assessment is invalid and no revision is in work. KPPs/KSAs/other attributes require adjustments.

5.1.2 Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attribute cost drivers have been identified/updated as required.



KPP/KSA/other attribute cost drivers have been identified/updated as required.



KPP/KSA/other attribute cost drivers are being identified/updated as required.



KPP/KSA/other attribute cost drivers are not being identified/updated as required.

[Criteria continued on next page]

5.1.3 Physically allocated baseline has been conducted to determine levels of satisfaction in meeting Key Performance Parameter (KPP), Key System Attribute (KSA)/other attribute threshold values. Able to achieve all KPP/KSA/other attribute threshold values.



Able to achieve all KPP/KSA/other attribute threshold values.



Able to achieve KPP/KSA threshold values, but unable to achieve other attribute threshold values.



Unable to achieve KPP/KSA threshold values. –OR– Physically allocated baseline has not been conducted.

5.1.4 Requirements Traceability Matrix (RTM) is complete and aligns with all Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attributes [as well as the System Design Specification (SDS)]. All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is complete and aligns with all KPPs/KSAs/other attributes (as well as SDS). All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is complete and somewhat aligns with KPPs/KSAs/other attributes (as well as the SDS). Two or three of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is not complete –OR- RTM does not align with KPPs/KSAs/other attributes (or the SDS). Less than two of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.

[Criteria continued on next page]

5.1.5 Required architectural descriptions/views⁶⁰ of the system capabilities have been completed and are Department of Defense Architecture Framework (DODAF) compliant.



Required architectural descriptions/views of the system capabilities have been completed and are DODAF compliant.



Required architectural descriptions/views of the system capabilities have been developed, but some revision required.



Required architectural descriptions/views of the system capabilities have been developed, but require significant revision/are not DODAF compliant.

[Back to Gate 5 Directory](#)

⁶⁰ Reference CJCSI 3170.01F, CJCSI 6212.01D, and DoDI 4630.8.

Gate 5
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

5.2.1 No Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes (scope or quantity) from previous Gate Review.

-  No KPP/KSA/other attribute changes from previous Gate Review.
-  Minor KPP/KSA/other attribute changes from previous Gate Review; capability trending downward from previously dictated levels.
-  Significant KPP/KSA/other attribute changes from previous Gate Review; capability decrease below threshold or previously dictated levels.

5.2.2 Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes from previous Gate Review have little/no impact on program cost [less than 2% cost growth within one year or over Future Years Defense Program (FYDP)] or on program schedule (less than 3 month schedule increase).

-  KPP/KSA/other attributes changes from previous Gate Review have little/no impact on program cost (less than 2% cost growth within one year or over FYDP) or on program schedule (less than 3 month schedule increase).
-  KPP/KSA/other attributes changes from previous Gate Review have moderate impact on program cost (2-3% cost growth within one year or over FYDP) or on program schedule (3-6 month schedule increase).
-  KPP/KSA/other attributes changes from previous Gate Review have significant impact on program cost (>3% cost growth within one year or over FYDP) or on program schedule (>6 month schedule increase).

[Back to Gate 5 Directory](#)

Gate 5
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

5.3.1 Concept of Operations (CONOPS) is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is invalid, but revision is in work.



CONOPS is invalid and no revision is in work.

[Back to Gate 5 Directory](#)

Gate 5
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

5.4.1 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.

5.4.2 Funding, based on current cost estimate, is POMed across the Future Years Defense Program (FYDP). Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. Program is funded to 30-45% probability on the S-Curve.



Funding has NOT been approved/POMed across the FYDP. –OR– Existing/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. Program is funded to < 30% probability on the S-Curve.

[Back to Gate 5 Directory](#)

Gate 5
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

5.5.1 Based on the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) negotiated staffing agreement, staffing is stable and adequate (in terms of availability, skills, experience, and certifications) to execute program activities. Note: Key Program Office positions include Program Manager (PM), Engineer, Logistics, Test and Evaluation (T&E), Contract Management, Budget and Financial Management, Cost Analysis, Depots/Centers, and Requirements Officer.



Staffing is stable and adequate to execute program activities.

- At least 90% of Program Office authorized/funded billets are filled.
- Key Program Office positions are stable (the most recent key personnel change was more than 3 months ago and no changes are planned within the next 3 months).
- At least 50% of the key leaders have been with the program for more than one year.
- At least 90% of all program staff members are personnel possessing at least the required level of Defense Acquisition Workforce Improvement Act (DAWIA) certification and training.
- Program Manager (PM) and Deputy Program Manager (DPM) have met the statutory training requirements for their positions.
- Manning deficiencies (if any) have been identified and are being mitigated.

[Criteria continued on next page]



Some staffing instability and/or inadequacy exists, but it will not affect the ability to execute program activities.

- 80-89% of Program Office authorized/funded billets are filled.
- Key Program Office positions have some movement volatility [one key personnel change has been made within the past 3 months or is projected within the next 3 months. NOTE: If 2 or more key personnel changes have occurred within the last 6 months, then this Metric rating is reduced to Red (see below)].
- At least 50% of the key leaders have been with the program for 6 months – 1 year.
- 80-89% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Either the PM or the DPM has met the statutory training requirements for his/her position.
- Manning deficiencies and associated mitigation strategies are being identified.



Staffing is unstable and/or inadequate to execute program activities.

- Less than 80% of all Program Office authorized/funded billets are filled.
- Key Program Office positions have significant movement volatility (two or more key personnel changes have been made within the last 6 months, or two or more changes are forecast within the next 6 months).
- Over 50% of the key leaders have been with the program for less than 6 months.
- Less than 80% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Neither the PM nor the DPM have met the statutory training requirements for their positions.
- Critical manning deficiencies have been identified, but mitigation strategies do not exist.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS), milestone documentation development, and progress toward defining derived requirements in the System Design Specification (SDS).

ACQUISITION MANAGEMENT CRITERIA

5.6.1 Program master schedule is current and includes all critical path activities. Key stakeholders have reviewed the master schedule and have determined that it is realistic and achievable based on planned activities.



Program master schedule is current and includes all critical path activities. Key stakeholders have reviewed the schedule and have determined that it is realistic and achievable based on planned activities.



Program master schedule has been developed and reviewed by key stakeholders; required revisions are in work to ensure that the schedule is realistic, achievable, and includes all critical path activities.



Program master schedule has not been developed. –OR– Significant revisions are required but are not in work.

5.6.2 Milestone documentation⁶¹ development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet Program Approval/Source Selection Decision Dates.



Milestone documentation development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet Program Approval/Source Selection Decision Dates.



Milestone documentation draft content requires revision; one or more required documents *may* impact the ability to meet the Program Approval/Source Selection Decision Dates.



Milestone documentation draft content requires significant revision; one or more required documents *will* impact the ability to meet the Program Approval/Source Selection Decision Dates.

[Criteria continued on next page]

⁶¹ Reference SECNAV INSTRUCTION 5000.2C for required milestone documentation.

5.6.3 System Design Specification (SDS) is approved; derived requirements are clearly defined and understood.



SDS is approved; derived requirements are clearly defined and understood.

[No Yellow Criteria]



SDS is not approved.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

INDUSTRY/COMPANY ASSESSMENT

INDUSTRY/COMPANY ASSESSMENT: Market research activities, industrial base health, and implications to inform development of the Request for Proposal (RFP); for major contracts,⁶² the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the program, etc.

INDUSTRY ASSESSMENT CRITERIA

The following Industry Assessment Criteria is required for all programs.

5.7.1 Potential offerors' health is strong [e.g., design capabilities, manufacturing/production capabilities, state of technological development, industrial base financial health (stock trends), domestic vs. foreign ownership, manpower availability, prime/sub-contractor supply chains, potential reuse candidates, No Buy List, Information Assurance (IA) assessment, etc.].



Potential offerors' health is strong.



Potential offerors' health is moderate.



Potential offerors' health is weak.

[Criteria continued on next page]

⁶² Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

5.7.2 There is an understanding of each potential offeror’s impact on program cost, schedule, and technical risks. Risk mitigation strategies have been re-assessed to account for offeror health and incorporated into the overall program plan and the Acquisition Strategy.



Concerns/issues with potential offerors are resolvable. Risk mitigation strategies have been re-assessed to account for offeror health and incorporated into the overall program plan and the Acquisition.



Concerns/issues with potential offerors are difficult to resolve, but risk mitigation strategies are being identified/re-assessed and incorporated into the overall program plan and the Acquisition Strategy.



Concerns/issues with potential offerors are not resolvable.

COMPANY ASSESSMENT CRITERIA

The following Company Assessment Criteria only applies to programs with one or more major contracts. This Criteria will be used to assess EACH company/contractor separately. If the program does not have any contracts at this time, then the following Criteria is not applicable and will be grayed out on the associated Naval PoPS Criteria Spreadsheet for this Gate.

5.7.3 Company’s financial health is strong [Price-Earnings (PE) ratio, accounting records]; stable or trending upward.



Strong financial health; stable or trending upward.



Moderate financial health; stable or trending upward.



Poor financial health. –OR– Moderate financial health, but trending downward.

5.7.4 Company’s manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).



Manpower resources are stable and adequate.



Manpower resources are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.



Manpower resources are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

5.7.5 Company demonstrates strong commitment to/management of supply chain [e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000].

-  Strong commitment to/management of supply chain.
-  Some issues exist with commitment to/management of supply chain, but issues are resolvable and corrective actions have been initiated.
-  Significant issues exist with commitment to/management of supply chain that are affecting program execution and issues are not being resolved.

5.7.6 Program is aligned with core business unit.

-  Program is aligned with core business unit.
-  Program is somewhat aligned with core business unit.
-  Program is not aligned with core business unit.

5.7.7 Company has not been on the “No Buy” List in the past five years.

-  Company has not been on the “No Buy” List in the past five years.
-  Company has been on the “No Buy” List in the past five years, but is not currently on the list.
-  Company is currently on the “No Buy” List.

5.7.8 Company’s facility/manufacturing/production capabilities and available capacity are adequate.

-  Facility/manufacturing/production capabilities and available capacity are adequate.
-  Facility/manufacturing/production capabilities and available capacity are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Facility/manufacturing/production capabilities and available capacity are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

5.7.9 Senior financial influencers at the corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate moderate commitment to the program.



Senior financial influencers at corporate level demonstrate little/no commitment to the program.

5.7.10 Senior executives at the corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate moderate commitment to the program.



Senior executives at corporate level demonstrate little/no commitment to the program.

5.7.11 Company performance is strong across all current work (outside of contract with the program).



Company performance is strong across all current work.



Company performance is weak in one or two current work engagements.



Company performance is weak in three or more current work engagements.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

5.8.1 Cost estimating activities are on or ahead of schedule. Appropriate technical authorities and stakeholders are involved to ensure total ownership cost implications are being addressed and are aligned with Capability Development Document (CDD)/Acquisition Program Baseline (APB) assumptions.



Cost estimating activities are on or ahead of schedule.



Cost estimating activities are behind schedule, but delays are not impacting program execution.



Cost estimating activities are behind schedule and delays are impacting program execution.

5.8.2 Current cost estimate confidence level is above 90%.



Current cost estimate confidence level is above 90%.



Current cost estimate confidence level is between 75-90%.



Current cost estimate confidence level is less than 75%.

[Criteria continued on next page]

5.8.3 Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between Program Office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between Program Office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



10-30% difference between Program Office and independent cost estimate. Differences in assumptions and methodologies are resolvable.



More than 30% difference between Program Office and independent cost estimate. Differences in assumptions and methodologies are not resolvable. -OR- Independent cost estimate has not been accomplished.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

5.9.1 Test and Evaluation Master Plan (TEMP) is approved, current and aligns with the Acquisition Strategy and the Systems Engineering Plan (SEP).

- Test requirements are traceable to capability requirements and the current threat assessment.
- TEMP identifies Modeling and Simulation requirements and utilization.
- Key Performance Parameter (KPP), Key System Attribute (KSA), and other attribute objective and threshold values are testable and measurable.



TEMP is approved, current and aligns with the Acquisition Strategy and the SEP.



TEMP is approved, but updates are required.



TEMP is not approved.

5.9.2 Test and Evaluation (T&E) organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities no more than 60 days behind schedule; delays are not seriously impacting program execution activities.



T&E organizations are executing key test activities more than 60 days behind schedule; delays are seriously impacting program execution activities.

[Criteria continued on next page]

5.9.3 Test resource capabilities, including ranges, targets, facilities, manpower, services, joint assets, and other programs, have been assessed and can support planned test activities.

G Test resource capabilities have been assessed and can support planned test activities.

Y Test resource capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.

R Test resource capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

5.9.4 Test and Evaluation (T&E) costs have been identified and are included in program cost estimates.

G T&E costs have been identified and are included in program cost estimates.

Y T&E costs have been identified, but are not included in program cost estimates.

R T&E costs have not been identified.

5.9.5 Early operational assessment/preliminary test results have not identified any significant performance risks/issues.

G Early operational utility assessment/preliminary test results have not identified any significant performance risks/issues.

Y Early operational utility assessment/preliminary test results have identified some significant performance risks/issues, but T&E is engaged with key stakeholders in working mitigation strategies.

R Early operational utility assessment/preliminary test results have identified significant performance risks/issues that cannot be resolved.

5.9.6 The Request for Proposal (RFP) contains Test and Evaluation (T&E) requirements, including government review and oversight and provisions for the Integrated Test Team (ITT), as appropriate.

G The RFP contains T&E requirements.

[No Yellow Criteria]

R The RFP does not contain T&E requirements.

[Criteria continued on next page]

5.9.7 Deficiency identification and tracking system has been developed and is being used.



Deficiency identification and tracking system has been developed and is being used.



Deficiency identification and tracking system has been developed, but is not being used.



Deficiency identification and tracking system has not been developed.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

5.10.1 All Critical Technology Elements (CTEs) required to support the capabilities in the Capability Development Document (CDD) are at Technology Readiness Level (TRL) 6 or above; or if any CTE is below TRL 6, a substitute mature technology is available that meets the user's needs.



All CTEs required to support the capabilities in the CDD are at TRL 6 or above; or if any CTE is below TRL 6, a substitute mature technology is available that meets the user's needs.



One or more of the CTEs is at TRL 5 (but none is below); no substitute mature technology is available that meets the user's needs.



Any of the program's CTEs are at TRL 4 or lower and there are no substitute mature technologies.

5.10.2 Latest testing/analysis results are being addressed and fed back into the Technology Development Strategy (TDS).



Latest testing/analysis results are being addressed and fed back into the TDS.

[No Yellow Criteria]



Latest testing/analysis results are not being addressed and fed back into the TDS.

[Criteria continued on next page]

5.10.3 Technology Integrated Product Team (IPT) is executing chartered responsibilities on or ahead of schedule.

-  Technology IPT is executing chartered responsibilities on or ahead of schedule.
-  Technology IPT is executing chartered responsibilities no more than 30 days behind schedule; delays are not affecting program planning/execution.
-  Technology IPT is executing chartered responsibilities more than 30 days behind schedule; delays are affecting program planning/execution. –OR– Technology IPT has not been formed.

5.10.4 Technical baseline for preferred system concepts is stable.

-  Technical baseline for preferred system concepts is stable.
-  Technical baseline for preferred system concepts is unstable, but is not impacting program execution.
-  Technical baseline for preferred system concepts is very unstable and is impacting program execution.

5.10.5 Manufacturing/producibility issues have been resolved.

-  Manufacturing/producibility issues have been resolved.
-  Manufacturing/producibility issues exist, but issues are being resolved through the execution of mitigation strategies.
-  Manufacturing/producibility issues exist that are not being resolved.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key Sustainment planning activities.

SUSTAINMENT CRITERIA

5.11.1 Sustainment Plan is approved and aligns with the Capability Development Document (CDD) and the Acquisition Strategy. Life Cycle Business Case Analysis (BCA) for the Sustainment Plan [i.e. Performance Based Logistics (PBL)] is valid. Government and industry roles are defined. Initial Operational Capability (IOC) is defined.



Sustainment Plan is approved and aligns with the CDD and the Acquisition Strategy.



Sustainment Plan is approved, but updates are required.



Sustainment Plan is not approved.

5.11.2 Organizations are executing key Sustainment activities {e.g., requirements tracking and verification, environmental planning [including National Environmental Policy Act (NEPA)/Executive Order (EO) 12114 documentation], input to design specifications, test plans/procedures, inspection plans, maintenance concepts, and Total System Support Package} on or ahead of schedule.



Organizations are executing key Sustainment activities on or ahead of schedule.



Organizations are executing key Sustainment activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.



Organizations are executing key Sustainment activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

[Criteria continued on next page]

5.11.3 Logistics and Sustainment capabilities have been assessed [Independent Logistics Assessment (ILA), Risk Management Process, training, facilities, and other] and can support planned Sustainment activities. Assessments of cost, schedule, and technical risks include consideration of Life Cycle cost and supportability performance. Environment, Safety and Occupational Health (ESOH) hazards and their associated risks are assessed and tracked.



Logistics and Sustainment capabilities have been assessed and can support planned Sustainment activities.



Logistics and Sustainment capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.



Logistics and Sustainment capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

5.11.4 Sustainment costs have been identified and included in program cost estimates.



Sustainment costs have been identified and included in program cost estimates.



Sustainment costs have been identified, but are not included in program cost estimates.



Sustainment costs have not been identified.

5.11.5 The Request for Proposal (RFP) contains Reliability and Maintainability (R&M) and Environment, Safety and Occupational Health (ESOH)/system safety engineering tasks and test requirements (progression of required R&M tests from equipment to system levels).



The RFP contains R&M and ESOH/system safety engineering tasks and test requirements.

[No Yellow Criteria]



The RFP does not contain R&M and ESOH/system safety engineering tasks and test requirements.

[Criteria continued on next page]

5.11.6 Sustainment Key Performance Parameters (KPPs), Key System Attribute (KSAs), and other attributes are aligned to all evolving programmatic plans and documents.

 Sustainment KPPs, KSAs, and other attributes are aligned to all evolving programmatic plans and documents.

[No Yellow Criteria]

 Sustainment KPPs, KSAs, and other attributes are not aligned to all evolving programmatic plans and documents.

5.11.7 Analyses indicate that Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes can be attained.

 Analyses indicate that Sustainment KPPs, KSAs, and other attributes can be attained.

 One or more Sustainment KPPs/KSAs are below threshold values; risks to achieving KPP/KSA threshold values have been identified and are being managed.

 One or more Sustainment KPPs/KSAs failed to meet threshold values. Risks to achieving KPP/KSA threshold values have not been identified and/or are not being properly managed.

5.11.8 All key areas of the Sustainment Plan [including Maintenance Planning, Supply Support, Technical Data, Computer Resources Report, Package Handling Storage and Transportation (PHS&T), Manpower and Personnel, Support Equipment, Training and Training Support, Facilities, Environment, Safety and Occupational Health (ESOH), and Design Interface] have been assessed and can support planned Sustainment activities.

 All key areas of the Sustainment Plan have been assessed and can support planned Sustainment activities.

 All key areas of the Sustainment Plan have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.

 All key areas of the Sustainment Plan have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

5.12.1 Government preliminary software size baseline has been identified and includes:

- **Expected percentage of total system functionality to be provided by software**
- **Percentage of total software that is expected to be new development**
- **Expected size of newly developed, reused, and modified software [Equivalent Source Lines of Code (ESLOC), Function Points (FP), or requirements].**



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

5.12.2 The Request for Proposal (RFP) addresses required Metrics for software size and stability, including selection Criteria for:

- **Percentage of total system functionality to be provided by software**
- **Estimate and justification of the percentage of total software that will be new development or Commercial Off The Shelf (COTS)/Government Off The Shelf (GOTS)/Non-Developmental Items (NDI)/open source**
- **Software size estimates and justification (to include software safety and software security)**
- **Software baseline requirements, including expected growth and trend Metrics for software stability, and the use of Metrics for forecasting**
- **Weighting Factors for source selection**



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Criteria continued on next page]

SOFTWARE CRITERIA: ORGANIZATION

5.12.3 Execution of the Program Office staffing plan is on or ahead of schedule (to include source selection).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

5.12.4 The Request for Proposal (RFP) addresses requirements for software organization including:

- **Manpower requirements (including staff phasing Metrics, skills and certifications required, training plans**
- **Training Metrics (actual training vs. required by plan, and required experience)**
- **Turnover Metrics**

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: COST/SCHEDULE

5.12.5 Software cost estimating activities [to include planning for software lifecycle support costs; Integrated Development Environment (IDE); access to software development data; software Metric evidence and artifacts, etc.] are on or ahead of schedule.

- **Cost estimates have been completed for critical System Design Specification (SDS) elements (e.g., software safety and software security); Request for Proposal (RFP) selection Criteria address these expectations.**

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

5.12.6 The Request for Proposal (RFP) includes required Metrics for tracking software cost/schedule against an approved baseline, including cost and schedule variances and cost and schedule performance indices.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

5.12.7 Schedule reflects the industry accepted development and integration time for the percentage of total functionality of the system and complexity of the software for similar systems.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

5.12.8 The Request for Proposal (RFP) addresses requirements for developer software engineering tools.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

5.12.9 The Request for Proposal (RFP) includes required Metrics for software quality, including defect “density” Metrics and trends [e.g., defects per Source Lines of Code (SLOC), defects per unit, defects per interface].



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors⁶³ as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

The following Criteria only applies to programs with one or more current contracts. This Criteria will be used to assess EACH contractor’s performance separately. If the program does not have any contracts at this time, then the following Criteria is not applicable and will be grayed out on the associated Naval PoPS Criteria Spreadsheet for this Gate

**5.13.1 [For contracts using the Earned Value Management System (EVMS)]⁶⁴:
Government’s independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the To Complete Performance Index (TCPI) based on the contractor’s Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.**

 Government’s independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor’s LRE exceeds the cumulative CPI by less than 5%. Cumulative SPI and CPI points are 0.95 or better.

 Government’s independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor’s LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points lie between 0.90 and 0.95.

[Criteria continued on next page]

⁶³ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

⁶⁴ Criteria 5.13.1 is applicable for contracts using EVMS; if EVMS is not being used, then select the “N/A” grade for Criteria 5.13.1 and select the appropriate Green/Yellow/Red grade for Criteria 5.13.2.

R Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points lie below 0.90. –OR– No EVMS data due to program re-baseline since last report.

5.13.2 [For contracts that are not using the Earned Value Management System (EVMS)]⁶⁵: Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.

G Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.

Y Contractor has missed a schedule milestone, but is meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by 5-10%.

R Contractor has missed a schedule milestone and is not meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by more than 10%.

5.13.3 All Contractor Performance Assessment Report (CPAR)/Informal Performance Assessment Report (IPAR) Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, Program Manager (PM) subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.

G All CPAR/IPAR Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.

Y Some CPAR/IPAR Factor ratings are Yellow (with no more than one Red Factor rating), and/or Contractor is at 80-89% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Yellow.

R Some CPAR/IPAR Factor ratings are Yellow (with two or more Red Factor ratings); or Contractor is below 80% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR Factor categories would have met Criteria for Red.

[Criteria continued on next page]

⁶⁵ Criteria 5.13.2 is applicable for contracts NOT using EVMS; if EVMS is being used, then select the "N/A" grade for Criteria 5.13.2 and select the appropriate Green/Yellow/Red grade for Criteria 5.13.1.

5.13.4 Contractor is properly staffed (in terms of availability, skills, experience, and certifications) to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

-  Contractor is properly staffed to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.
-  Contractor has some manning issues, but issues are not affecting program activities. Actual contractor executing manning levels deviate 5-10% from current staffing plan.
-  Contractor has significant manning issues that are affecting program activities. Actual contractor executing manning levels deviate more than 10% from current staffing plan.

5.13.5 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

-  Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.
-  Contractor is executing with 5-10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by no more than 30 days.
-  Contractor is executing with more than 10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by more than 30 days.

[Back to Gate 5 Directory](#)

Gate 5
Program Planning/Execution

GOVERNMENT PROGRAM OFFICE PERFORMANCE

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

5.14.1 All Request For Information (RFI)/Request For Proposal (RFP) inquiries have been answered per requested due date.



All RFI/RFP inquiries have been answered per requested due date.



Less than 10% of RFI/RFP inquiries are overdue by more than 30 days.



10% (or more) of RFI/RFP inquiries are overdue by more than 30 days.

5.14.2 Intra-government requirements {e.g., Government Furnished Equipment (GFE), Government Furnished Information (GFI), PM agreements, Technology Transfer Agreements, Enterprise [Naval Aviation Enterprise (NAE), Surface Warfare Enterprise (SWE), Naval Facilities Engineering Command (NAVFAC), etc.] and SYSCOM Customer Service Agreements} have been defined and are being executed according to plan.



Intra-government requirements have been defined and are being executed according to plan.



Intra-government requirements have been defined, but are being executed behind schedule.



Intra-government requirements have not been defined.

[Criteria continued on next page]

5.14.3 Government facilities are available in accordance with scheduled requirements.

-  Government facilities are available in accordance with scheduled requirements.
-  Some schedule, maintainability and/or availability issues exist with regards to Government facilities, but issues are not affecting contract execution.
-  Significant schedule, maintainability and/or availability issues exist with regards to the delivery of Government facilities that are affecting contract execution.

5.14.4 Program Office releases funding to contractor(s) to maintain execution of the contract schedule.⁶⁶

-  Program Office releases funding to the contractor to maintain execution of the contract schedule.
-  Program Office releases funding late to the contractor, but not affecting contract execution.
-  Program Office releases funding late to the contractor and is affecting contract execution.

5.14.5 Government responds to deliverable submissions by due date [e.g., technical inquiries, review of Contract Data Requirements List (CDRL) items (to include review/approval of engineering drawings, contractor questions, etc.)].

-  Government responds to deliverable submissions by due date.
-  Less than 10% of responses to deliverable submissions are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of responses to deliverable submissions are overdue by more than 30 days; late responses are affecting contract execution.

[Criteria continued on next page]

⁶⁶ Criteria 5.14.4 is only required for programs with contracts. If the program being assessed does not have any contracts, then this Criteria does not apply and the PM/user should select “N/A” in the Naval PoPS Criteria Spreadsheet.

5.14.6 Government Furnished Equipment (GFE) is being delivered in accordance with scheduled requirements.

-  GFE is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFE is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFE is overdue by more than 30 days; late delivery is affecting contract execution.

5.14.7 Government Furnished Information (GFI) is being delivered in accordance with scheduled requirements.

-  GFI is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFI is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFI is overdue by more than 30 days; late delivery is affecting contract execution.

5.14.8 Government Configuration Control Board (CCB) has been established and is responsive to proposed changes [e.g., Engineering Change Proposals (as applicable), deviation, waivers, or temporary modifications].

-  Government CCB is responsive to proposed changes.
-  Less than 10% of CCB responses to proposed changes are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of CCB responses to proposed changes are overdue by more than 30 days; late responses are affecting contract execution. –OR– CCB has not been established.

5.14.9 Risk Management Board (RMB) has been established to identify, categorize, and mitigate risks. Risks are being mitigated per established timelines and are not being realized as issues.

-  Risks are being mitigated per established timelines and are not being realized as issues.
-  Risks mitigation timelines have slipped, but are not manifesting as issues.
-  Risks have manifested as issues. –OR– RMB has not been established.

[Back to Gate 5 Directory](#)

Gate 5
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

5.15.1 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

5.15.2 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 5 Directory](#)

Gate 5
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)⁶⁷
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners⁶⁸
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services⁶⁹

⁶⁷ Each OSD stakeholder is assessed individually.

⁶⁸ Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

⁶⁹ Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

5.16.1 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

5.16.2 OSD Advocacy⁷⁰

5.16.2.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

⁷⁰ OSD stakeholders are assessed individually in Criteria 5.16.2.1-5.16.2.5 below.

5.16.2.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

5.16.2.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

5.16.2.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

5.16.2.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

5.16.3 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

5.16.4 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

5.16.5 International Partners Advocacy⁷¹

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

5.16.6 Other Services Advocacy⁷²

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 5 Directory](#)

⁷¹ Criteria 5.16.5 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

⁷² Criteria 5.16.6 is only required for Joint programs. If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

Gate 5
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

Note: The Interdependencies Criteria assessment should reflect the most current OSD DAES Report for the program. The following OSD DAES definitions apply:

Interoperability (I) Ratings:

- Synchronization - PM for the program under review will provide an assessment (Green, Yellow or Red color in I-box) of the synchronization of this program with the needs of his program. In other words, whether the dependant program is on track to deliver the quantity required on the scheduled required.
- Criticality – PM for the program under review will provide an assessment (a number in the I-box) of its importance to your program meeting the capabilities identified in the CONOPS/CDD and articulated in the Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other performance attributes.
- The following terms of reference will be used:
 - 1= Crucial Interdependency
 - Program cannot achieve capabilities articulated in the CONOPS/CDD without the related capability provided by this program.
 - 2= Significant Interdependency
 - Program full realization of capabilities identified in CONOPS will be diminished but all CDD threshold capabilities will be met.
 - 3= Enabling Interdependency
 - While programs are related and complementary, failure to deliver this program does not substantially impact the ability of the program under review to deliver the documented capabilities.

INTERDEPENDENCIES CRITERIA:

5.17.1 [Based on OSD DAES]: All Crucial (1) interoperability ratings are Green. All Significant (2) interoperability ratings are Green. Less than 10% of Enabling (3) interoperability ratings are Yellow. No Red ratings. –OR– If OSD DAES data is not a reporting requirement, Program Manager (PM) subjective evaluation using Interoperability rating definitions would have met Criteria for Green.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): All interoperability ratings are Green.
- Enabling (3): Less than 10% of interoperability ratings are Yellow. No Red ratings.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): No more than 10% of interoperability ratings are Yellow. No Red ratings.
- Enabling (3): 10-50% of interoperability ratings are Yellow. No more than 20% of interoperability ratings are Red.



- Crucial (1): One or more interoperability ratings is Yellow or Red.
- Significant (2): More than 10% of interoperability ratings are Yellow. –OR– One or more Red interoperability ratings.
- Enabling (3): More than 50% of interoperability ratings are Yellow. –OR– More than 20% of interoperability ratings are Red.

[Back to Gate 5 Directory](#)

Gate 6 (Post IBR) Naval PoPS Criteria



GATE 6 (POST IBR)
METRIC CRITERIA DIRECTORY

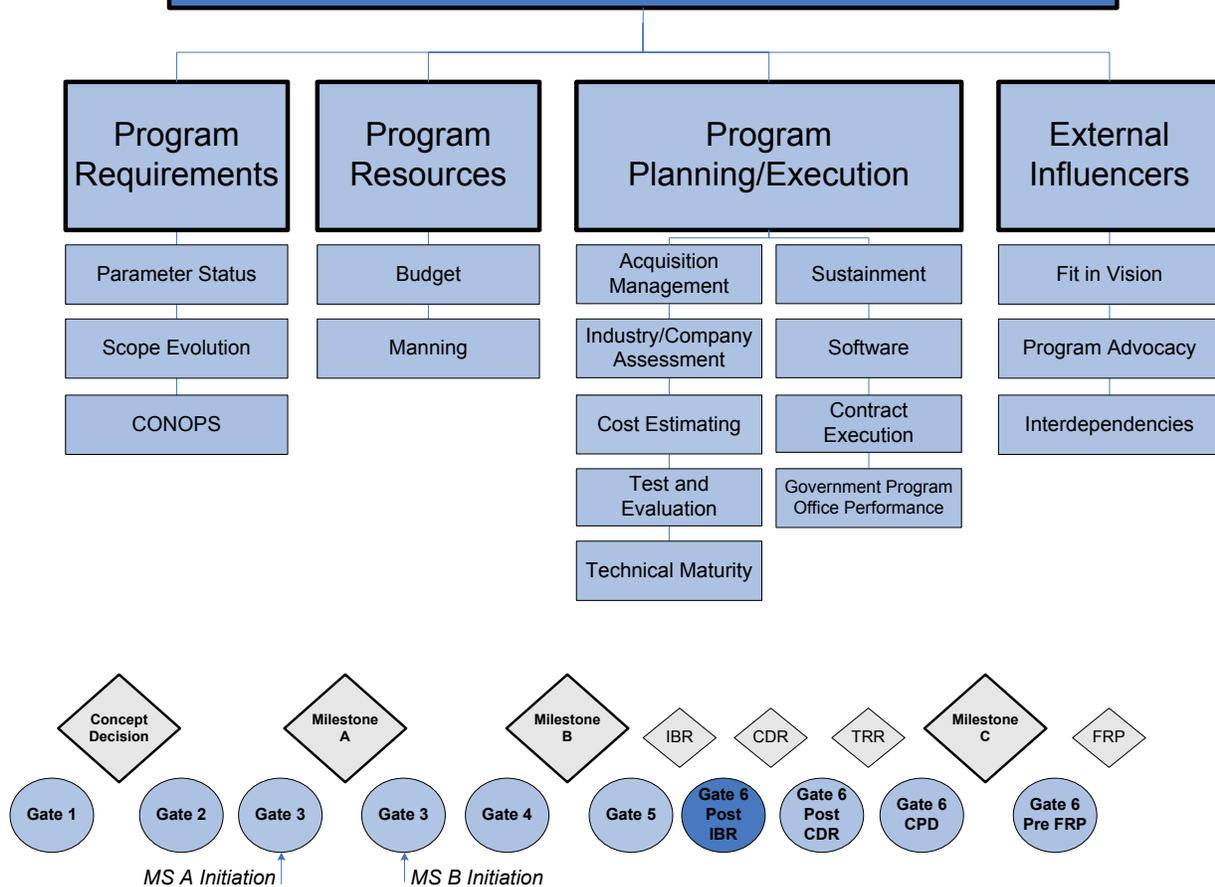
Program Requirements	
Parameter Status	219
Scope Evolution	222
CONOPS	223
Program Resources	
Budget	224
Manning.....	225
Program Planning/Execution	
Acquisition Management	227
Industry/Company Assessment.....	228
Cost Estimating.....	231
Test and Evaluation	233
Technical Maturity	236
Sustainment	238
Software.....	241
Contract Execution	245
Government Program Office Performance.....	248
External Influencers	
Fit in Vision	251
Program Advocacy	252
Interdependencies	258

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 6 (Post IBR)

Begin Use	After completion of Integrated Baseline Review (IBR) in preparation for first DON Gate 6 Review
End Use	Completion of Critical Design Review (CDR)
Assessment and/or Briefing Responsibility	PM/Cognizant PEO
Associated Files	Gate 6 Post IBR_POPS CRITERIA_MMDDYY_v1.xls Gate 6 Post IBR_POPS VISUALS_MMDDYY_v1.xls Gate 6 Post IBR_POPS BRIEF_MMDDYY_v1.ppt

Naval PoPS Gate 6

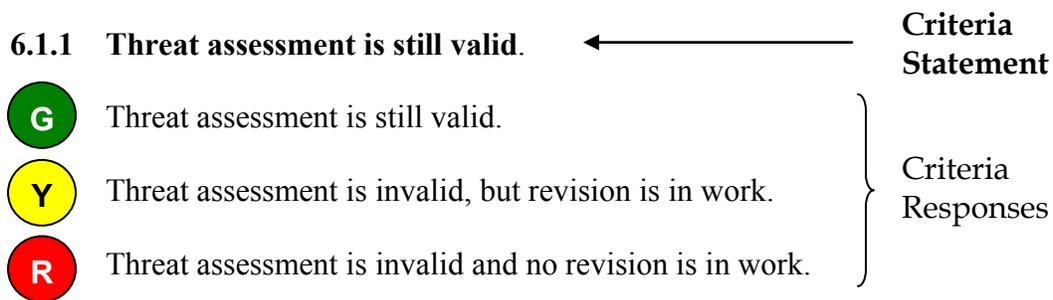


NAVAL POPS GATE 6 (POST IBR)

Gate 6 (Post IBR) Criteria

This section contains the required Gate 6 (Post IBR) Program Health Assessment Criteria. The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 6 (Post IBR). The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

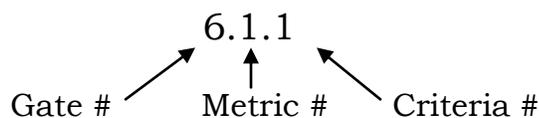
Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).



Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



Gate 6 (Post IBR)
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

6.1.1 Threat assessment is valid and Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes are still applicable.



Threat assessment is valid and KPPs, KSAs, and other attributes are still applicable.



Threat assessment is invalid, but revision is in work. KPPs/KSAs/other attributes may require adjustments.



Threat assessment is invalid and no revision is in work. KPPs/KSAs/other attributes require adjustments.

6.1.2 Plan for development of the Capability Production Document (CPD) has been completed.



Plan for development of the CPD has been completed.



Plan for development of the CPD is being created.



Plan for development of the CPD is not being created.

[Criteria continued on next page]

6.1.3 Able to achieve all Capability Development Document (CDD)-based Key Performance Parameter (KPP), Key System Attribute (KSA)/other attribute threshold values as evaluated during analyses (including testing, simulations, etc.). Cost drivers have been identified/updated as required.



Able to achieve all CDD-based KPP/KSA/other attribute threshold values as evaluated during analyses. Cost drivers have been identified/updated as required.



Able to achieve CDD-based KPP/KSA threshold values, but unable to achieve other attribute threshold values as evaluated during analyses. Cost drivers are being identified/updated.



Unable to achieve CDD-based KPP/KSA threshold values as evaluated during analyses. Cost drivers are not being identified/updated.

6.1.4 Requirements Traceability Matrix (RTM) is complete and aligns with all Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attributes [as well as the System Design Specification (SDS)]. All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is complete and aligns with all KPPs/KSAs/other attributes (as well as SDS). All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is complete and somewhat aligns with KPPs/KSAs/other attributes (as well as the SDS). Two or three of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is not complete. –OR– RTM does not align with KPPs/KSAs/other attributes (or the SDS). Less than two of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.

[Criteria continued on next page]

6.1.5 Required architectural descriptions/views⁷³ of the system capabilities have been completed and are Department of Defense Architecture Framework (DODAF) compliant.



Required architectural descriptions/views of the system capabilities have been completed and are DODAF compliant.



Required architectural descriptions/views of the system capabilities have been developed, but some revision required.



Required architectural descriptions/views of the system capabilities have been developed, but require significant revision/are not DODAF compliant.

[Back to Gate 6 \(Post IBR\) Directory](#)

⁷³ Reference CJCSI 3170.01F, CJCSI 6212.01D, and DoDI 4630.8.

Gate 6 (Post IBR)
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

6.2.1 No Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes (scope or quantity) from previous Gate Review.



No KPP/KSA/other attribute changes from previous Gate Review.



Minor KPP/KSA/other attribute changes from previous Gate Review; capability trending downward from previously dictated levels.



Significant KPP/KSA/other attribute changes from previous Gate Review; capability decrease below threshold or previously dictated levels.

6.2.2 Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes from previous Gate Review have little/no impact on program cost [less than 2% cost growth within one year or over Future Years Defense Program (FYDP)] or on program schedule (less than 3 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have little/no impact on program cost (less than 2% cost growth within one year or over FYDP) or on program schedule (less than 3 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have moderate impact on program cost (2-3% cost growth within one year or over FYDP) or on program schedule (3-6 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have significant impact on program cost (>3% cost growth within one year or over FYDP) or on program schedule (>6 month schedule increase).

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

6.3.1 Concept of Operations (CONOPS) is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is invalid, but revision is in work.



CONOPS is invalid and no revision is in work.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

6.4.1 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.

6.4.2 Funding, based on current cost estimate, is POMed across the Future Years Defense Program (FYDP). Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. Program is funded to 30-45% probability on the S-Curve.



Funding has NOT been approved/POMed across the FYDP. –OR– Existing/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. Program is funded to < 30% probability on the S-Curve.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

6.5.1 Based on the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) negotiated staffing agreement, staffing is stable and adequate (in terms of availability, skills, experience, and certifications) to execute program activities. Note: Key Program Office positions include Program Manager (PM), Engineer, Logistics, Test and Evaluation (T&E), Contract Management, Budget and Financial Management, Cost Analysis, Depots/Centers, and Requirements Officer.



Staffing is stable and adequate to execute program activities.

- At least 90% of Program Office authorized/funded billets are filled.
- Key Program Office positions are stable (the most recent key personnel change was more than 3 months ago and no changes are planned within the next 3 months).
- At least 50% of the key leaders have been with the program for more than one year.
- At least 90% of all program staff members are personnel possessing at least the required level of Defense Acquisition Workforce Improvement Act (DAWIA) certification and training.
- Program Manager (PM) and Deputy Program Manager (DPM) have met the statutory training requirements for their positions.
- Manning deficiencies (if any) have been identified and are being mitigated.

[Criteria continued on next page]



Some staffing instability and/or inadequacy exists, but it will not affect the ability to execute program activities.

- 80-89% of Program Office authorized/funded billets are filled.
- Key Program Office positions have some movement volatility [one key personnel change has been made within the past 3 months or is projected within the next 3 months. NOTE: If 2 or more key personnel changes have occurred within the last 6 months, then this Metric rating is reduced to Red (see below)].
- At least 50% of the key leaders have been with the program for 6 months – 1 year.
- 80-89% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Either the PM or the DPM has met the statutory training requirements for his/her position.
- Manning deficiencies and associated mitigation strategies are being identified.



Staffing is unstable and/or inadequate to execute program activities.

- Less than 80% of all Program Office authorized/funded billets are filled.
- Key Program Office positions have significant movement volatility (two or more key personnel changes have been made within the last 6 months, or two or more changes are forecast within the next 6 months).
- Over 50% of the key leaders have been with the program for less than 6 months.
- Less than 80% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Neither the PM nor the DPM have met the statutory training requirements for their positions.
- Critical manning deficiencies have been identified, but mitigation strategies do not exist.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS) and milestone documentation development.

ACQUISITION MANAGEMENT CRITERIA

6.6.1 Integrated Master Schedule (IMS) is current and includes all critical path activities. Key stakeholders have reviewed the IMS and have determined that it is realistic and achievable based on planned activities.



IMS is current and includes all critical path activities. Key stakeholders have reviewed the IMS and have determined that it is realistic and achievable based on planned activities.



IMS has been developed and reviewed by key stakeholders; required revisions are in work to ensure that the IMS is realistic, achievable, and includes all critical path activities.



IMS has not been developed. –OR– Significant revisions are required but are not in work.

6.6.2 Milestone documentation⁷⁴ development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet the Milestone C Decision Date.



Milestone documentation development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet the Milestone C Decision Date.



Milestone documentation draft content requires revision; one or more required documents *may* impact the ability to meet the Milestone C Decision Date.



Milestone documentation draft content requires significant revision; one or more required documents *will* impact the ability to meet the Milestone C Decision Date.

[Back to Gate 6 \(Post IBR\) Directory](#)

⁷⁴ Reference SECNAV INSTRUCTION 5000.2C for required milestone documentation.

Gate 6 (Post IBR)
Program Planning/Execution

INDUSTRY/COMPANY ASSESSMENT

INDUSTRY/COMPANY ASSESSMENT: For major contracts,⁷⁵ the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the program, etc.

COMPANY ASSESSMENT CRITERIA

This Criteria will be used to assess EACH company/contractor separately.

6.7.1 Company's financial health is strong (Price-Earnings (PE) ratio, accounting records); stable or trending upward.



Strong financial health; stable or trending upward.



Moderate financial health; stable or trending upward.



Poor financial health. –OR– Moderate financial health, but trending downward.

6.7.2 Company's manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).



Manpower resources are stable and adequate.



Manpower resources are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.



Manpower resources are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

⁷⁵ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

6.7.3 Company demonstrates strong commitment to/management of supply chain [e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000].

-  Strong commitment to/management of supply chain.
-  Some issues exist with commitment to/management of supply chain, but issues are resolvable and corrective actions have been initiated.
-  Significant issues exist with commitment to/management of supply chain that are affecting program execution and issues are not being resolved.

6.7.4 Program is aligned with core business unit.

-  Program is aligned with core business unit.
-  Program is somewhat aligned with core business unit.
-  Program is not aligned with core business unit.

6.7.5 Company has not been on the “No Buy” List in the past five years.

-  Company has not been on the “No Buy” List in the past five years.
-  Company has been on the “No Buy” List in the past five years, but is not currently on the list.
-  Company is currently on the “No Buy” List.

6.7.6 Company’s facility/manufacturing/production capabilities and available capacity are adequate.

-  Facility/manufacturing/production capabilities and available capacity are adequate.
-  Facility/manufacturing/production capabilities and available capacity are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Facility/manufacturing/production capabilities and available capacity are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

6.7.7 Senior financial influencers at the corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate moderate commitment to the program.



Senior financial influencers at corporate level demonstrate little/no commitment to the program.

6.7.8 Senior executives at the corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate moderate commitment to the program.



Senior executives at corporate level demonstrate little/no commitment to the program.

6.7.9 Company performance is strong across all current work (outside of contract with the program).



Company performance is strong across all current work.



Company performance is weak in one or two current work engagements.



Company performance is weak in three or more current work engagements.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

6.8.1 Cost estimating activities are on or ahead of schedule. Appropriate technical authorities and stakeholders are involved to ensure total ownership cost implications are being addressed and are aligned with Capability Development Document (CDD)/Acquisition Program Baseline (APB) assumptions.

-  Cost estimating activities are on or ahead of schedule.
-  Cost estimating activities are behind schedule, but delays are not impacting program planning/execution.
-  Cost estimating activities are behind schedule and delays are impacting program planning/execution.

6.8.2 Current cost estimate confidence level is above 95%.

-  Current cost estimate confidence level is above 95%.
-  Current cost estimate confidence level is between 80-95%.
-  Current cost estimate confidence level is less than 80%.

[Criteria continued on next page]

6.8.3 Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between program office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between program office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



10-30% difference between program office and independent cost estimate. Differences in assumptions and methodologies are resolvable.



More than 30% difference between program office and independent cost estimate. Differences in assumptions and methodologies are not resolvable. -OR- Independent cost estimate has not been accomplished.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

6.9.1 Test and Evaluation Master Plan (TEMP) is approved, current and aligns with the Acquisition Strategy and the Systems Engineering Plan (SEP).

- Test requirements are traceable to capability requirements and the current threat assessment.
- TEMP identifies Modeling and Simulation requirements and utilization.
- Key Performance Parameter (KPP), Key System Attribute (KSA), and other attribute objective and threshold values are testable and measurable.



TEMP is approved, current and aligns with the Acquisition Strategy and the SEP.



TEMP is approved, but updates are required.



TEMP is not approved.

6.9.2 Test and Evaluation (T&E) organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities no more than 60 days behind schedule; delays are not seriously impacting program execution activities.



T&E organizations are executing key test activities more than 60 days behind schedule; delays are seriously impacting program execution activities.

[Criteria continued on next page]

6.9.3 Test resource capabilities, including ranges, targets, facilities, manpower, services, joint assets, and other programs, have been assessed and can support planned test activities.

-  Test resource capabilities have been assessed and can support planned test activities.
-  Test resource capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  Test resource capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

6.9.4 Test and Evaluation (T&E) costs have been identified and are included in program cost estimates.

-  T&E costs have been identified and are included in program cost estimates.
-  T&E costs have been identified, but are not included in program cost estimates.
-  T&E costs have not been identified.

6.9.5 Deficiency identification and tracking system accurately displays the current status on the resolution of deficiencies identified during testing prior to Initial Operational Test and Evaluation (IOT&E).

-  Deficiency identification and tracking system is current and accurately reports status of resolution to support IOT&E.
-  Deficiency identification and tracking system has been established; status of resolution to support IOT&E is planned to be complete within 60 days.
-  Deficiency identification and tracking system has not been established. –OR– Status of resolution to support IOT&E will not be updated within 60 days.

[Criteria continued on next page]

6.9.6 Major deficiencies and Operational Test Agency (OTA) recommendations identified in Initial Operational Test and Evaluation (IOT&E) and Follow-on Operational Test and Evaluation (FOT&E) reports are available for review. This includes the approval of the dispensation of those deficiencies that the program recommends taking no action to correct, or reassigned to another developing activity due to System of Systems (SoS) interfaces and compatibility.



Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are resolved.



Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are funded and in work to be resolved.



Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are not being resolved and there is no plan to determine dispensation of the major deficiencies.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

6.10.1 All Critical Technology Elements (CTEs) required to support the capabilities in the Capability Development Document (CDD) are at Technology Readiness Level (TRL) 6 or above; or if any CTE is below TRL 6, a substitute mature technology is available that meets the user's needs.



All CTEs required to support the capabilities in the CDD are at TRL 6 or above; or if any CTE is below TRL 6, a substitute mature technology is available that meets the user's needs.



One or more of the CTEs is at TRL 5 (but none is below); no substitute mature technology is available that meets the user's needs.



Any of the program's CTEs are at TRL 4 or lower and there are no substitute mature technologies.

6.10.2 Latest testing/analysis results are being addressed and fed back into the Technology Development Strategy (TDS).



Latest testing/analysis results are being addressed and fed back into the TDS.

[No Yellow Criteria]



Latest testing/analysis results are not being addressed and fed back into the TDS.

[Criteria continued on next page]

6.10.3 Technology Integrated Product Team (IPT) is executing chartered responsibilities on or ahead of schedule.

-  Technology IPT is executing chartered responsibilities on or ahead of schedule.
-  Technology IPT is executing chartered responsibilities no more than 30 days behind schedule; delays are not affecting program execution.
-  Technology IPT is executing chartered responsibilities more than 30 days behind schedule; delays are affecting program execution. –OR– Technology IPT has not been formed.

6.10.4 Technical baseline for preferred system concepts is stable.

-  Technical baseline for preferred system concepts is stable.
-  Technical baseline for preferred system concepts is unstable, but is not impacting program execution.
-  Technical baseline for preferred system concepts is very unstable and is impacting program execution.

6.10.5 Required elements to manufacture and produce the end item (to include drawing releases, parts obsolescence, resource planning, tooling and test equipment capacity, manpower requirements, facility capacity, schedule status, quality assurance, supply inventories, material lead times, etc.) are known, understood and available.

-  Required elements to manufacture and produce the end item are known, understood and available.
-  Required elements to manufacture and produce the end item have known risks, but risks are understood and mitigation strategies are being executed.
-  Significant manufacturing risks exists; no mitigation strategies are being executed.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key sustainment planning activities.

SUSTAINMENT CRITERIA

6.11.1 Sustainment Plan is approved and aligns with the Capability Development Document (CDD) and the Acquisition Strategy. Life Cycle Business Case Analysis (BCA) for the Sustainment Plan [i.e. Performance Based Logistics (PBL)] is valid. Government and industry roles are defined. Initial Operational Capability (IOC) is defined.

-  Sustainment Plan is approved and aligns with the CDD and the Acquisition Strategy.
-  Sustainment Plan is approved, but updates are required.
-  Sustainment Plan is not approved.

6.11.2 Organizations are executing key Sustainment activities [e.g., requirements tracking and verification, environmental planning [including National Environmental Policy Act (NEPA)/Executive Order (EO) 12114 documentation, input to design specifications, test plans/procedures, inspection plans, maintenance concepts, and Total System Support Package] on or ahead of schedule.

-  Organizations are executing key Sustainment activities on or ahead of schedule.
-  Organizations are executing key Sustainment activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.
-  Organizations are executing key Sustainment activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

[Criteria continued on next page]

6.11.3 Logistics and Sustainment capabilities have been assessed [Independent Logistics Assessment (ILA), Risk Management Process, training, facilities, and other] and can support planned Sustainment activities. Assessments of cost, schedule, and technical risks include consideration of Life Cycle cost and supportability performance. Environment, Safety and Occupational Health (ESOH) hazards and their associated risks are assessed and tracked.

-  Logistics and Sustainment capabilities have been assessed and can support planned Sustainment activities.
-  Logistics and Sustainment capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  Logistics and Sustainment capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

6.11.4 Sustainment costs have been identified and included in program cost estimates.

-  Sustainment costs have been identified and included in program cost estimates.
-  Sustainment costs have been identified, but are not included in program cost estimates.
-  Sustainment costs have not been identified.

6.11.5 Analyses indicate that Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes can be attained.

-  Analyses indicate that Sustainment KPPs, KSAs, and other attributes can be attained.
-  One or more Sustainment KPPs/KSAs are below threshold values; risks to achieving KPP/KSA threshold values have been identified and are being managed.
-  One or more Sustainment KPPs/KSAs failed to meet threshold values. Risks to achieving KPP/KSA threshold values have not been identified and/or are not being properly managed.

[Criteria continued on next page]

6.11.6 Approved plan exists to procure support resources (technical data, spares, test equipment/data/procedures, etc.) for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan.

-  Approved plan exists to procure support resources for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan.
-  Plan to procure support resources for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan is being developed.
-  Plan to procure support resources for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan is not being developed.

6.11.7 Joint Capabilities Integration and Development System (JCIDS) required supportability related plans (e.g., maintenance plan, design for supportability, etc.) are complete, current and valid.

-  JCIDS required supportability related plans are complete, current and valid.
-  There are some content-related issues with JCIDS required supportability related plans, but revision is in work.
-  JCIDS required supportability related plans are invalid and no revision is in work.

6.11.8 All key areas of the Sustainment Plan [including Maintenance Planning, Supply Support, Technical Data, Computer Resources Report, Package Handling Storage and Transportation (PHS&T), Manpower and Personnel, Support Equipment, Training and Training Support, Facilities, Environment, Safety and Occupational Health (ESOH), and Design Interface] have been assessed and can support planned Sustainment activities.

-  All key areas of the Sustainment Plan have been assessed and can support planned Sustainment activities.
-  All key areas of the Sustainment Plan have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  All key areas of the Sustainment Plan have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

6.12.1 Size baseline has been established using either Equivalent Source Lines of Code (ESLOC), Function Points (FP), or requirements and identifies acceptable variations over time.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

6.12.2 A process to collect and assess size metric has been established and is being used.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

6.12.3 Contract modifications are traced to size.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

SOFTWARE CRITERIA: ORGANIZATION

6.12.4 Organization metrics baselines are established including software staff labor hours, needed or fulfilled training, and key software personnel turnover (gain/loss).

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

6.12.5 Process is executing, collecting and assessing the metrics, comparing actuals vs. planned trend lines, and identifying and communicating risk.

- **Predicted trend lines are established for: hours per sampling period, training completed, and key software personnel arrivals and departures.**
- **Software organization Metrics definitions and actuals include starting points of activities and tasks.**
- **Software organization Metrics are sensitive enough to highlight risk issues such as: lack of training, lack of skilled software staff, key software personnel are late (compared to task start) or experiencing high turnover rate.**

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: COST/SCHEDULE

6.12.6 Software cost and schedule baselines have been developed and acceptable variances have been identified.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

6.12.7 Software is reflected in Work Breakdown Structure (WBS)/Earned Value Management System (EVMS)/equivalent artifacts in sufficient detail to trace to cost and schedule elements.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

6.12.8 Acceptable software quality definitions (e.g., defect, class of defects) and boundaries {including defect “density” [e.g., defects per Source Lines of Code (SLOC), defects per unit, defects per interface]} have been established and agreed between acquirer and developer.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

6.12.9 Software quality baselines have been identified and agreed between acquirer and developer.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

6.12.10 Process to collect and assess quality Metric has been established and is being used.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Criteria continued on next page]

6.12.11 Process for defect remediation has been developed (if appropriate, accounts for builds at differing maturities with potentially different classes of defects).



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors⁷⁶ as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

This Criteria will be used to assess EACH contractor's performance separately.

6.13.1 [For contracts using the Earned Value Management System (EVMS)]⁷⁷:

Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the To Complete Performance Index (TCPI) based on the contractor's Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by less than 5%. Cumulative SPI and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points lie between 0.90 and 0.95.



Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points lie below 0.90. –OR– No EVMS data due program re-baseline since last report.

[Criteria continued on next page]

⁷⁶ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

⁷⁷ Criteria 6.13.1 is applicable for contracts using EVMS; if EVMS is not being used, then select the "N/A" grade for Criteria 6.13.1 and select the appropriate Green/Yellow/Red grade for Criteria 6.13.2.

6.13.2 [For contracts that are not using the Earned Value Management System (EVMS)]⁷⁸: Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.

-  Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.
-  Contractor has missed a schedule milestone, but is meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by 5-10%.
-  Contractor has missed a schedule milestone and is not meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by more than 10%.

6.13.3 All Contractor Performance Assessment Report (CPAR)/Informal Performance Assessment Report (IPAR) Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, Program Manager (PM) subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.

-  All CPAR/IPAR Factor ratings are Green or above, and Contractor is at 90% (or above) of award / incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.
-  Some CPAR/IPAR Factor ratings are Yellow (with no more than one Red Factor rating), and/or Contractor is at 80-89% of possible award / incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Yellow.
-  Some CPAR/IPAR Factor ratings are Yellow (with two or more Red Factor ratings); or Contractor is below 80% of possible award / incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR Factor categories would have met Criteria for Red.

[Criteria continued on next page]

⁷⁸ Criteria 6.13.2 is applicable for contracts NOT using EVMS; if EVMS is being used, then select the “N/A” grade for Criteria 6.13.2 and select the appropriate Green/Yellow/Red grade for Criteria 6.13.1.

6.13.4 Contractor is properly staffed (in terms of availability, skills, experience, and certifications) to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

-  Contractor is properly staffed to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.
-  Contractor has some manning issues, but issues are not affecting program activities. Actual contractor executing manning levels deviate 5-10% from current staffing plan.
-  Contractor has significant manning issues that are affecting program activities. Actual contractor executing manning levels deviate more than 10% from current staffing plan.

6.13.5 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

-  Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.
-  Contractor is executing with 5-10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by no more than 30 days.
-  Contractor is executing with more than 10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by more than 30 days.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
Program Planning/Execution

GOVERNMENT PROGRAM OFFICE PERFORMANCE

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

6.14.1 Intra-government requirements {e.g., Government Furnished Equipment (GFE), Government Furnished Information (GFI), PM agreements, Technology Transfer Agreements, Enterprise [Naval Aviation Enterprise (NAE), Surface Warfare Enterprise (SWE), Naval Facilities Engineering Command (NAVFAC), etc.] and SYSCOM Customer Service Agreements} have been defined and are being executed according to plan.



Intra-government requirements have been defined and are being executed according to plan.



Intra-government requirements have been defined, but are being executed behind schedule.



Intra-government requirements have not been defined.

6.14.2 Government facilities are available in accordance with scheduled requirements.



Government facilities are available in accordance with scheduled requirements.



Some schedule, maintainability and/or availability issues exist with regards to Government facilities, but issues are not affecting contract execution.



Significant schedule, maintainability and/or availability issues exist with regards to the delivery of Government facilities that are affecting contract execution.

[Criteria continued on next page]

6.14.3 Program Office releases funding to contractor(s) to maintain execution of the contract schedule.

-  Program Office releases funding to the contractor to maintain execution of the contract schedule.
-  Program Office releases funding late to the contractor, but not affecting contract execution.
-  Program Office releases funding late to the contractor and is affecting contract execution.

6.14.4 Government responds to deliverable submissions by due date [e.g., technical inquiries, review of Contract Data Requirements List (CDRL) items (to include review/approval of engineering drawings, contractor questions, etc.)].

-  Government responds to deliverable submissions by due date.
-  Less than 10% of responses to deliverable submissions are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of responses to deliverable submissions are overdue by more than 30 days; late responses are affecting contract execution.

6.14.5 Government Furnished Equipment (GFE) is being delivered in accordance with scheduled requirements.

-  GFE is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFE is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFE is overdue by more than 30 days; late delivery is affecting contract execution.

6.14.6 Government Furnished Information (GFI) is being delivered in accordance with scheduled requirements.

-  GFI is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFI is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFI is overdue by more than 30 days; late delivery is affecting contract execution.

[Criteria continued on next page]

6.14.7 Government Configuration Control Board (CCB) has been established and is responsive to proposed changes [e.g., Engineering Change Proposals (as applicable), deviation, waivers, or temporary modifications].



Government CCB is responsive to proposed changes.



Less than 10% of CCB responses to proposed changes are overdue by more than 30 days; late responses are not affecting contract execution.



10% (or more) of CCB responses to proposed changes are overdue by more than 30 days; late responses are affecting contract execution. –OR– CCB has not been established.

6.14.8 Risk Management Board (RMB) has been established to identify, categorize, and mitigate risks. Risks are being mitigated per established timelines and are not being realized as issues.



Risks are being mitigated per established timelines and are not being realized as issues.



Risks mitigation timelines have slipped, but are not manifesting as issues.



Risks have manifested as issues. –OR– RMB has not been established.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

6.15.1 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

6.15.2 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 6 \(Post IBR\) Directory](#)

Gate 6 (Post IBR)
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)⁷⁹
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners⁸⁰
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services⁸¹

⁷⁹ Each OSD stakeholder is assessed individually.

⁸⁰ Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

⁸¹ Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

6.16.1 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

6.16.2 OSD Advocacy⁸²

6.16.2.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

⁸² OSD stakeholders are assessed individually in Criteria 6.16.2.1-6.16.2.5 below.

6.16.2.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.2.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

6.16.2.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.2.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

6.16.3 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.4 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

6.16.5 International Partners Advocacy⁸³

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

6.16.6 Other Services Advocacy⁸⁴

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 6 \(Post IBR\) Directory](#)

⁸³ Criteria 6.16.5 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

⁸⁴ Criteria 6.16.6 is only required for Joint programs. If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

Gate 6 (Post IBR)
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

Note: The Interdependencies Criteria assessment should reflect the most current OSD DAES Report for the program. The following OSD DAES definitions apply:

Interoperability (I) Ratings:

- Synchronization - PM for the program under review will provide an assessment (Green, Yellow or Red color in I-box) of the synchronization of this program with the needs of his program. In other words, whether the dependant program is on track to deliver the quantity required on the scheduled required.
- Criticality – PM for the program under review will provide an assessment (a number in the I-box) of its importance to your program meeting the capabilities identified in the CONOPS/CDD and articulated in the Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other performance attributes.
- The following terms of reference will be used:
 - 1= Crucial Interdependency
 - Program cannot achieve capabilities articulated in the CONOPS/CDD without the related capability provided by this program.
 - 2= Significant Interdependency
 - Program full realization of capabilities identified in CONOPS will be diminished but all CDD threshold capabilities will be met.
 - 3= Enabling Interdependency
 - While programs are related and complementary, failure to deliver this program does not substantially impact the ability of the program under review to deliver the documented capabilities.

INTERDEPENDENCIES CRITERIA

6.17.1 [Based on OSD DAES]: All Crucial (1) interoperability ratings are Green. All Significant (2) interoperability ratings are Green. Less than 10% of Enabling (3) interoperability ratings are Yellow. No Red ratings. –OR– If OSD DAES data is not a reporting requirement, Program Manager (PM) subjective evaluation using Interoperability rating definitions would have met Criteria for Green.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): All interoperability ratings are Green.
- Enabling (3): Less than 10% of interoperability ratings are Yellow. No Red ratings.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): No more than 10% of interoperability ratings are Yellow. No Red ratings.
- Enabling (3): 10-50% of interoperability ratings are Yellow. No more than 20% of interoperability ratings are Red.



- Crucial (1): One or more interoperability ratings is Yellow or Red.
- Significant (2): More than 10% of interoperability ratings are Yellow. –OR– One or more Red interoperability ratings.
- Enabling (3): More than 50% of interoperability ratings are Yellow. –OR– More than 20% of interoperability ratings are Red.

[Back to Gate 6 \(Post IBR\) Directory](#)

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Gate 6 (Post CDR) Naval PoPS Criteria



**GATE 6 (POST CDR)
METRIC CRITERIA DIRECTORY**

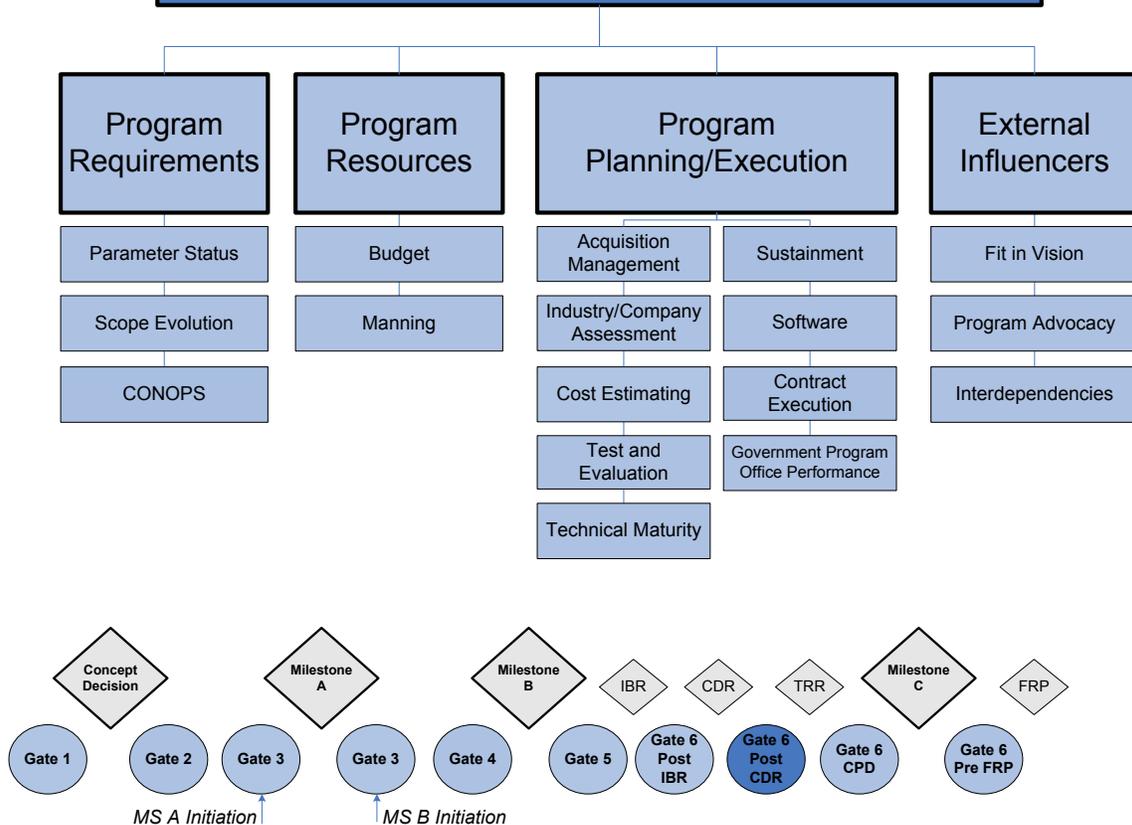
Program Requirements	
Parameter Status	265
Scope Evolution	268
CONOPS	269
Program Resources	
Budget	270
Manning.....	271
Program Planning/Execution	
Acquisition Management	273
Industry/Company Assessment.....	274
Cost Estimating.....	277
Test and Evaluation	279
Technical Maturity	282
Sustainment	284
Software.....	287
Contract Execution	290
Government Program Office Performance.....	293
External Influencers	
Fit in Vision	296
Program Advocacy	297
Interdependencies	303

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 6 (Post CDR)

Begin Use	Completion of Critical Design Review (CDR) in preparation for Test Readiness Review (TRR)
End Use	Completion of TRR or beginning of preparation for Gate 6 CPD (whichever comes first)
Assessment and/or Briefing Responsibility	PM/Cognizant PEO
Associated Files	Gate 6 Post CDR_POPS CRITERIA_MMDDYY_v1.xls Gate 6 Post CDR_POPS VISUALS_MMDDYY_v1.xls Gate 6 Post CDR_POPS BRIEF_MMDDYY_v1.ppt

Naval PoPS Gate 6

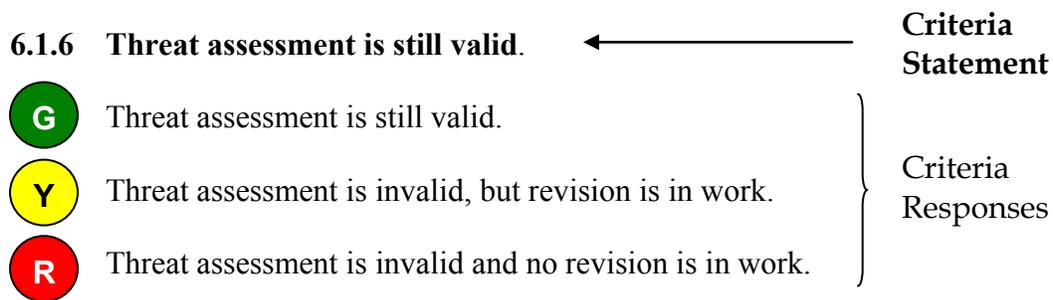


NAVAL POPS GATE 6 (POST CDR)

Gate 6 (Post CDR) Criteria

This section contains the required Gate 6 (Post CDR) Program Health Assessment Criteria. The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 6 (Post CDR). The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

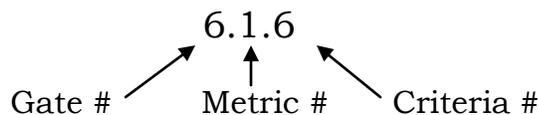
Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).



Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



Gate 6 (Post CDR)
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

6.1.6 Threat assessment is valid and Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes are still applicable.



Threat assessment is valid and KPPs, KSAs, and other attributes are still applicable.



Threat assessment is invalid, but revision is in work. KPPs/KSAs/other attributes may require adjustments.



Threat assessment is invalid and no revision is in work. KPPs/KSAs/other attributes require adjustments.

6.1.7 Current analyses show all Capability Development Document (CDD)-based Key Performance Parameter (KPP), Key System Attribute (KSA)/other attribute threshold values will be met, and the system will be operationally effective and suitable. Cost drivers have been identified/updated as required.



Current analyses show all CDD-based KPP/KSA/other attribute threshold values will be met, and the system will be operationally effective and suitable. Cost drivers have been identified/updated as required.



Current analyses show all CDD-based KPP/KSA/other attribute threshold values will be met, but the system will not be operationally effective or suitable. Cost drivers are being identified/updated as required.



Unable to achieve all CDD-based KPP/KSA/other attribute threshold values as evaluated during analyses. System will not be operationally effective or suitable. Cost drivers are not being identified/updated as required.

[Criteria continued on next page]

6.1.8 Relief to Capability Development Document (CDD)-based Key Performance Parameters (KPPs), Key System Attributes (KSAs)/other attributes has been identified to inform the CPD.



Relief to CDD-based KPPs/KSAs/other attributes has been identified to inform the CPD.



Relief to CDD-based KPPs/KSAs/other attributes is being identified to inform the CPD.



Relief to CDD-based KPPs/KSAs/other attributes is not being identified.

6.1.9 Requirements Traceability Matrix (RTM) is complete and aligns with all Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attributes [as well as the System Design Specification (SDS)]. All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is complete and aligns with all KPPs/KSAs/other attributes (as well as SDS). All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is complete and somewhat aligns with KPPs/KSAs/other attributes (as well as the SDS). Two or three of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.



RTM is not complete –OR- RTM does not align with KPPs/KSAs/other attributes (or the SDS). Less than two of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.

[Criteria continued on next page]

6.1.10 Required architectural descriptions/views⁸⁵ of the system capabilities have been completed and are Department of Defense Architecture Framework (DODAF) compliant.



Required architectural descriptions/views of the system capabilities have been completed and are DODAF compliant.



Required architectural descriptions/views of the system capabilities have been developed, but some revision required.



Required architectural descriptions/views of the system capabilities have been developed, but require significant revision/are not DODAF compliant.

[Back to Gate 6 \(Post CDR\) Directory](#)

⁸⁵ Reference CJCSI 3170.01F, CJCSI 6212.01D, and DoDI 4630.8.

Gate 6 (Post CDR)
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

6.2.3 No Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes (scope or quantity) from previous Gate Review.

-  No KPP/KSA/other attribute changes from previous Gate Review.
-  Minor KPP/KSA/other attribute changes from previous Gate Review; capability trending downward from previously dictated levels.
-  Significant KPP/KSA/other attribute changes from previous Gate Review; capability decrease below threshold or previously dictated levels.

6.2.4 Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes from previous Gate Review have little/no impact on program cost [less than 2% cost growth within one year or over Future Years Defense Program (FYDP)] or on program schedule (less than 3 month schedule increase).

-  KPP/KSA/other attribute changes from previous Gate Review have little/no impact on program cost (less than 2% cost growth within one year or over FYDP) or on program schedule (less than 3 month schedule increase).
-  KPP/KSA/other attribute changes from previous Gate Review have moderate impact on program cost (2-3% cost growth within one year or over FYDP) or on program schedule (3-6 month schedule increase).
-  KPP/KSA/other attribute changes from previous Gate Review have significant impact on program cost (>3% cost growth within one year or over FYDP) or on program schedule (>6 month schedule increase).

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

6.3.2 Concept of Operations (CONOPS) is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is invalid, but revision is in work.



CONOPS is invalid and no revision is in work.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

6.4.3 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.

6.4.4 Funding, based on current cost estimate, is POMed across the Future Years Defense Program (FYDP). Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. Program is funded to 30-45% probability on the S-Curve.



Funding has NOT been approved/POMed across the FYDP. –OR– Existing/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. Program is funded to < 30% probability on the S-Curve.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

6.5.2 Based on the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) negotiated staffing agreement, staffing is stable and adequate (in terms of availability, skills, experience, and certifications) to execute program activities. Note: Key Program Office positions include Program Manager (PM), Engineer, Logistics, Test and Evaluation (T&E), Contract Management, Budget and Financial Management, Cost Analysis, Depots/Centers, and Requirements Officer.



Staffing is stable and adequate to execute program activities.

- At least 90% of Program Office authorized/funded billets are filled.
- Key Program Office positions are stable (the most recent key personnel change was more than 3 months ago and no changes are planned within the next 3 months).
- At least 50% of the key leaders have been with the program for more than one year.
- At least 90% of all program staff members are personnel possessing at least the required level of Defense Acquisition Workforce Improvement Act (DAWIA) certification and training.
- Program Manager (PM) and Deputy Program Manager (DPM) have met the statutory training requirements for their positions.
- Manning deficiencies (if any) have been identified and are being mitigated.

[Criteria continued on next page]



Some staffing instability and/or inadequacy exists, but it will not affect the ability to execute program activities.

- 80-89% of Program Office authorized/funded billets are filled.
- Key Program Office positions have some movement volatility [one key personnel change has been made within the past 3 months or is projected within the next 3 months. NOTE: If 2 or more key personnel changes have occurred within the last 6 months, then this Metric rating is reduced to Red (see below)].
- At least 50% of the key leaders have been with the program for 6 months – 1 year.
- 80-89% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Either the PM or the DPM has met the statutory training requirements for his/her position.
- Manning deficiencies and associated mitigation strategies are being identified.



Staffing is unstable and/or inadequate to execute program activities.

- Less than 80% of all Program Office authorized/funded billets are filled.
- Key Program Office positions have significant movement volatility (two or more key personnel changes have been made within the last 6 months, or two or more changes are forecast within the next 6 months).
- Over 50% of the key leaders have been with the program for less than 6 months.
- Less than 80% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Neither the PM nor the DPM have met the statutory training requirements for their positions.
- Critical manning deficiencies have been identified, but mitigation strategies do not exist.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS) and milestone documentation development.

ACQUISITION MANAGEMENT CRITERIA

6.6.3 Integrated Master Schedule (IMS) is current and includes all critical path activities. Key stakeholders have reviewed the IMS and have determined that it is realistic and achievable based on planned activities.



IMS is current and includes all critical path activities. Key stakeholders have reviewed the IMS and have determined that it is realistic and achievable based on planned activities.



IMS has been developed and reviewed by key stakeholders; required revisions are in work to ensure that the IMS is realistic, achievable, and includes all critical path activities.



IMS has not been developed. –OR– Significant revisions are required but are not in work.

6.6.4 Milestone documentation⁸⁶ development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet the Milestone C Decision Date.



Milestone documentation development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet the Milestone C Decision Date.



Milestone documentation draft content requires revision; one or more required documents *may* impact the ability to meet the Milestone C Decision Date.



Milestone documentation draft content requires significant revision; one or more required documents *will* impact the ability to meet the Milestone C Decision Date.

[Back to Gate 6 \(Post CDR\) Directory](#)

⁸⁶ Reference SECNAV INSTRUCTION 5000.2C for required milestone documentation.

Gate 6 (Post CDR)
Program Planning/Execution

INDUSTRY/COMPANY ASSESSMENT

INDUSTRY/COMPANY ASSESSMENT: For major contracts,⁸⁷ the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the Program, etc.

COMPANY ASSESSMENT CRITERIA

This Criteria will be used to assess EACH company/contractor separately.

6.7.11 Company's financial health is strong [Price-Earnings (PE) ratio, accounting records]; stable or trending upward.



Strong financial health; stable or trending upward.



Moderate financial health; stable or trending upward.



Poor financial health. –OR– Moderate financial health, but trending downward.

6.7.12 Company's manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).



Manpower resources are stable and adequate.



Manpower resources are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.



Manpower resources are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

⁸⁷ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

6.7.13 Company demonstrates strong commitment to/management of supply chain [e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000].

-  Strong commitment to/management of supply chain.
-  Some issues exist with commitment to/management of supply chain, but issues are resolvable and corrective actions have been initiated.
-  Significant issues exist with commitment to/management of supply chain that are affecting program execution and issues are not being resolved.

6.7.14 Program is aligned with core business unit.

-  Program is aligned with core business unit.
-  Program is somewhat aligned with core business unit.
-  Program is not aligned with core business unit.

6.7.15 Company has not been on the “No Buy” List in the past five years.

-  Company has not been on the “No Buy” List in the past five years.
-  Company has been on the “No Buy” List in the past five years, but is not currently on the list.
-  Company is currently on the “No Buy” List.

6.7.16 Company’s facility/manufacturing/production capabilities and available capacity are adequate.

-  Facility/manufacturing/production capabilities and available capacity are adequate.
-  Facility/manufacturing/production capabilities and available capacity are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Facility/manufacturing/production capabilities and available capacity are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

6.7.17 Senior financial influencers at the corporate level demonstrate high commitment to the program.

 Senior financial influencers at corporate level demonstrate high commitment to the program.

 Senior financial influencers at corporate level demonstrate moderate commitment to the program.

 Senior financial influencers at corporate level demonstrate little/no commitment to the program.

6.7.18 Senior executives at the corporate level demonstrate high commitment to the program.

 Senior executives at corporate level demonstrate high commitment to the program.

 Senior executives at corporate level demonstrate moderate commitment to the program.

 Senior executives at corporate level demonstrate little/no commitment to the program.

6.7.19 Company performance is strong across all current work (outside of contract with the program).

 Company performance is strong across all current work.

 Company performance is weak in one or two current work engagements.

 Company performance is weak in three or more current work engagements.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

6.8.4 Cost estimating activities are on or ahead of schedule. Appropriate technical authorities and stakeholders are involved to ensure total ownership cost implications are being addressed and are aligned with Capability Development Document (CDD)/(draft) Capability Production Document (CPD)/Acquisition Program Baseline (APB) assumptions.



Cost estimating activities are on or ahead of schedule.



Cost estimating activities are behind schedule, but delays are not impacting program planning/execution.



Cost estimating activities are behind schedule and delays are impacting program planning/execution.

6.8.5 Current cost estimate confidence level is above 95%.



Current cost estimate confidence level is above 95%.



Current cost estimate confidence level is between 80-95%.



Current cost estimate confidence level is less than 80%.

[Criteria continued on next page]

6.8.6 Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between program office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between program office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



10-30% difference between program office and independent cost estimate. Differences in assumptions and methodologies are resolvable.



More than 30% difference between program office and independent cost estimate. Differences in assumptions and methodologies are not resolvable -OR- independent cost estimate has not been accomplished.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

6.9.7 Test and Evaluation Master Plan (TEMP) is approved, current and aligns with the Acquisition Strategy and the Systems Engineering Plan (SEP).

- Test requirements are traceable to capability requirements and the current threat assessment.
- TEMP identifies Modeling and Simulation requirements and utilization.
- Key Performance Parameter (KPP), Key System Attribute (KSA), and other attribute objective and threshold values are testable and measurable.



TEMP is approved, current and aligns with the Acquisition Strategy and the SEP.



TEMP is approved, but updates are required.



TEMP is not approved.

6.9.8 Test and Evaluation (T&E) organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities on or ahead of schedule.



T&E organizations are executing key test activities no more than 60 days behind schedule; delays are not seriously impacting program execution activities.



T&E organizations are executing key test activities more than 60 days behind schedule; delays are seriously impacting program execution activities.

[Criteria continued on next page]

6.9.9 Test resource capabilities, including ranges, targets, facilities, manpower, services, joint assets, and other programs, have been assessed and can support planned test activities.

-  Test resource capabilities have been assessed and can support planned test activities.
-  Test resource capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  Test resource capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

6.9.10 Test and Evaluation (T&E) costs have been identified and are included in program cost estimates.

-  T&E costs have been identified and are included in program cost estimates.
-  T&E costs have been identified, but are not included in program cost estimates.
-  T&E costs have not been identified.

6.9.11 Deficiency identification and tracking system accurately displays the current status on the resolution of deficiencies identified during testing prior to Initial Operational Test and Evaluation (IOT&E).

-  Deficiency identification and tracking system is current and accurately reports status of resolution to support IOT&E.
-  Deficiency identification and tracking system has been established; status of resolution to support IOT&E is planned to be complete within 60 days.
-  Deficiency identification and tracking system has not been established. –OR– Status of resolution to support IOT&E will not be updated within 60 days.

[Criteria continued on next page]

6.9.12 Major deficiencies and Operational Test Agency (OTA) recommendations identified in Initial Operational Test and Evaluation (IOT&E) and Follow-on Operational Test and Evaluation (FOT&E) reports are available for review. This includes the approval of the dispensation of those deficiencies that the program recommends taking no action to correct, or reassigned to another developing activity due to System of Systems (SoS) interfaces and compatibility.

-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are resolved.
-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are funded and in work to be resolved.
-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are not being resolved and there is no plan to determine dispensation of the major deficiencies.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

6.10.6 All Critical Technology Elements (CTEs) required to support the capabilities in the Capability Development Document (CDD)/Capability Production Document (CPD) are at Technology Readiness Level (TRL) 7 or above; or if any CTE is below TRL 7, a substitute mature technology is available that meets the user's needs.



All CTEs required to support the capabilities in the CDD/CPD are at TRL 7 or above; or if any CTE is below TRL 7, a substitute mature technology is available that meets the user's needs.



One or more of the program's CTEs is at TRL 6 (but none is below). No substitute mature technology is available that meets the user's needs. Program is on track to have all CTEs at TRL 8 by the Milestone C decision.



One or more of the program's CTEs is below TRL 6, and there are no substitute mature technologies that meets the user's needs, regardless of the existence of a Technology Maturation Plan (TMP).

6.10.7 Latest testing/analysis results are being addressed and fed back into the Technology Development Strategy (TDS).



Latest testing/analysis results are being addressed and fed back into the TDS.

[No Yellow Criteria]



Latest testing/analysis results are not being addressed and fed back into the TDS.

[Criteria continued on next page]

6.10.8 Technology Integrated Product Team (IPT) is executing chartered responsibilities on or ahead of schedule.

-  Technology IPT is executing chartered responsibilities on or ahead of schedule.
-  Technology IPT is executing chartered responsibilities no more than 30 days behind schedule; delays are not affecting program execution.
-  Technology IPT is executing chartered responsibilities more than 30 days behind schedule; delays are affecting program execution. –OR– Technology IPT has not been formed.

6.10.9 Technical baseline for preferred system concepts is stable.

-  Technical baseline for preferred system concepts is stable.
-  Technical baseline for preferred system concepts is unstable, but is not impacting program execution.
-  Technical baseline for preferred system concepts is very unstable and is impacting program execution.

6.10.10 Required elements to manufacture and produce the end item (to include drawing releases, parts obsolescence, resource planning, tooling and test equipment capacity, manpower requirements, facility capacity, schedule status, quality assurance, supply inventories, material lead times, etc.) are known, understood and available.

-  Required elements to manufacture and produce the end item are known, understood and available.
-  Required elements to manufacture and produce the end item have known risks, but risks are understood and mitigation strategies are being executed.
-  Significant manufacturing risks exists; no mitigation strategies are being executed.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key sustainment planning activities.

SUSTAINMENT CRITERIA

6.11.9 Sustainment Plan is approved and aligns with the Capability Development Document (CDD)/Capability Production Document (CPD) and the Acquisition Strategy. Life Cycle Business Case Analysis (BCA) for the Sustainment Plan [i.e. Performance Based Logistics (PBL)] is valid.

-  Sustainment Plan is approved and aligns with the CDD/CPD and the Acquisition Strategy.
-  Sustainment Plan is approved, but updates are required.
-  Sustainment Plan is not approved.

6.11.10 Organizations are executing key Sustainment activities {e.g., requirements tracking and verification, environmental planning [including National Environmental Policy Act (NEPA)/Executive Order (EO) 12114 documentation], input to design specifications, test plans/procedures, inspection plans, maintenance concepts, and Total System Support Package} on or ahead of schedule.

-  Organizations are executing key Sustainment activities on or ahead of schedule.
-  Organizations are executing key Sustainment activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.
-  Organizations are executing key Sustainment activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

[Criteria continued on next page]

6.11.11 Logistics and Sustainment capabilities have been assessed [Independent Logistics Assessment (ILA), Risk Management Process, training, facilities, and other] and can support planned Sustainment activities. Assessments of cost, schedule, and technical risks include consideration of Life Cycle cost and supportability performance. Environment, Safety and Occupational Health (ESOH) hazards and their associated risks are assessed and tracked.

-  Logistics and Sustainment capabilities have been assessed and can support planned Sustainment activities.
-  Logistics and Sustainment capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  Logistics and Sustainment capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

6.11.12 Sustainment costs have been identified and included in program cost estimates.

-  Sustainment costs have been identified and included in program cost estimates.
-  Sustainment costs have been identified, but are not included in program cost estimates.
-  Sustainment costs have not been identified.

6.11.13 Analyses indicate that Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes can be attained.

-  Analyses indicate that Sustainment KPPs, KSAs, and other attributes can be attained.
-  One or more Sustainment KPPs/KSAs are below threshold values; risks to achieving KPP/KSA threshold values have been identified and are being managed.
-  One or more Sustainment KPPs/KSAs failed to meet threshold values. Risks to achieving KPP/KSA threshold values have not been identified and/or are not being properly managed.

[Criteria continued on next page]

6.11.14 Approved plan exists to procure support resources (technical data, spares, test equipment/data/procedures, etc.) for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan.

-  Approved plan exists to procure support resources for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan.
-  Plan to procure support resources for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan is being developed.
-  Plan to procure support resources for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan is not being developed.

6.11.15 Joint Capabilities Integration and Development System (JCIDS) required supportability related plans (e.g., maintenance plan, design for supportability, etc.) are complete, current and valid.

-  JCIDS required supportability related plans are complete, current and valid.
-  There are some content-related issues with JCIDS required supportability related plans, but revision is in work.
-  JCIDS required supportability related plans are invalid and no revision is in work.

6.11.16 All key areas of the Sustainment Plan [including Maintenance Planning, Supply Support, Technical Data, Computer Resources Report, Package Handling Storage and Transportation (PHS&T), Manpower and Personnel, Support Equipment, Training and Training Support, Facilities, Environment, Safety and Occupational Health (ESOH), and Design Interface] have been assessed and can support planned Sustainment activities.

-  All key areas of the Sustainment Plan have been assessed and can support planned Sustainment activities.
-  All key areas of the Sustainment Plan have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  All key areas of the Sustainment Plan have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

6.12.12 Process to collect and assess size Metric is being used; size trending and actual vs. planned size are being tracked, analyzed and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

6.12.13 Size variations are within tolerance or justification and waiver has been approved.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: ORGANIZATION

6.12.14 Process to collect and assess organization Metric is being used; organization trend lines (hours per sampling period, training complete, and key software personnel arrivals and departures, comparing actuals vs. planned) are being tracked, analyzed, and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

6.12.15 Organization Metrics are within tolerance or justification and waiver has been approved.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: COST/SCHEDULE

6.12.16 Standard process to collect and assess cost/schedule Metric is being used; cost/schedule variances, trends and performance indices are being tracked, analyzed and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

6.12.17 Cost/schedule Metrics are within tolerance or justification and waiver has been approved.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

6.12.18 Standard process to collect and assess quality Metric is being used; quality variances, trends and performance indices are being tracked, analyzed and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

6.12.19 Quality Metrics are within tolerance or justification and waiver has been approved. Process for defect remediation is being used and defects have been eliminated to within acceptable limits.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors⁸⁸ as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

This Criteria will be used to assess EACH contractor's performance separately.

6.13.6 [For contracts using the Earned Value Management System (EVMS)]⁸⁹:

Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the To Complete Performance Index (TCPI) based on the contractor's Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by less than 5%. Cumulative SPI and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points lie between 0.90 and 0.95.



Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points lie below 0.90. –OR– No EVMS data due to program re-baseline since last report.

[Criteria continued on next page]

⁸⁸ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

⁸⁹ Criteria 6.13.6 is applicable for contracts using EVMS; if EVMS is not being used, then select the "N/A" grade for Criteria 6.13.6 and select the appropriate Green/Yellow/Red grade for Criteria 6.13.7.

6.13.7 [For contracts that are not using the Earned Value Management System (EVMS)]⁹⁰: Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.

-  Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.
-  Contractor has missed a schedule milestone, but is meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by 5-10%.
-  Contractor has missed a schedule milestone and is not meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by more than 10%.

6.13.8 All Contractor Performance Assessment Report (CPAR)/Informal Performance Assessment Report (IPAR) Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, Program Manager (PM) subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.

-  All CPAR/IPAR Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.
-  Some CPAR/IPAR Factor ratings are Yellow (with no more than one Red Factor rating), and/or Contractor is at 80-89% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Yellow.
-  Some CPAR/IPAR Factor ratings are Yellow (with two or more Red Factor ratings); or Contractor is below 80% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR Factor categories would have met Criteria for Red.

[Criteria continued on next page]

⁹⁰ Criteria 6.13.7 is applicable for contracts NOT using EVMS; if EVMS is being used, then select the “N/A” grade for Criteria 6.13.7 and select the appropriate Green/Yellow/Red grade for Criteria 6.13.6.

6.13.9 Contractor is properly staffed (in terms of availability, skills, experience, and certifications) to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

-  Contractor is properly staffed to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.
-  Contractor has some manning issues, but issues are not affecting program activities. Actual contractor executing manning levels deviate 5-10% from current staffing plan.
-  Contractor has significant manning issues that are affecting program activities. Actual contractor executing manning levels deviate more than 10% from current staffing plan.

6.13.10 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

-  Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.
-  Contractor is executing with 5-10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by no more than 30 days.
-  Contractor is executing with more than 10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by more than 30 days.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
Program Planning/Execution

GOVERNMENT PROGRAM OFFICE PERFORMANCE

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

6.14.9 Intra-government requirements {e.g., Government Furnished Equipment (GFE), Government Furnished Information (GFI), PM agreements, Technology Transfer Agreements, Enterprise [Naval Aviation Enterprise (NAE), Surface Warfare Enterprise (SWE), Naval Facilities Engineering Command (NAVFAC), etc.] and SYSCOM Customer Service Agreements} have been defined and are being executed according to plan.



Intra-government requirements have been defined and are being executed according to plan.



Intra-government requirements have been defined, but are being executed behind schedule.



Intra-government requirements have not been defined.

6.14.10 Government facilities are available in accordance with scheduled requirements.



Government facilities are available in accordance with scheduled requirements.



Some schedule, maintainability and/or availability issues exist with regards to Government facilities, but issues are not affecting contract execution.



Significant schedule, maintainability and/or availability issues exist with regards to the delivery of Government facilities that are affecting contract execution.

[Criteria continued on next page]

6.14.11 Program Office releases funding to contractor(s) to maintain execution of the contract schedule.

-  Program Office releases funding to the contractor to maintain execution of the contract schedule.
-  Program Office releases funding late to the contractor, but not affecting contract execution.
-  Program Office releases funding late to the contractor and is affecting contract execution.

6.14.12 Government responds to deliverable submissions by due date [e.g., technical inquiries, review of Contract Data Requirements List (CDRL) items (to include review/approval of engineering drawings, contractor questions, etc.)].

-  Government responds to deliverable submissions by due date.
-  Less than 10% of responses to deliverable submissions are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of responses to deliverable submissions are overdue by more than 30 days; late responses are affecting contract execution.

6.14.13 Government Furnished Equipment (GFE) is being delivered in accordance with scheduled requirements.

-  GFE is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFE is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFE is overdue by more than 30 days; late delivery is affecting contract execution.

6.14.14 Government Furnished Information (GFI) is being delivered in accordance with scheduled requirements.

-  GFI is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFI is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFI is overdue by more than 30 days; late delivery is affecting contract execution.

[Criteria continued on next page]

6.14.15 Government Configuration Control Board (CCB) has been established and is responsive to proposed changes [e.g., Engineering Change Proposals (as applicable), deviation, waivers, or temporary modifications].



Government CCB is responsive to proposed changes.



Less than 10% of CCB responses to proposed changes are overdue by more than 30 days; late responses are not affecting contract execution.



10% (or more) of CCB responses to proposed changes are overdue by more than 30 days; late responses are affecting contract execution. –OR– CCB has not been established.

6.14.16 Risk Management Board (RMB) has been established to identify, categorize, and mitigate risks. Risks are being mitigated per established timelines and are not being realized as issues.



Risks are being mitigated per established timelines and are not being realized as issues.



Risks mitigation timelines have slipped, but are not manifesting as issues.



Risks have manifested as issues. –OR– RMB has not been established.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

6.15.3 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

6.15.4 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 (Post CDR)
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)⁹¹
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners⁹²
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services⁹³

⁹¹ Each OSD stakeholder is assessed individually.

⁹² Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

⁹³ Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

6.16.7 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

6.16.8 OSD Advocacy⁹⁴

6.16.8.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

⁹⁴ OSD stakeholders are assessed individually in Criteria 6.16.8.1-6.16.8.5 below.

6.16.8.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.8.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

6.16.8.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.8.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

6.16.9 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.10 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

6.16.11 International Partners Advocacy⁹⁵

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

6.16.12 Other Services Advocacy⁹⁶

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 6 \(Post CDR\) Directory](#)

⁹⁵ Criteria 6.16.11 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

⁹⁶ Criteria 6.16.12 is only required for Joint programs. If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

Gate 6 (Post CDR)
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

Note: The Interdependencies Criteria assessment should reflect the most current OSD DAES Report for the program. The following OSD DAES definitions apply:

Interoperability (I) Ratings:

- Synchronization - PM for the program under review will provide an assessment (Green, Yellow or Red color in I-box) of the synchronization of this program with the needs of his program. In other words, whether the dependant program is on track to deliver the quantity required on the scheduled required.
- Criticality – PM for the program under review will provide an assessment (a number in the I-box) of its importance to your program meeting the capabilities identified in the CONOPS/CDD and articulated in the Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other performance attributes.
- The following terms of reference will be used:
 - 1= Crucial Interdependency
 - Program cannot achieve capabilities articulated in the CONOPS/CDD without the related capability provided by this program.
 - 2= Significant Interdependency
 - Program full realization of capabilities identified in CONOPS will be diminished but all CDD threshold capabilities will be met.
 - 3= Enabling Interdependency
 - While programs are related and complementary, failure to deliver this program does not substantially impact the ability of the program under review to deliver the documented capabilities.

INTERDEPENDENCIES CRITERIA

6.17.2 [Based on OSD DAES]: All Crucial (1) interoperability ratings are Green. All Significant (2) interoperability ratings are Green. Less than 10% of Enabling (3) interoperability ratings are Yellow. No Red ratings. –OR– If OSD DAES data is not a reporting requirement, Program Manager (PM) subjective evaluation using Interoperability rating definitions would have met Criteria for Green.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): All interoperability ratings are Green.
- Enabling (3): Less than 10% of interoperability ratings are Yellow. No Red ratings.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): No more than 10% of interoperability ratings are Yellow. No Red ratings.
- Enabling (3): 10-50% of interoperability ratings are Yellow. No more than 20% of interoperability ratings are Red.



- Crucial (1): One or more interoperability ratings is Yellow or Red.
- Significant (2): More than 10% of interoperability ratings are Yellow. –OR– One or more Red interoperability ratings.
- Enabling (3): More than 50% of interoperability ratings are Yellow. –OR– More than 20% of interoperability ratings are Red.

[Back to Gate 6 \(Post CDR\) Directory](#)

Gate 6 CPD Naval PoPS Criteria



**GATE 6 CPD
METRIC CRITERIA DIRECTORY**

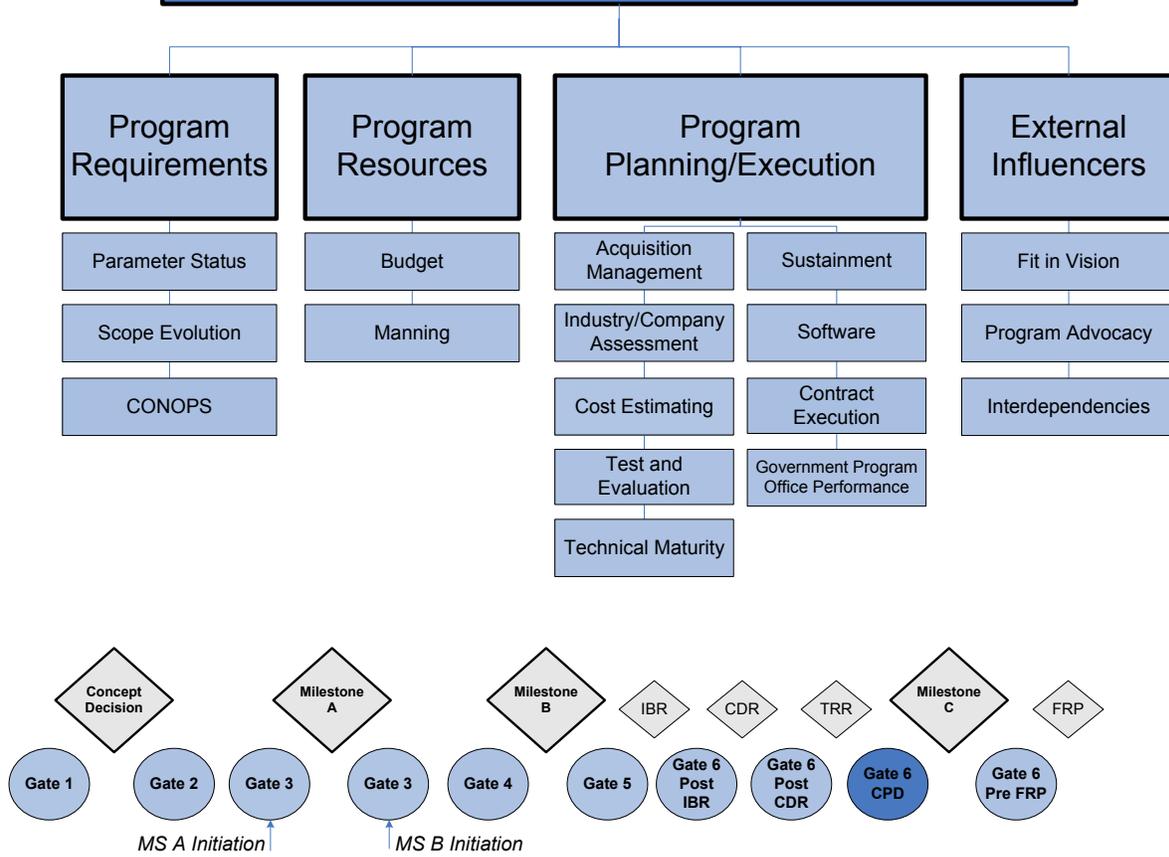
Program Requirements	
Parameter Status	309
Scope Evolution	312
CONOPS	313
Program Resources	
Budget	314
Manning.....	315
Program Planning/Execution	
Acquisition Management	317
Industry/Company Assessment.....	318
Cost Estimating.....	321
Test and Evaluation	323
Technical Maturity	326
Sustainment	328
Software.....	331
Contract Execution	334
Government Program Office Performance.....	337
External Influencers	
Fit in Vision	340
Program Advocacy	341
Interdependencies	347

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 6 CPD

Begin Use	Completion of Test Readiness Review (TRR) or beginning of preparation for Gate 6 CPD (whichever comes first)
End Use	Completion of Milestone C
Assessment and/or Briefing Responsibility	PM/Cognizant PEO
Associated Files	Gate 6 CPD_POPS CRITERIA_MMDDYY_v1.xls Gate 6 CPD_POPS VISUALS_MMDDYY_v1.xls Gate 6 CPD_POPS BRIEF_MMDDYY_v1.ppt

Naval PoPS Gate 6



NAVAL POPS GATE 6 CPD

Gate 6 CPD Criteria

This section contains the required Gate 6 CPD Program Health Assessment Criteria.⁹⁷ The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 6 CPD. The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).

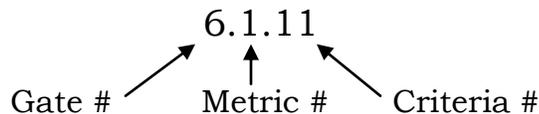
6.1.11 Threat assessment is still valid. ← **Criteria Statement**

G	Threat assessment is still valid.	} Criteria Responses
Y	Threat assessment is invalid, but revision is in work.	
R	Threat assessment is invalid and no revision is in work.	

Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



⁹⁷ This Criteria also applies to programs preparing for a Milestone C Review.

Gate 6 CPD
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

6.1.11 Threat assessment is valid and Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes are still applicable.

-  Threat assessment is valid and KPPs, KSAs, and other attributes are still applicable.
-  Threat assessment is invalid, but revision is in work. KPPs/KSAs/other attributes may require adjustments.
-  Threat assessment is invalid and no revision is in work. KPPs/KSAs/other attributes require adjustments.

6.1.12 No content related issues with the Capability Production Document (CPD); capabilities are clearly defined and understood. Critical comments from Navy/Marine Corps staffing have been adjudicated.

-  No content related issues with the CPD; capabilities are clearly defined and understood. Critical comments from Navy/Marine Corps staffing have been adjudicated.
-  Some content related issues with the CPD. Critical comments from Navy/Marine Corps staffing are being adjudicated.
-  Significant content related issues with the CPD. Critical comments from Navy/Marine Corps staffing are not being adjudicated.

[Criteria continued on next page]

6.1.13 Capability Production Document (CPD) capability descriptions are sufficient for the updating of all acquisition documents⁹⁸.

-  CPD capability descriptions are sufficient to support the updating of all acquisition documents.
-  CPD capability descriptions are being revised so that they are sufficient to support the updating of all acquisition documents.
-  CPD capability descriptions are not sufficient to support the updating of all acquisition documents and no revision is in work.

6.1.14 System test, Initial Operational Test and Evaluation (IOT&E), and field familiarization have verified that capability requirements have been met and that the system is ready for conditional operational use.

-  System test, IOT&E, and field familiarization have verified that capability requirements have been met and that the system is ready for conditional operational use.
-  System test, IOT&E, and field familiarization are being assessed to verify that capability requirements have been met and that the system is ready for conditional operational use.
-  System test, IOT&E, and field familiarization have verified that capability requirements have NOT been met and/or that the system is NOT ready for conditional operational use.

[Criteria continued on next page]

⁹⁸ Reference SECNAV INSTRUCTION 5000.2C for required acquisition documents.

6.1.15 Requirements Traceability Matrix (RTM) is complete and aligns with all Capability Production Document (CPD)-based Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other attributes [as well as the System Design Specification (SDS)]. All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.

 RTM is complete and aligns with all CPD-based KPPs/KSAs/other attributes (as well as the SDS). All of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.

 RTM is complete and somewhat aligns with CPD-based KPPs/KSAs/other attributes (as well as the SDS). Two or three of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.

 RTM is not complete –OR- RTM does not align with CPD-based KPPs/KSAs/other attributes (or the SDS). Less than two of the following areas are traceable to the allocated system and sub-system requirements: technical performance measures, contractual requirements, maturity indicators, and acceptance Criteria.

6.1.16 Required architectural descriptions/views⁹⁹ of the system capabilities have been completed and are Department of Defense Architecture Framework (DODAF) compliant.

 Required architectural descriptions/views of the system capabilities have been completed and are DODAF compliant.

 Required architectural descriptions/views of the system capabilities have been developed, but some revision required.

 Required architectural descriptions/views of the system capabilities have been developed, but require significant revision/are not DODAF compliant.

[Back to Gate 6 CPD Directory](#)

⁹⁹ Reference CJCSI 3170.01F, CJCSI 6212.01D, and DoDI 4630.8.

Gate 6 CPD
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

6.2.5 No Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes (scope or quantity) from previous Gate Review.

-  No KPP/KSA/other attribute changes from previous Gate Review.
-  Minor KPP/KSA/other attribute changes from previous Gate Review; capability trending downward from previously dictated levels.
-  Significant KPP/KSA/other attribute changes from previous Gate Review; capability decrease below threshold or previously dictated levels.

6.2.6 Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes from previous Gate Review have little/no impact on program cost [less than 2% cost growth within one year or over Future Years Defense Program (FYDP)] or on program schedule (less than 3 month schedule increase).

-  KPP/KSA/other attribute changes from previous Gate Review have little/no impact on program cost (less than 2% cost growth within one year or over FYDP) or on program schedule (less than 3 month schedule increase).
-  KPP/KSA/other attribute changes from previous Gate Review have moderate impact on program cost (2-3% cost growth within one year or over FYDP) or on program schedule (3-6 month schedule increase).
-  KPP/KSA/other attribute changes from previous Gate Review have significant impact on program cost (>3% cost growth within one year or over FYDP) or on program schedule (>6 month schedule increase).

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

6.3.3 Concept of Operations (CONOPS) is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is invalid, but revision is in work.



CONOPS is invalid and no revision is in work.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

6.4.5 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.

6.4.6 Funding, based on current cost estimate, is POMed across the Future Years Defense Program (FYDP). Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. Program is funded to 30-45% probability on the S-Curve.



Funding has NOT been approved/POMed across the FYDP. –OR– Existing/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. Program is funded to < 30% probability on the S-Curve.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

6.5.3 Based on the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) negotiated staffing agreement, staffing is stable and adequate (in terms of availability, skills, experience, and certifications) to execute program activities. Note: Key Program Office positions include Program Manager (PM), Engineer, Logistics, Test and Evaluation (T&E), Contract Management, Budget and Financial Management, Cost Analysis, Depots/Centers, and Requirements Officer.



Staffing is stable and adequate to execute program activities.

- At least 90% of Program Office authorized/funded billets are filled.
- Key Program Office positions are stable (the most recent key personnel change was more than 3 months ago and no changes are planned within the next 3 months).
- At least 50% of the key leaders have been with the program for more than one year.
- At least 90% of all program staff members are personnel possessing at least the required level of Defense Acquisition Workforce Improvement Act (DAWIA) certification and training.
- Program Manager (PM) and Deputy Program Manager (DPM) have met the statutory training requirements for their positions.
- Manning deficiencies (if any) have been identified and are being mitigated.

[Criteria continued on next page]



Some staffing instability and/or inadequacy exists, but it will not affect the ability to execute program activities.

- 80-89% of Program Office authorized/funded billets are filled.
- Key Program Office positions have some movement volatility [one key personnel change has been made within the past 3 months or is projected within the next 3 months. NOTE: If 2 or more key personnel changes have occurred within the last 6 months, then this Metric rating is reduced to Red (see below)].
- At least 50% of the key leaders have been with the program for 6 months – 1 year.
- 80-89% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Either the PM or the DPM has met the statutory training requirements for his/her position.
- Manning deficiencies and associated mitigation strategies are being identified.



Staffing is unstable and/or inadequate to execute program activities.

- Less than 80% of all Program Office authorized/funded billets are filled.
- Key Program Office positions have significant movement volatility (two or more key personnel changes have been made within the last 6 months, or two or more changes are forecast within the next 6 months).
- Over 50% of the key leaders have been with the program for less than 6 months.
- Less than 80% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Neither the PM nor the DPM have met the statutory training requirements for their positions.
- Critical manning deficiencies have been identified, but mitigation strategies do not exist.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS) and milestone documentation development.

ACQUISITION MANAGEMENT CRITERIA

6.6.5 Integrated Master Schedule (IMS) is current and includes all critical path activities. Key stakeholders have reviewed the IMS and have determined that it is realistic and achievable based on planned activities.



IMS is current and includes all critical path activities. Key stakeholders have reviewed the IMS and have determined that it is realistic and achievable based on planned activities.



IMS has been developed and reviewed by key stakeholders; required revisions are in work to ensure that the IMS is realistic, achievable, and includes all critical path activities.



IMS has not been developed. –OR– Significant revisions are required but are not in work.

6.6.6 Milestone documentation¹⁰⁰ development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet the Milestone C Decision Date.



Milestone documentation development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet the Milestone C Decision Date.



Milestone documentation draft content requires revision; one or more required documents *may* impact the ability to meet the Milestone C Decision Date.



Milestone documentation draft content requires significant revision; one or more required documents *will* impact the ability to meet the Milestone C Decision Date.

[Back to Gate 6 CPD Directory](#)

¹⁰⁰ Reference SECNAV INSTRUCTION 5000.2C for required milestone documentation.

Gate 6 CPD
Program Planning/Execution

INDUSTRY/COMPANY ASSESSMENT

INDUSTRY/COMPANY ASSESSMENT: For major contracts,¹⁰¹ the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the program, etc.

COMPANY ASSESSMENT CRITERIA

This Criteria will be used to assess EACH company/contractor separately.

6.7.21 Company's financial health is strong [Price-Earnings (PE) ratio, accounting records]; stable or trending upward.



Strong financial health; stable or trending upward.



Moderate financial health; stable or trending upward.



Poor financial health. –OR– Moderate financial health, but trending downward.

6.7.22 Company's manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).



Manpower resources are stable and adequate.



Manpower resources are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.



Manpower resources are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

¹⁰¹ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

6.7.23 Company demonstrates strong commitment to/management of supply chain [e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000].

-  Strong commitment to/management of supply chain.
-  Some issues exist with commitment to/management of supply chain, but issues are resolvable and corrective actions have been initiated.
-  Significant issues exist with commitment to/management of supply chain that are affecting program execution and issues are not being resolved.

6.7.24 Program is aligned with core business unit.

-  Program is aligned with core business unit.
-  Program is somewhat aligned with core business unit.
-  Program is not aligned with core business unit.

6.7.25 Company has not been on the “No Buy” List in the past five years.

-  Company has not been on the “No Buy” List in the past five years.
-  Company has been on the “No Buy” List in the past five years, but is not currently on the list.
-  Company is currently on the “No Buy” List.

6.7.26 Company’s facility/manufacturing/production capabilities and available capacity are adequate.

-  Facility/manufacturing/production capabilities and available capacity are adequate.
-  Facility/manufacturing/production capabilities and available capacity are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Facility/manufacturing/production capabilities and available capacity are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

6.7.27 Senior financial influencers at the corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate moderate commitment to the program.



Senior financial influencers at corporate level demonstrate little/no commitment to the program.

6.7.28 Senior executives at the corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate moderate commitment to the program.



Senior executives at corporate level demonstrate little/no commitment to the program.

6.7.29 Company performance is strong across all current work (outside of contract with the program).



Company performance is strong across all current work.



Company performance is weak in one or two current work engagements.



Company performance is weak in three or more current work engagements.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

6.8.7 Cost estimating activities are on or ahead of schedule. Appropriate technical authorities and stakeholders are involved to ensure total ownership cost implications are being addressed and are aligned with Capability Production Document (CPD)/Acquisition Program Baseline (APB) assumptions.



Cost estimating activities are on or ahead of schedule.



Cost estimating activities are behind schedule, but delays are not impacting program planning/execution.



Cost estimating activities are behind schedule and delays are impacting program planning/execution.

6.8.8 Current cost estimate confidence level is above 95%.



Current cost estimate confidence level is above 95%.



Current cost estimate confidence level is between 80-95%.



Current cost estimate confidence level is less than 80%.

[Criteria continued on next page]

6.8.9 Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between program office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between program office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



10-30% difference between program office and independent cost estimate. Differences in assumptions and methodologies are resolvable.



More than 30% difference between program office and independent cost estimate. Differences in assumptions and methodologies are not resolvable. -OR- Independent cost estimate has not been accomplished.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

6.9.13 Test and Evaluation Master Plan (TEMP) is approved, current and aligns with the Acquisition Strategy and the Systems Engineering Plan (SEP).

- Test requirements are traceable to capability requirements and the current threat assessment.
- TEMP identifies Modeling and Simulation requirements and utilization.
- Key Performance Parameter (KPP), Key System Attribute (KSA), and other attribute objective and threshold values are testable and measurable.

G TEMP is approved, current and aligns with the Acquisition Strategy and the SEP.

Y TEMP is approved, but updates are required.

R TEMP is not approved.

6.9.14 Test and Evaluation (T&E) organizations are executing key test activities on or ahead of schedule.

G T&E organizations are executing key test activities on or ahead of schedule.

Y T&E organizations are executing key test activities no more than 60 days behind schedule; delays are not seriously impacting program execution activities.

R T&E organizations are executing key test activities more than 60 days behind schedule; delays are seriously impacting program execution activities.

[Criteria continued on next page]

6.9.15 Test resource capabilities, including ranges, targets, facilities, manpower, services, joint assets, and other programs, have been assessed and can support planned test activities.

-  Test resource capabilities have been assessed and can support planned test activities.
-  Test resource capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  Test resource capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

6.9.16 Test and Evaluation (T&E) costs have been identified and are included in program cost estimates.

-  T&E costs have been identified and are included in program cost estimates.
-  T&E costs have been identified, but are not included in program cost estimates.
-  T&E costs have not been identified.

6.9.17 Deficiency identification and tracking system accurately displays the current status on the resolution of deficiencies identified during testing prior to Initial Operational Test and Evaluation (IOT&E).

-  Deficiency identification and tracking system is current and accurately reports status of resolution to support IOT&E.
-  Deficiency identification and tracking system has been established; status of resolution to support IOT&E is planned to be complete within 60 days.
-  Deficiency identification and tracking system has not been established. –OR– Status of resolution to support IOT&E will not be updated within 60 days.

[Criteria continued on next page]

6.9.18 Major deficiencies and Operational Test Agency (OTA) recommendations identified in Initial Operational Test and Evaluation (IOT&E) and Follow-on Operational Test and Evaluation (FOT&E) reports are available for review. This includes the approval of the dispensation of those deficiencies that the program recommends taking no action to correct, or reassigned to another developing activity due to System of Systems (SoS) interfaces and compatibility.

-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are resolved.
-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are funded and in work to be resolved.
-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are not being resolved and there is no plan to determine dispensation of the major deficiencies.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

6.10.11 All Critical Technology Elements (CTEs) required to support the capabilities in the Capability Production Document (CPD) are at Technology Readiness Level (TRL) 8 or above; or if any CTE is below TRL 8, a substitute mature technology is available that meets the user's needs.

-  All CTEs required to support the capabilities in the CPD are at TRL 8 or above; or if any CTE is below TRL 8, a substitute mature technology is available that meets the user's needs.
-  One or more of the program's identified CTEs is at TRL 7 (but none is below). No substitute mature technology is available that meets the user's needs. Each of those TRL 7 CTEs has a Technology Maturation Plan (TMP) in preparation for MDA approval.
-  One or more of the program's identified CTEs is at TRL7 without an approvable TMP; or one or more of the program's CTEs is at or below TRL 6, regardless of the existence of a TMP.

6.10.12 Latest testing/analysis results are being addressed and fed back into the Technology Development Strategy (TDS).

-  Latest testing/analysis results are being addressed and fed back into the TDS.
[No Yellow Criteria]
-  Latest testing/analysis results are not being addressed and fed back into the TDS.

[Criteria continued on next page]

6.10.13 Technology Integrated Product Team (IPT) is executing chartered responsibilities on or ahead of schedule.

-  Technology IPT is executing chartered responsibilities on or ahead of schedule.
-  Technology IPT is executing chartered responsibilities no more than 30 days behind schedule; delays are not affecting program execution.
-  Technology IPT is executing chartered responsibilities more than 30 days behind schedule; delays are affecting program execution. –OR– Technology IPT has not been formed.

6.10.14 Technical baseline for preferred system concepts is stable.

-  Technical baseline for preferred system concepts is stable.
-  Technical baseline for preferred system concepts is unstable, but is not impacting program execution.
-  Technical baseline for preferred system concepts is very unstable and is impacting program execution.

6.10.15 Required elements to manufacture and produce the end item (to include drawing releases, parts obsolescence, resource planning, tooling and test equipment capacity, manpower requirements, facility capacity, schedule status, quality assurance, supply inventories, material lead times, etc.) are known, understood and available.

-  Required elements to manufacture and produce the end item are known, understood and available.
-  Required elements to manufacture and produce the end item have known risks, but risks are understood and mitigation strategies are being executed.
-  Significant manufacturing risks exists; no mitigation strategies are being executed.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key sustainment planning activities.

SUSTAINMENT CRITERIA

6.11.17 Sustainment Plan is approved and aligns with the Capability Production Document (CPD) and the Acquisition Strategy. Life Cycle Business Case Analysis (BCA) for the Sustainment Plan [i.e. Performance Based Logistics (PBL)] is valid. Government and industry roles are defined. Initial Operational Capability (IOC) is defined.

-  Sustainment Plan is approved and aligns with the CPD and the Acquisition Strategy.
-  Sustainment Plan is approved, but updates are required.
-  Sustainment Plan is not approved.

6.11.18 Organizations are executing key Sustainment activities {e.g., requirements tracking and verification, environmental planning, [including National Environmental Policy Act (NEPA)/Executive Order (EO) 12114 documentation] input to design specifications, test plans/procedures, inspection plans, maintenance concepts, and Total System Support Package} on or ahead of schedule.

-  Organizations are executing key Sustainment activities on or ahead of schedule.
-  Organizations are executing key Sustainment activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.
-  Organizations are executing key Sustainment activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

[Criteria continued on next page]

6.11.19 Logistics and Sustainment capabilities have been assessed [Independent Logistics Assessment (ILA), Programmatic Environment, Safety and Occupational Health (ESOH) Evaluation (PESHE), Risk Management Process, training, facilities, and other] and can support planned Sustainment activities. Assessments of cost, schedule, and technical risks include consideration of Life Cycle cost and supportability performance. ESOH hazards and their associated risks are assessed and tracked.

-  Logistics and Sustainment capabilities have been assessed and can support planned Sustainment activities.
-  Logistics and Sustainment capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  Logistics and Sustainment capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

6.11.20 Sustainment costs have been identified and included in program cost estimates.

-  Sustainment costs have been identified and included in program cost estimates.
-  Sustainment costs have been identified, but are not included in program cost estimates.
-  Sustainment costs have not been identified.

6.11.21 All Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes meet threshold values.

-  All Sustainment KPPs, KSAs, and other attributes meet threshold values.
-  All Sustainment KPPs and KSAs meet threshold values, but one or more other attributes is failing to meet threshold values.
-  One or more Sustainment KPPs/KSAs is failing to meet threshold values.

[Criteria continued on next page]

6.11.22 Procuring support resources (technical data, spares, test equipment/data/procedures, etc.) for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan.

-  Procuring support resources for planned sources of supply, maintenance, and repair on or ahead of schedule.
-  Procuring support resources for planned sources of supply, maintenance, and repair no more than 60 days behind schedule; delays are not seriously impacting program execution activities.
-  Procuring support resources for planned sources of supply, maintenance, and repair more than 60 days behind schedule; delays are seriously impacting program execution activities.

6.11.23 Joint Capabilities Integration and Development System (JCIDS) required supportability related plans (e.g., maintenance plan, design for supportability, etc.) are complete, current and valid.

-  JCIDS required supportability related plans are complete, current and valid.
-  There are some content-related issues with JCIDS required supportability related plans, but revision is in work.
-  JCIDS required supportability related plans are invalid and no revision is in work.

6.11.24 All key areas of the Sustainment Plan [including Maintenance Planning, Supply Support, Technical Data, Computer Resources Report, Package Handling Storage and Transportation (PHS&T), Manpower and Personnel, Support Equipment, Training and Training Support, Facilities, Environment, Safety and Occupational Health (ESOH), and Design Interface] have been assessed and can support planned Sustainment activities.

-  All key areas of the Sustainment Plan have been assessed and can support planned Sustainment activities.
-  All key areas of the Sustainment Plan have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  All key areas of the Sustainment Plan have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

6.12.20 Process to collect and assess size Metric is being used; size trending and actual vs. planned size are being tracked, analyzed and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

6.12.21 Size variations are within tolerance or justification and waiver has been approved.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: ORGANIZATION

6.12.22 Process to collect and assess organization Metric is being used; organization trend lines (hours per sampling period, training complete, and key software personnel arrivals and departures, comparing actuals vs. planned) are being tracked, analyzed, and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

6.12.23 Organization Metrics are within tolerance or justification and waiver has been approved.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: COST/SCHEDULE

6.12.24 Standard process to collect and assess cost/schedule Metric is being used; cost/schedule variances, trends and performance indices are being tracked, analyzed and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

6.12.25 Cost/schedule Metrics are within tolerance or justification and waiver has been approved.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

6.12.26 Standard process to collect and assess quality Metric is being used; quality variances, trends and performance indices are being tracked, analyzed and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

6.12.27 Quality Metrics are within tolerance or justification and waiver has been approved. Process for defect remediation is being used and defects have been eliminated to within acceptable limits.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors¹⁰² as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

This Criteria will be used to assess EACH contractor's performance separately.

6.13.11 [For contracts using the Earned Value Management System (EVMS)]¹⁰³:

Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the To Complete Performance Index (TCPI) based on the contractor's Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by less than 5%. Cumulative SPI and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points lie between 0.90 and 0.95.



Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points lie below 0.90. –OR– No EVMS data due to program re-baseline since last report.

[Criteria continued on next page]

¹⁰² Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

¹⁰³ Criteria 6.13.11 is applicable for contracts using EVMS; if EVMS is not being used, then select the "N/A" grade for Criteria 6.13.11 and select the appropriate Green/Yellow/Red grade for Criteria 6.13.12.

6.13.12 [For contracts that are not using the Earned Value Management System (EVMS)]¹⁰⁴: Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.

-  Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.
-  Contractor has missed a schedule milestone, but is meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by 5-10%.
-  Contractor has missed a schedule milestone and is not meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by more than 10%.

6.13.13 All Contractor Performance Assessment Report (CPAR)/Informal Performance Assessment Report (IPAR) Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, Program Manager (PM) subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.

-  All CPAR/IPAR Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.
-  Some CPAR/IPAR Factor ratings are Yellow (with no more than one Red Factor rating), and/or Contractor is at 80-89% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Yellow.
-  Some CPAR/IPAR Factor ratings are Yellow (with two or more Red Factor ratings); or Contractor is below 80% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR Factor categories would have met Criteria for Red.

[Criteria continued on next page]

¹⁰⁴ Criteria 6.13.12 is applicable for contracts NOT using EVMS; if EVMS is being used, then select the “N/A” grade for Criteria 6.13.12 and select the appropriate Green/Yellow/Red grade for Criteria 6.13.11.

6.13.14 Contractor is properly staffed (in terms of availability, skills, experience, and certifications) to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

-  Contractor is properly staffed to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.
-  Contractor has some manning issues, but issues are not affecting program activities. Actual contractor executing manning levels deviate 5-10% from current staffing plan.
-  Contractor has significant manning issues that are affecting program activities. Actual contractor executing manning levels deviate more than 10% from current staffing plan.

6.13.15 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

-  Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.
-  Contractor is executing with 5-10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by no more than 30 days.
-  Contractor is executing with more than 10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by more than 30 days.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
Program Planning/Execution

GOVERNMENT PROGRAM OFFICE PERFORMANCE

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

6.14.17 Intra-government requirements {e.g., Government Furnished Equipment (GFE), Government Furnished Information (GFI), PM agreements, Technology Transfer Agreements, Enterprise [Naval Aviation Enterprise (NAE), Surface Warfare Enterprise (SWE), Naval Facilities Engineering Command (NAVFAC), etc.] and SYSCOM Customer Service Agreements} have been defined and are being executed according to plan.

-  Intra-government requirements have been defined and are being executed according to plan.
-  Intra-government requirements have been defined, but are being executed behind schedule.
-  Intra-government requirements have not been defined.

6.14.18 Government facilities are available in accordance with scheduled requirements.

-  Government facilities are available in accordance with scheduled requirements.
-  Some schedule, maintainability and/or availability issues exist with regards to Government facilities, but issues are not affecting contract execution.
-  Significant schedule, maintainability and/or availability issues exist with regards to the delivery of Government facilities that are affecting contract execution.

[Criteria continued on next page]

6.14.19 Program Office releases funding to contractor(s) to maintain execution of the contract schedule.

-  Program Office releases funding to the contractor to maintain execution of the contract schedule.
-  Program Office releases funding late to the contractor, but not affecting contract execution.
-  Program Office releases funding late to the contractor and is affecting contract execution.

6.14.20 Government responds to deliverable submissions by due date [e.g., technical inquiries, review of Contract Data Requirements List (CDRL) items (to include review/approval of engineering drawings, contractor questions, etc.)].

-  Government responds to deliverable submissions by due date.
-  Less than 10% of responses to deliverable submissions are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of responses to deliverable submissions are overdue by more than 30 days; late responses are affecting contract execution.

6.14.21 Government Furnished Equipment (GFE) is being delivered in accordance with scheduled requirements.

-  GFE is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFE is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFE is overdue by more than 30 days; late delivery is affecting contract execution.

6.14.22 Government Furnished Information (GFI) is being delivered in accordance with scheduled requirements.

-  GFI is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFI is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFI is overdue by more than 30 days; late delivery is affecting contract execution.

[Criteria continued on next page]

6.14.23 Government Configuration Control Board (CCB) has been established and is responsive to proposed changes [e.g., Engineering Change Proposals (as applicable), deviation, waivers, or temporary modifications].



Government CCB is responsive to proposed changes.



Less than 10% of CCB responses to proposed changes are overdue by more than 30 days; late responses are not affecting contract execution.



10% (or more) of CCB responses to proposed changes are overdue by more than 30 days; late responses are affecting contract execution. –OR– CCB has not been established.

6.14.24 Risk Management Board (RMB) has been established to identify, categorize, and mitigate risks. Risks are being mitigated per established timelines and are not being realized as issues.



Risks are being mitigated per established timelines and are not being realized as issues.



Risks mitigation timelines have slipped, but are not manifesting as issues.



Risks have manifested as issues. –OR– RMB has not been established.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

6.15.5 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

6.15.6 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 6 CPD Directory](#)

Gate 6 CPD
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)¹⁰⁵
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners¹⁰⁶
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services¹⁰⁷

¹⁰⁵ Each OSD stakeholder is assessed individually.

¹⁰⁶ Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

¹⁰⁷ Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

6.16.13 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

6.16.14 OSD Advocacy¹⁰⁸

6.16.14.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

¹⁰⁸ OSD stakeholders are assessed individually in Criteria 6.16.14.1-6.16.14.5 below.

6.16.14.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.14.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

6.16.14.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.14.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

6.16.15 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.16 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program

- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program

- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

6.16.17 International Partners Advocacy¹⁰⁹

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

6.16.18 Other Services Advocacy¹¹⁰

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 6 CPD Directory](#)

¹⁰⁹ Criteria 6.16.17 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

¹¹⁰ Criteria 6.16.18 is only required for Joint programs. If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

Gate 6 CPD
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

Note: The Interdependencies Criteria assessment should reflect the most current OSD DAES Report for the program. The following OSD DAES definitions apply:

Interoperability (I) Ratings:

- Synchronization - PM for the program under review will provide an assessment (Green, Yellow or Red color in I-box) of the synchronization of this program with the needs of his program. In other words, whether the dependant program is on track to deliver the quantity required on the scheduled required.
- Criticality – PM for the program under review will provide an assessment (a number in the I-box) of its importance to your program meeting the capabilities identified in the CONOPS/CPD and articulated in the Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other performance attributes.
- The following terms of reference will be used:
 - 1= Crucial Interdependency
 - Program cannot achieve capabilities articulated in the CONOPS/CPD without the related capability provided by this program.
 - 2= Significant Interdependency
 - Program full realization of capabilities identified in CONOPS will be diminished but all CPD threshold capabilities will be met.
 - 3= Enabling Interdependency
 - While programs are related and complementary, failure to deliver this program does not substantially impact the ability of the program under review to deliver the documented capabilities.

INTERDEPENDENCIES CRITERIA:

6.17.3 [Based on OSD DAES]: All Crucial (1) interoperability ratings are Green. All Significant (2) interoperability ratings are Green. Less than 10% of Enabling (3) interoperability ratings are Yellow. No Red ratings. –OR– If OSD DAES data is not a reporting requirement, Program Manager (PM) subjective evaluation using Interoperability rating definitions would have met Criteria for Green.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): All interoperability ratings are Green.
- Enabling (3): Less than 10% of interoperability ratings are Yellow. No Red ratings.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): No more than 10% of interoperability ratings are Yellow. No Red ratings.
- Enabling (3): 10-50% of interoperability ratings are Yellow. No more than 20% of interoperability ratings are Red.



- Crucial (1): One or more interoperability ratings is Yellow or red.
- Significant (2): More than 10% of interoperability ratings are Yellow. –OR– One or more Red interoperability ratings.
- Enabling (3): More than 50% of interoperability ratings are Yellow. –OR– More than 20% of interoperability ratings are Red.

[Back to Gate 6 CPD Directory](#)

Gate 6 (Pre FRP) Naval PoPS Criteria



GATE 6 (PRE FRP)
METRIC CRITERIA DIRECTORY

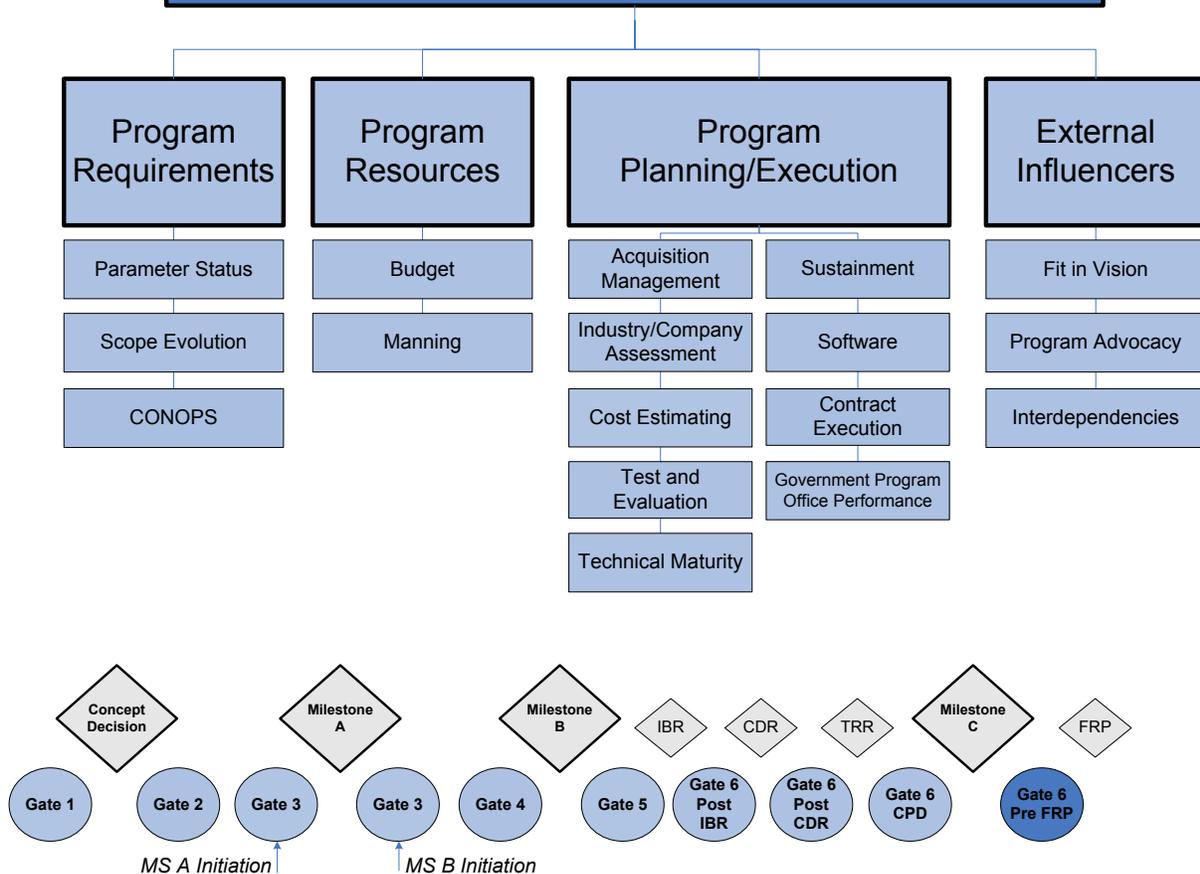
Program Requirements	
Parameter Status	353
Scope Evolution	354
CONOPS	355
Program Resources	
Budget	356
Manning.....	357
Program Planning/Execution	
Acquisition Management	359
Industry/Company Assessment.....	360
Cost Estimating.....	363
Test and Evaluation	365
Technical Maturity	368
Sustainment	370
Software.....	373
Contract Execution	376
Government Program Office Performance.....	379
External Influencers	
Fit in Vision	382
Program Advocacy	383
Interdependencies	389

[Back to Criteria Handbook Table of Contents](#)

Naval PoPS Gate 6 (Pre FRP)

Begin Use	After completion of Milestone C in preparation for Full Rate Production (FRP) decision
End Use	Repeat for life of program
Assessment and/or Briefing Responsibility	PM/Cognizant PEO
Associated Files	Gate 6 Pre FRP_POPS CRITERIA_MMDDYY_v1.xls Gate 6 Pre FRP_POPS VISUALS_MMDDYY_v1.xls Gate 6 Pre FRP_POPS BRIEF_MMDDYY_v1.ppt

Naval PoPS Gate 6

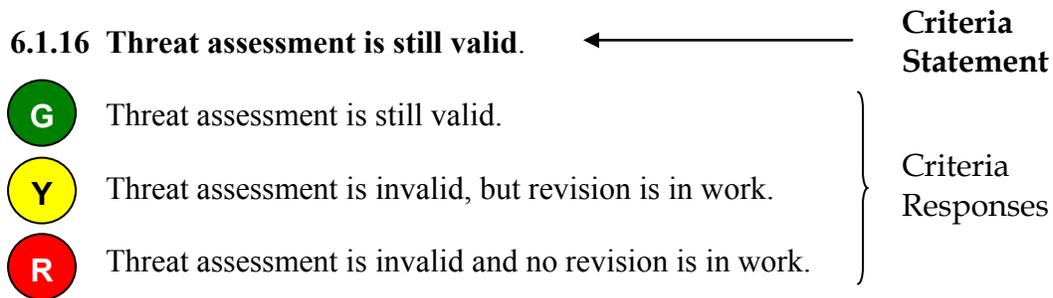


NAVAL POPS GATE 6 (PRE FRP)

Gate 6 (Pre FRP) Criteria

This section contains the required Gate 6 (Pre FRP) Program Health Assessment Criteria.¹¹¹ The Criteria, organized by Metric, are also located in the Naval PoPS Criteria Spreadsheet for Gate 6 (Pre FRP). The spreadsheet is required to conduct the Program Health Assessment; this handbook serves as a supplement to the Program Manager or designated user who is operating the spreadsheet.

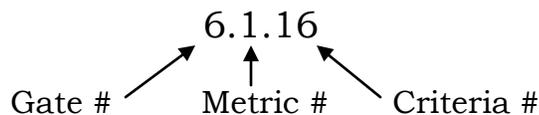
Each Criteria is comprised of two components: Criteria Statement and Criteria Responses (see example below).



Rules for evaluating Program Health Criteria:

1. Read the Criteria Statement first, then read each of the Criteria Responses.
2. To select a Green Criteria Response, the program must meet all elements of the Criteria Statement above it.
3. The lowest Criteria Response applicable to the program must be chosen. For example, if a program meets elements of both the Yellow and Red Criteria Responses, then the user must select Red.
4. If a Criteria is not applicable to the program, select the 'N/A' grade in the Naval PoPS Criteria Spreadsheet. If 'N/A' is not an available response, the user should select Green.

Each Criteria is associated with a unique identification number to enable traceability between Naval PoPS documents and tools.



¹¹¹ Current Naval PoPS guidance is not tailored to programs in the Sustainment Phase. As such, programs at or beyond the FRP decision should use the Gate 6 (Pre FRP) instructions found in the Naval PoPS Criteria Handbook until further guidance is developed.

Gate 6 (Pre FRP)
Program Requirements

PARAMETER STATUS

PARAMETER STATUS: Progress toward defining capability requirements [Initial Capabilities Document (ICD)/Capability Development Document (CDD)/Capability Production Document (CPD)] and meeting those requirements through the achievement of Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute threshold values. Also measures validity of the threat assessment and completeness of required architectural descriptions/views.

PARAMETER STATUS CRITERIA

6.1.16 Threat assessment is valid and Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes are still applicable.

-  Threat assessment is valid and KPPs, KSAs, and other attributes are still applicable.
-  Threat assessment is invalid, but revision is in work. KPPs/KSAs/other attributes may require adjustments.
-  Threat assessment is invalid and no revision is in work. KPPs/KSAs/other attributes require adjustments.

6.1.17 All Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes meet threshold values.

-  All KPPs, KSAs, and other attributes meet threshold values.
-  All KPPs and KSAs meet threshold values, but one or more other attribute(s) is failing to meet threshold value(s).
-  One or more KPP(s)/KSA(s) is failing to meet threshold value(s).

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Requirements

SCOPE EVOLUTION

SCOPE EVOLUTION: Stability of capability requirements (scope or quantity) from the previously established baseline and the impact of requirements changes on program cost and schedule.

SCOPE EVOLUTION CRITERIA

6.2.7 No Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes (scope or quantity) from previous Gate Review.



No KPP/KSA/other attribute changes from previous Gate Review.



Minor KPP/KSA/other attribute changes from previous Gate Review; capability trending downward from previously dictated levels.



Significant KPP/KSA/other attribute changes from previous Gate Review; capability decrease below threshold or previously dictated levels.

6.2.8 Key Performance Parameter (KPP)/Key System Attribute (KSA)/other attribute changes from previous Gate Review have little/no impact on program cost [less than 2% cost growth within one year or over Future Years Defense Program (FYDP)] or on program schedule (less than 3 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have little/no impact on program cost (less than 2% cost growth within one year or over FYDP) or on program schedule (less than 3 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have moderate impact on program cost (2-3% cost growth within one year or over FYDP) or on program schedule (3-6 month schedule increase).



KPP/KSA/other attribute changes from previous Gate Review have significant impact on program cost (>3% cost growth within one year or over FYDP) or on program schedule (>6 month schedule increase).

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Requirements

CONOPS

CONOPS: Progress toward developing the Concept of Operations (CONOPS) and using it to inform program requirements and strategies.

CONOPS CRITERIA

6.3.4 Concept of Operations(CONOPS) is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is valid and continues to inform operational manpower requirements, sustainability/supportability strategy, and testing strategy.



CONOPS is invalid, but revision is in work.



CONOPS is invalid and no revision is in work.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Resources

BUDGET

BUDGET: Sufficiency of current year funding and Program Objective Memorandum (POM) submissions across the Future Years Defense Program (FYDP) for each appropriation. Funding sufficiency is determined by comparing the budget to the current cost estimate and the probability on the S-Curve.

BUDGET CRITERIA

6.4.7 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities to progress to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.



Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.



Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.

6.4.8 Funding, based on current cost estimate, is POMed across the Future Years Defense Program (FYDP). Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. Program is funded to >45% probability on the S-Curve.



Funding, based on current cost estimate, is POMed across the FYDP. Existing/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. Program is funded to 30-45% probability on the S-Curve.



Funding has NOT been approved/POMed across the FYDP. –OR– Existing/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. Program is funded to < 30% probability on the S-Curve.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Resources

MANNING

MANNING: Stability and adequacy (in terms of availability, skills, experience and certification levels) of Program Management Office, In-House and Matrix support to execute program activities.

MANNING CRITERIA

6.5.4 Based on the Program Executive Office (PEO) and/or the Program Office and the host System Command (SYSCOM) negotiated staffing agreement, staffing is stable and adequate (in terms of availability, skills, experience, and certifications) to execute program activities. Note: Key Program Office positions include Program Manager (PM), Engineer, Logistics, Test and Evaluation (T&E), Contract Management, Budget and Financial Management, Cost Analysis, Depots/Centers, and Requirements Officer.



Staffing is stable and adequate to execute program activities.

- At least 90% of Program Office authorized/funded billets are filled.
- Key Program Office positions are stable (the most recent key personnel change was more than 3 months ago and no changes are planned within the next 3 months).
- At least 50% of the key leaders have been with the program for more than one year.
- At least 90% of all program staff members are personnel possessing at least the required level of Defense Acquisition Workforce Improvement Act (DAWIA) certification and training.
- Program Manager (PM) and Deputy Program Manager (DPM) have met the statutory training requirements for their positions.
- Manning deficiencies (if any) have been identified and are being mitigated.

[Criteria continued on next page]



Some staffing instability and/or inadequacy exists, but it will not affect the ability to execute program activities.

- 80-89% of Program Office authorized/funded billets are filled.
- Key Program Office positions have some movement volatility [one key personnel change has been made within the past 3 months or is projected within the next 3 months. NOTE: If 2 or more key personnel changes have occurred within the last 6 months, then this Metric rating is reduced to Red (see below)].
- At least 50% of the key leaders have been with the program for 6 months – 1 year.
- 80-89% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Either the PM or the DPM has met the statutory training requirements for his/her position.
- Manning deficiencies and associated mitigation strategies are being identified.



Staffing is unstable and/or inadequate to execute program activities.

- Less than 80% of all Program Office authorized/funded billets are filled.
- Key Program Office positions have significant movement volatility (two or more key personnel changes have been made within the last 6 months, or two or more changes are forecast within the next 6 months).
- Over 50% of the key leaders have been with the program for less than 6 months.
- Less than 80% of all program staff members are personnel possessing at least the required level of DAWIA certification and training.
- Neither the PM nor the DPM have met the statutory training requirements for their positions.
- Critical manning deficiencies have been identified, but mitigation strategies do not exist.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Planning/Execution

ACQUISITION MANAGEMENT

ACQUISITION MANAGEMENT: Status of program master schedule/Integrated Master Schedule (IMS) and milestone documentation development.

ACQUISITION MANAGEMENT CRITERIA

6.6.7 Integrated Master Schedule (IMS) is current and includes all critical path activities. Key stakeholders have reviewed the IMS and have determined that it is realistic and achievable based on planned activities.



IMS is current and includes all critical path activities. Key stakeholders have reviewed the IMS and have determined that it is realistic and achievable based on planned activities.



IMS has been developed and reviewed by key stakeholders; required revisions are in work to ensure that the IMS is realistic, achievable, and includes all critical path activities.



IMS has not been developed. –OR– Significant revisions are required but are not in work.

6.6.8 Full Rate Production (FRP) documentation¹¹² development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet the FRP Decision Date.



Full Rate Production (FRP) documentation development is on or ahead of schedule. All required documentation will be signed within lead time necessary to meet the FRP Decision Date.



Full Rate Production (FRP) documentation draft content requires revision; one or more required documents *may* impact the ability to meet the FRP Decision Date.



Full Rate Production (FRP) documentation draft content requires significant revision; one or more required documents *will* impact the ability to meet the FRP Decision Date.

[Back to Gate 6 Pre FRP Directory](#)

¹¹² Reference SECNAV INSTRUCTION 5000.2C for required FRP documentation.

Gate 6 (Pre FRP)
Program Planning/Execution

INDUSTRY/COMPANY ASSESSMENT

INDUSTRY/COMPANY ASSESSMENT: For major contracts,¹¹³ the health of those companies as measured by resource stability and adequacy, facility, manufacturing, and production capabilities, commitment and alignment to the Program, etc.

COMPANY ASSESSMENT CRITERIA

This Criteria will be used to assess EACH company/contractor separately.

6.7.31 Company's financial health is strong [Price-Earnings (PE) ratio, accounting records]; stable or trending upward.



Strong financial health; stable or trending upward.



Moderate financial health; stable or trending upward.



Poor financial health. –OR– Moderate financial health, but trending downward.

6.7.32 Company's manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).



Manpower resources are stable and adequate.



Manpower resources are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.



Manpower resources are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

¹¹³ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

6.7.33 Company demonstrates strong commitment to/management of supply chain [e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000].

-  Strong commitment to/management of supply chain.
-  Some issues exist with commitment to/management of supply chain, but issues are resolvable and corrective actions have been initiated.
-  Significant issues exist with commitment to/management of supply chain that are affecting program execution and issues are not being resolved.

6.7.34 Program is aligned with core business unit.

-  Program is aligned with core business unit.
-  Program is somewhat aligned with core business unit.
-  Program is not aligned with core business unit.

6.7.35 Company has not been on the “No Buy” List in the past five years.

-  Company has not been on the “No Buy” List in the past five years.
-  Company has been on the “No Buy” List in the past five years, but is not currently on the list.
-  Company is currently on the “No Buy” List.

6.7.36 Company’s facility/manufacturing/production capabilities and available capacity are adequate.

-  Facility/manufacturing/production capabilities and available capacity are adequate.
-  Facility/manufacturing/production capabilities and available capacity are becoming unstable/inadequate, but issues are resolvable and corrective actions have been initiated.
-  Facility/manufacturing/production capabilities and available capacity are unstable/inadequate; significant issues exist that are affecting program execution and issues are not being resolved.

[Criteria continued on next page]

6.7.37 Senior financial influencers at the corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate high commitment to the program.



Senior financial influencers at corporate level demonstrate moderate commitment to the program.



Senior financial influencers at corporate level demonstrate little/no commitment to the program.

6.7.38 Senior executives at the corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate high commitment to the program.



Senior executives at corporate level demonstrate moderate commitment to the program.



Senior executives at corporate level demonstrate little/no commitment to the program.

6.7.39 Company performance is strong across all current work (outside of contract with the program).



Company performance is strong across all current work.



Company performance is weak in one or two current work engagements.



Company performance is weak in three or more current work engagements.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Planning/Execution

COST ESTIMATING

COST ESTIMATING: Status of cost estimating activities, the confidence level associated with the current cost estimate, and the difference between the Program Office and independent cost estimates.

COST ESTIMATING CRITERIA

6.8.10 Cost estimating activities are on or ahead of schedule. Appropriate technical authorities and stakeholders are involved to ensure total ownership cost implications are being addressed and are aligned with Capability Production Document (CPD)/Acquisition Program Baseline (APB) assumptions.

-  Cost estimating activities are on or ahead of schedule.
-  Cost estimating activities are behind schedule, but delays are not impacting program planning/execution.
-  Cost estimating activities are behind schedule and delays are impacting program planning/execution.

6.8.11 Current cost estimate confidence level is above 95%.

-  Current cost estimate confidence level is above 95%.
-  Current cost estimate confidence level is between 80-95%.
-  Current cost estimate confidence level is less than 80%.

[Criteria continued on next page]

6.8.12 Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between program office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



Independent cost estimate has been accomplished by an organization outside the Program Office Reporting Chain. Less than 10% difference between program office and independent cost estimate. Differences in assumptions and methodologies have been resolved.



10-30% difference between program office and independent cost estimate. Differences in assumptions and methodologies are resolvable.



More than 30% difference between program office and independent cost estimate. Differences in assumptions and methodologies are not resolvable -OR- independent cost estimate has not been accomplished.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Planning/Execution

TEST AND EVALUATION

TEST AND EVALUATION: Progress toward defining and executing the Test and Evaluation Strategy/Test and Evaluation Master Plan (TEMP) and the adequacy of test resource capabilities to accomplish key test activities. Status of identified performance risks/issues and major deficiencies.

TEST AND EVALUATION CRITERIA

6.9.19 Test and Evaluation Master Plan (TEMP) is approved, current and aligns with the Acquisition Strategy and the Systems Engineering Plan (SEP).

- Test requirements are traceable to capability requirements and the current threat assessment.
- TEMP identifies Modeling and Simulation requirements and utilization.
- Key Performance Parameter (KPP), Key System Attribute (KSA), and other attribute objective and threshold values are testable and measurable.

-  TEMP is approved, current and aligns with the Acquisition Strategy and the SEP.
-  TEMP is approved, but updates are required.
-  TEMP is not approved.

6.9.20 Test and Evaluation (T&E) organizations are executing key test activities on or ahead of schedule.

-  T&E organizations are executing key test activities on or ahead of schedule.
-  T&E organizations are executing key test activities no more than 60 days behind schedule; delays are not seriously impacting program execution activities.
-  T&E organizations are executing key test activities more than 60 days behind schedule; delays are seriously impacting program execution activities.

[Criteria continued on next page]

6.9.21 Test resource capabilities, including ranges, targets, facilities, manpower, services, joint assets, and other programs, have been assessed and can support planned test activities.

-  Test resource capabilities have been assessed and can support planned test activities.
-  Test resource capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  Test resource capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

6.9.22 Test and Evaluation (T&E) costs have been identified and are included in program cost estimates.

-  T&E costs have been identified and are included in program cost estimates.
-  T&E costs have been identified, but are not included in program cost estimates.
-  T&E costs have not been identified.

6.9.23 Deficiency identification and tracking system accurately displays the current status on the resolution of deficiencies identified during testing prior to Initial Operational Test and Evaluation (IOT&E).

-  Deficiency identification and tracking system is current and accurately reports status of resolution to support IOT&E.
-  Deficiency identification and tracking system has been established; status of resolution to support IOT&E is planned to be complete within 60 days.
-  Deficiency identification and tracking system has not been established. –OR– Status of resolution to support IOT&E will not be updated within 60 days.

[Criteria continued on next page]

6.9.24 Major deficiencies and Operational Test Agency (OTA) recommendations identified in Initial Operational Test and Evaluation (IOT&E) and Follow-on Operational Test and Evaluation (FOT&E) reports are available for review. This includes the approval of the dispensation of those deficiencies that the program recommends taking no action to correct, or reassigned to another developing activity due to System of Systems (SoS) interfaces and compatibility.

-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are resolved.
-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are funded and in work to be resolved.
-  Major deficiencies and OTA recommendations identified in IOT&E and FOT&E reports are not being resolved and there is no plan to determine dispensation of the major deficiencies.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Planning/Execution

TECHNICAL MATURITY

TECHNICAL MATURITY: Identification and tracking of Critical Technology Elements (CTEs) to ensure technologies are sufficiently mature [based on Technology Readiness Level (TRL) requirements] and available to meet the user's needs.

TECHNICAL MATURITY CRITERIA

6.10.16 All Critical Technology Elements (CTEs) required to support the capabilities in the Capability Production Document (CPD) are at Technology Readiness Level (TRL) 9 or above; or if any CTE is below TRL 9, a substitute mature technology is available that meets the user's needs.



All CTEs required to support the capabilities in the CPD are at TRL 9 or above; or if any CTE is below TRL 9, a substitute mature technology is available that meets the user's needs.



One or more of the program's CTEs is at TRL 8 (but none is below), and the program is on track to have all CTEs at TRL 9 by the FRP decision.



Any of the program's CTEs are at TRL 7 or lower; or one or more of the program's identified CTEs is at TRL 8, and it will be difficult to have all CTEs at TRL 9 by the FRP decision.

6.10.17 Issues identified during initial operational testing and assessments have been resolved.



Issues identified during initial operational testing and assessments have been resolved.



Issues identified during initial operational testing and assessments are being resolved.



Identified during initial operational testing and assessments are not being resolved.

[Criteria continued on next page]

6.10.18 Required elements to manufacture and produce the end item are known, understood and available. Manufacturing/producibility issues to scale from Low Rate Initial Production (LRIP) to Full Rate Production (FRP) are being monitored and managed (to include drawing releases, parts obsolescence, resource planning, tooling and test equipment capacity, manpower requirements, facility capacity, schedule status, quality assurance, supply inventories, material lead times, etc.).

-  Required elements to manufacture and produce the end item are known, understood and available. No significant manufacturing/producibility issues exist to scale from LRIP to FRP.
-  Required elements to manufacture and produce the end item have known risks, but risks are understood and mitigation strategies are available. Some manufacturing/producibility issues exist to scale from LRIP to FRP, but issues are being monitored and managed.
-  Required elements to manufacture and produce the end item are unknown or have significant risks with no mitigation strategies. Significant manufacturing/producibility issues exist to scale from LRIP to FRP with no mitigation strategies.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Planning/Execution

SUSTAINMENT

SUSTAINMENT: Progress toward defining and executing the sustainment strategy; the adequacy of resources to accomplish key sustainment planning activities.

SUSTAINMENT CRITERIA

6.11.25 Sustainment Plan is approved and aligns with the Capability Production Document (CPD) and the Acquisition Strategy. Life Cycle Business Case Analysis (BCA) for the Sustainment Plan [i.e. Performance Based Logistics (PBL)] is valid.

-  Sustainment Plan is approved and aligns with the CPD and the Acquisition Strategy.
-  Sustainment Plan is approved, but updates are required.
-  Sustainment Plan is not approved.

6.11.26 Organizations are executing key Sustainment activities {e.g., requirements tracking and verification, environmental planning [including National Environmental Policy Act (NEPA)/Executive Order (EO) 12114 documentation], providing safety releases to testers prior to test execution, inspection plans, maintenance concepts, and Total System Support Package} on or ahead of schedule.

-  Organizations are executing key Sustainment activities on or ahead of schedule.
-  Organizations are executing key Sustainment activities no more than 60 days behind schedule; delays are not seriously impacting program planning/execution activities.
-  Organizations are executing key Sustainment activities more than 60 days behind schedule; delays are seriously impacting program planning/execution activities.

[Criteria continued on next page]

6.11.27 Logistics and Sustainment capabilities have been assessed [Independent Logistics Assessment (ILA), Risk Management Process, training, facilities, and other] and can support planned Sustainment activities. Assessments of cost, schedule, and technical risks include consideration of Life Cycle cost and supportability performance. Environment, Safety and Occupational Health (ESOH) hazards and their associated risks are assessed and tracked.

-  Logistics and Sustainment capabilities have been assessed and can support planned Sustainment activities.
-  Logistics and Sustainment capabilities have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  Logistics and Sustainment capabilities have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

6.11.28 Sustainment costs have been identified and included in program cost estimates.

-  Sustainment costs have been identified and included in program cost estimates.
-  Sustainment costs have been identified, but are not included in program cost estimates.
-  Sustainment costs have not been identified.

6.11.29 All Sustainment Key Performance Parameters (KPPs), Key System Attributes (KSAs), and other attributes meet threshold values.

-  All Sustainment KPPs, KSAs, and other attributes meet threshold values.
-  All Sustainment KPPs and KSAs meet threshold values, but one or more other attributes is failing to meet threshold values.
-  One or more Sustainment KPPs/KSAs is failing to meet threshold values.

[Criteria continued on next page]

6.11.30 Procuring support resources (technical data, spares, test equipment/data/procedures, etc.) for planned sources of supply, maintenance, and repair as needed to execute the Sustainment Plan.

-  Procuring support resources for planned sources of supply, maintenance, and repair on or ahead of schedule.
-  Procuring support resources for planned sources of supply, maintenance, and repair no more than 60 days behind schedule; delays are not seriously impacting program execution activities.
-  Procuring support resources for planned sources of supply, maintenance, and repair more than 60 days behind schedule; delays are seriously impacting program execution activities.

6.11.31 Joint Capabilities Integration and Development System (JCIDS) required supportability related plans (e.g., maintenance plan, design for supportability, etc.) are complete, current and valid.

-  JCIDS required supportability related plans are complete, current and valid.
-  There are some content-related issues with JCIDS required supportability related plans, but revision is in work.
-  JCIDS required supportability related plans are invalid and no revision is in work.

6.11.32 All key areas of the Sustainment Plan [including Maintenance Planning, Supply Support, Technical Data, Computer Resources Report, Package Handling Storage and Transportation (PHS&T), Manpower and Personnel, Support Equipment, Training and Training Support, Facilities, Environment, Safety and Occupational Health (ESOH), and Design Interface] have been assessed and can support planned Sustainment activities.

-  All key areas of the Sustainment Plan have been assessed and can support planned Sustainment activities.
-  All key areas of the Sustainment Plan have been assessed. Mitigation plans exist for identified gaps with no impact on program schedule.
-  All key areas of the Sustainment Plan have been assessed. Significant gaps exist that are not being resolved and are impacting program schedule.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Planning/Execution

SOFTWARE

SOFTWARE: Software code developed by government agencies and/or contractors that is integral to program deliverables; evaluated in terms of software size/stability, cost/schedule, organization and quality.

SOFTWARE CRITERIA: SIZE/STABILITY

6.12.28 Process to collect and assess size Metric is being used; size trending and actual vs. planned size are being tracked, analyzed and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

6.12.29 Size variations are within tolerance or justification and waiver has been approved.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

SOFTWARE CRITERIA: ORGANIZATION

6.12.30 Process to collect and assess organization Metric is being used; organization trend lines (hours per sampling period, training complete, and key software personnel arrivals and departures, comparing actuals vs. planned) are being tracked, analyzed, and reported.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Criteria continued on next page]

6.12.31 Organization Metrics are within tolerance or justification and waiver has been approved.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

SOFTWARE CRITERIA: COST/SCHEDULE

6.12.32 Standard process to collect and assess cost/schedule Metric is being used; cost/schedule variances, trends and performance indices are being tracked, analyzed and reported.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

6.12.33 Cost/schedule Metrics are within tolerance or justification and waiver has been approved.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

SOFTWARE CRITERIA: QUALITY

6.12.34 Standard process to collect and assess quality Metric is being used; quality variances, trends and performance indices are being tracked, analyzed and reported.



Meets all elements of the Criteria.



Partially meets elements of the Criteria.



Does not address any elements of the Criteria.

[Criteria continued on next page]

6.12.35 Quality Metrics are within tolerance or justification and waiver has been approved. Process for defect remediation is being used and defects have been eliminated to within acceptable limits.

-  Meets all elements of the Criteria.
-  Partially meets elements of the Criteria.
-  Does not address any elements of the Criteria.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Planning/Execution

CONTRACT EXECUTION

CONTRACT EXECUTION: Performance of up to six (6) major contractors¹¹⁴ as measured by the Earned Value Management System (EVMS); Contractor Performance Assessment Reports (CPARs)/Informal Performance Assessment Reports (IPARs); staffing adequacy; and work package completion.

CONTRACT EXECUTION CRITERIA

This Criteria will be used to assess EACH contractor's performance separately.

6.13.16 [For contracts using the Earned Value Management System (EVMS)]¹¹⁵:

Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the To Complete Performance Index (TCPI) based on the contractor's Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by less than 5%. Cumulative SPI and CPI points are 0.95 or better.



Government's independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points lie between 0.90 and 0.95.



Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points lie below 0.90. –OR– No EVMS data due to program re-baseline since last report.

[Criteria continued on next page]

¹¹⁴ Selected Acquisition Report (SAR) Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

¹¹⁵ Criteria 6.13.16 is applicable for contracts using EVMS; if EVMS is not being used, then select the "N/A" grade for Criteria 6.13.16 and select the appropriate Green/Yellow/Red grade for Criteria 6.13.17.

6.13.17 [For contracts that are not using the Earned Value Management System (EVMS)]¹¹⁶: Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.

-  Contractor is meeting schedule milestones and all contractual delivery requirements. Cost to completion estimates exceed contract target cost by less than 5%.
-  Contractor has missed a schedule milestone, but is meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by 5-10%.
-  Contractor has missed a schedule milestone and is not meeting all contractual delivery requirements. Cost to completion estimates exceed contract target cost by more than 10%.

6.13.18 All Contractor Performance Assessment Report (CPAR)/Informal Performance Assessment Report (IPAR) Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, Program Manager (PM) subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.

-  All CPAR/IPAR Factor ratings are Green or above, and Contractor is at 90% (or above) of award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Green.
-  Some CPAR/IPAR Factor ratings are Yellow (with no more than one Red Factor rating), and/or Contractor is at 80-89% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR/IPAR Factor categories would have met Criteria for Yellow.
-  Some CPAR/IPAR Factor ratings are Yellow (with two or more Red Factor ratings); or Contractor is below 80% of possible award/incentive fee for duration of contract to date. –OR– If CPAR/IPAR data is not available, PM subjective evaluation using CPAR Factor categories would have met Criteria for Red.

[Criteria continued on next page]

¹¹⁶ Criteria 6.13.17 is applicable for contracts NOT using EVMS; if EVMS is being used, then select the “N/A” grade for Criteria 6.13.17 and select the appropriate Green/Yellow/Red grade for Criteria 6.13.16.

6.13.19 Contractor is properly staffed (in terms of availability, skills, experience, and certifications) to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.

-  Contractor is properly staffed to execute program activities. Actual contractor executing manning levels deviate less than 5% from current staffing plan.
-  Contractor has some manning issues, but issues are not affecting program activities. Actual contractor executing manning levels deviate 5-10% from current staffing plan.
-  Contractor has significant manning issues that are affecting program activities. Actual contractor executing manning levels deviate more than 10% from current staffing plan.

6.13.20 Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.

-  Contractor is executing with less than 5% deviation from the current approved work package plan. Work packages due within the next 6 months are on or ahead of schedule.
-  Contractor is executing with 5-10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by no more than 30 days.
-  Contractor is executing with more than 10% deviation from the current approved work package plan. Work packages due within the next 6 months are behind schedule by more than 30 days.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
Program Planning/Execution

GOVERNMENT PROGRAM OFFICE PERFORMANCE

GOVERNMENT PROGRAM OFFICE PERFORMANCE: Progress toward defining and executing intra-government requirements; government responsiveness to Request for Proposal (RFP)/Request for Information (RFI) inquiries, technical inquiries, Contract Data Requirements List (CDRLs), etc.; delivery of facilities, funding, Government Furnished Equipment (GFE)/Government Furnished Information (GFI) in accordance with scheduled requirements; Configuration Control Board (CCB) and Risk Management Board (RMB) effectiveness.

GOVERNMENT PROGRAM OFFICE PERFORMANCE CRITERIA

6.14.25 Intra-government requirements {e.g., Government Furnished Equipment (GFE), Government Furnished Information (GFI), PM agreements, Technology Transfer Agreements, Enterprise [Naval Aviation Enterprise (NAE), Surface Warfare Enterprise (SWE), Naval Facilities Engineering Command (NAVFAC), etc.] and SYSCOM Customer Service Agreements} have been defined and are being executed according to plan.

-  Intra-government requirements have been defined and are being executed according to plan.
-  Intra-government requirements have been defined, but are being executed behind schedule.
-  Intra-government requirements have not been defined.

6.14.26 Government facilities are available in accordance with scheduled requirements.

-  Government facilities are available in accordance with scheduled requirements.
-  Some schedule, maintainability and/or availability issues exist with regards to Government facilities, but issues are not affecting contract execution.
-  Significant schedule, maintainability and/or availability issues exist with regards to the delivery of Government facilities that are affecting contract execution.

[Criteria continued on next page]

6.14.27 Program Office releases funding to contractor(s) to maintain execution of the contract schedule.

-  Program Office releases funding to the contractor to maintain execution of the contract schedule.
-  Program Office releases funding late to the contractor, but not affecting contract execution.
-  Program Office releases funding late to the contractor and is affecting contract execution.

6.14.28 Government responds to deliverable submissions by due date [e.g., technical inquiries, review of Contract Data Requirements List (CDRL) items (to include review/approval of engineering drawings, contractor questions, etc.)].

-  Government responds to deliverable submissions by due date.
-  Less than 10% of responses to deliverable submissions are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of responses to deliverable submissions are overdue by more than 30 days; late responses are affecting contract execution.

6.14.29 Government Furnished Equipment (GFE) is being delivered in accordance with scheduled requirements.

-  GFE is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFE is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFE is overdue by more than 30 days; late delivery is affecting contract execution.

6.14.30 Government Furnished Information (GFI) is being delivered in accordance with scheduled requirements.

-  GFI is being delivered in accordance with scheduled requirements.
-  Less than 10% of GFI is overdue by more than 30 days; late delivery is not affecting contract execution.
-  10% (or more) of GFI is overdue by more than 30 days; late delivery is affecting contract execution.

[Criteria continued on next page]

6.14.31 Government Configuration Control Board (CCB) has been established and is responsive to proposed changes [e.g., Engineering Change Proposals (as applicable), deviation, waivers, or temporary modifications].

-  Government CCB is responsive to proposed changes.
-  Less than 10% of CCB responses to proposed changes are overdue by more than 30 days; late responses are not affecting contract execution.
-  10% (or more) of CCB responses to proposed changes are overdue by more than 30 days; late responses are affecting contract execution. –OR– CCB has not been established.

6.14.32 Risk Management Board (RMB) has been established to identify, categorize, and mitigate risks. Risks are being mitigated per established timelines and are not being realized as issues.

-  Risks are being mitigated per established timelines and are not being realized as issues.
-  Risks mitigation timelines have slipped, but are not manifesting as issues.
-  Risks have manifested as issues. –OR– RMB has not been established.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
External Influencers

FIT IN VISION

FIT IN VISION: Program alignment with current documented Office of the Secretary of Defense (OSD) guidance and Navy/Marine Corps strategies.

FIT IN VISION CRITERIA

6.15.7 Program aligns with current documented Office of the Secretary of Defense (OSD) capability guidance/vision [e.g., Guidance for the Development of the Force (GDF), Quadrennial Defense Review (QDR)].

-  Program is in strong alignment with current documented OSD capability guidance/vision.
-  Program is in moderate alignment with current documented OSD capability guidance/vision.
-  Program is not in alignment with current documented OSD capability guidance/vision.

6.15.8 Program aligns with current documented Navy/Marine Corps strategies [e.g., Navy Strategic Plan (NSP), A Cooperative Strategy for 21st Century Seapower, Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) Guidance].

-  Program is in strong alignment with current documented Navy/Marine Corps strategies.
-  Program is in moderate alignment with current documented Navy/Marine Corps strategies.
-  Program does not align with current documented Navy/Marine Corps strategies.

[Back to Gate 6 Pre FRP Directory](#)

Gate 6 (Pre FRP)
External Influencers

PROGRAM ADVOCACY

PROGRAM ADVOCACY: Support demonstrated by key stakeholders: Congressional; Office of the Secretary of Defense (OSD); Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC); Joint Staff and Combatant Commander (COCOM); International Partners; Other Services (for Joint programs).

Stakeholders include:

1. Congressional
 - a. Senators/members of Congress/professional staff of the four committees [House Armed Services Committee (HASC); Senate Armed Services Committee (SASC); House Appropriations Committee (HAC); Senate Appropriations Committee (SAC)]
2. Office of the Secretary of Defense (OSD)¹¹⁷
 - a. Under Secretary of Defense (USD) Acquisition, Technology and Logistics (AT&L)
 - b. Assistant Secretary of Defense (ASD) Command, Control, Communications and Intelligence (C3I)
 - c. Program Assessment and Evaluation (PA&E)
 - d. Director of Operational Test and Evaluation (DOT&E)
 - e. ASD (Comptroller)
3. Department of the Navy (DON)/Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC)
4. Joint Staff and Combatant Commander (COCOM)
5. International Partners¹¹⁸
 - a. Senior governmental decision makers/executives of foreign industry partners/foreign military sales/international partnerships
6. Other Services¹¹⁹

¹¹⁷ Each OSD stakeholder is assessed individually.

¹¹⁸ Only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS).

¹¹⁹ Only required for Joint programs.

PROGRAM ADVOCACY CRITERIA

6.16.19 Congressional Advocacy

- G** Strong Congressional Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget
 - Positive signs of interest in program

- Y** Neutral Congressional Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget
 - No signs of interest in program

- R** Negative Congressional Advocacy as demonstrated by:
 - Negative tone of public statements
 - Marked budget
 - Negative actions against program

6.16.20 OSD Advocacy¹²⁰

6.16.20.1 USD AT&L Advocacy

- G** Strong USD AT&L Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral USD AT&L Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative USD AT&L Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

¹²⁰ OSD stakeholders are assessed individually in Criteria 6.16.20.1-6.16.20.5 below.

6.16.20.2 ASD C3I Advocacy

- G** Strong ASD C3I Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral ASD C3I Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative ASD C3I Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.20.3 PA&E Advocacy

- G** Strong PA&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral PA&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative PA&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

6.16.20.4 DOT&E Advocacy

- G** Strong DOT&E Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral DOT&E Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative DOT&E Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.20.5 ASD (Comptroller) Advocacy

- G** Strong ASD (Comptroller) Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program

- Y** Neutral ASD (Comptroller) Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program

- R** Negative ASD (Comptroller) Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

[Criteria continued on next page]

6.16.21 DON/CNO/CMC Advocacy

- G** Strong DON/CNO/CMC Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports program budget and schedule
 - Positive signs of interest in program
- Y** Neutral DON/CNO/CMC Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of budget/schedule
 - No signs of interest in program
- R** Negative DON/CNO/CMC Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting budget/stretching schedule
 - Negative actions against program

6.16.22 Joint Staff and COCOM Advocacy

- G** Strong Joint Staff and COCOM Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral Joint Staff and COCOM Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative Joint Staff and COCOM Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

[Criteria continued on next page]

6.16.23 International Partners Advocacy¹²¹

- G** Strong International Partners Advocacy as demonstrated by:
 - Positive tone of public statements
 - Positive signs of interest in program
- Y** Neutral International Partners Advocacy as demonstrated by:
 - Neutral tone of public statements
 - No signs of interest in program
- R** Negative International Partners Advocacy as demonstrated by:
 - Negative tone of public statements
 - Negative actions against program

6.16.24 Other Services Advocacy¹²²

- G** Strong Other Services Advocacy as demonstrated by:
 - Positive tone of public statements
 - Supports applicable joint program budget and schedule
 - Positive signs of interest in program
- Y** Neutral Other Services Advocacy as demonstrated by:
 - Neutral tone of public statements
 - Mixed support of applicable joint budget/schedule
 - No signs of interest in program
- R** Negative Other Services Advocacy as demonstrated by:
 - Negative tone of public statements
 - Cutting applicable joint budget/stretching applicable joint schedule
 - Negative actions against program

[Back to Gate 6 Pre FRP Directory](#)

¹²¹ Criteria 6.16.23 is only required for programs with Foreign Military Partners and/or Foreign Military Sales (FMS). If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

¹²² Criteria 6.16.24 is only required for Joint programs. If this Criteria does not apply, then and the PM/user should select "N/A" in the Naval PoPS Criteria Spreadsheet.

Gate 6 (Pre FRP)
External Influencers

INTERDEPENDENCIES

INTERDEPENDENCIES: Integration ratings for programs that share crucial, significant, or enabling interdependencies as reported by OSD Defense Acquisition Executive Summary (DAES); determines whether dependent programs are on track to deliver the requisite capability or quantity on schedule.

Note: The Interdependencies Criteria assessment should reflect the most current OSD DAES Report for the program. The following OSD DAES definitions apply:

Interoperability (I) Ratings:

- Synchronization - PM for the program under review will provide an assessment (Green, Yellow or Red color in I-box) of the synchronization of this program with the needs of his program. In other words, whether the dependant program is on track to deliver the quantity required on the scheduled required.
- Criticality – PM for the program under review will provide an assessment (a number in the I-box) of its importance to your program meeting the capabilities identified in the CONOPS/CPD and articulated in the Key Performance Parameters (KPPs)/Key System Attributes (KSAs)/other performance attributes.
- The following terms of reference will be used:
 - 1= Crucial Interdependency
 - Program cannot achieve capabilities articulated in the CONOPS/CPD without the related capability provided by this program.
 - 2= Significant Interdependency
 - Program full realization of capabilities identified in CONOPS will be diminished but all CPD threshold capabilities will be met.
 - 3= Enabling Interdependency
 - While programs are related and complementary, failure to deliver this program does not substantially impact the ability of the program under review to deliver the documented capabilities.

INTERDEPENDENCIES CRITERIA:

6.17.4 [Based on OSD DAES]: All Crucial (1) interoperability ratings are Green. All Significant (2) interoperability ratings are Green. Less than 10% of Enabling (3) interoperability ratings are Yellow. No Red ratings. –OR– If OSD DAES data is not a reporting requirement, Program Manager (PM) subjective evaluation using Interoperability rating definitions would have met Criteria for Green.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): All interoperability ratings are Green.
- Enabling (3): Less than 10% of interoperability ratings are Yellow. No Red ratings.



- Crucial (1): All interoperability ratings are Green.
- Significant (2): No more than 10% of interoperability ratings are Yellow. No Red ratings.
- Enabling (3): 10-50% of interoperability ratings are Yellow. No more than 20% of interoperability ratings are Red.



- Crucial (1): One or more interoperability ratings is Yellow or Red.
- Significant (2): More than 10% of interoperability ratings are Yellow. –OR– One or more Red interoperability ratings.
- Enabling (3): More than 50% of interoperability ratings are Yellow. –OR– More than 20% of interoperability ratings are Red.

[Back to Gate 6 Pre FRP Directory](#)

CHAPTER 2

Naval PoPS Criteria Spreadsheet



TABLE OF CONTENTS

1.0 Introduction to Naval PoPS Criteria Spreadsheet	394
2.0 Program Health Assessment Process	394
3.0 Key Spreadsheet Terms	396
4.0 Spreadsheet Scoring Methodology	396
4.1 Criteria Scoring	396
4.2 Metric Scoring	397
4.3 Factor Scoring	397
4.4 Program Health Scoring.....	399
5.0 Spreadsheet Components.....	400
5.1 Directions Tab.....	400
5.2 Metric Criteria Tabs.....	402
5.3 Summary Tab.....	403
5.4 Killer Blows	404
6.0 PowerPoint Generation	406
7.0 Naval PoPS Spreadsheet Demonstration	410
8.0 Notable Exceptions in the PoPS Spreadsheet	417
8.1 Metric Tab: Industry/Company Assessment	417
8.2 Metric Tab: Contract Execution	420
8.3 Metric Tab: Software.....	421

[Back to Criteria Handbook Table of Contents](#)

LIST OF FIGURES

Figure 1: Naval PoPS Program Health Assessment process.	395
Figure 2: Metric Ratios determine the appropriate color threshold.	397
Figure 3: Factor Ratios determine the appropriate color thresholds.	398
Figure 4: The Program Health Ratio determines the overall color code for the program.....	399
Figure 5: Directions tab.....	400
Figure 6: Program Information on the Directions tab.	401
Figure 7: Metric Criteria Tab Components.	402
Figure 8: Summary Tab (before Program Health assessment is completed). .	403
Figure 9: Summary of Program Health scores after all Metric Criteria assessments are complete.....	404
Figure 10: Killer Blow example on Metric tab.....	404
Figure 11: Killer Blow example on Summary tab.	405
Figure 12: Complete the Criteria assessments for each Level 2 Metric.....	406
Figure 13: Program Health Summary Tab.....	407
Figure 14: Click Generate PPT Button to create Program Health framework PowerPoint Slide.	407
Figure 15: Program Health framework components are hyperlinked to associated Metric Visuals.....	409
Figure 16: Directions tab.....	410
Figure 17: User must complete all Program Information data fields.	411
Figure 18: Select the milestone initiation designation for the Program.	412
Figure 19: Number of Contracts.	412
Figure 20: Contractor/Company Names.	413
Figure 21: Metric Criteria assessment worksheet.....	414
Figure 22: Program Health framework on the Summary tab.	415
Figure 23: Click the 'Generate PPT' Button on the Summary Tab.....	416
Figure 24: Copy the Program Health framework image into the PPT Brief. ...	416
Figure 25: Provide the number of contracts and the name of each company/contractor.	418
Figure 26: Industry and Company Assessment Criteria.	418
Figure 27: User indicates that there are no major contracts.....	419
Figure 28: Industry Assessment Criteria only.	419
Figure 29: Provide the number of contracts and the name of each company/contractor.	420
Figure 30: Contract Execution Criteria Statements.....	420
Figure 31: Software Criteria Statements are divided into four Sub-Metrics. .	421

1.0 INTRODUCTION TO NAVAL POPS CRITERIA SPREADSHEET

The Naval PoPS Criteria Spreadsheet was created to simplify and standardize the Program Health Assessment process. It is the key tool for Naval PoPS implementation and is required to assess each Program Health Criteria. The Spreadsheet enables the user to score each Criteria (Green, Yellow, or Red) and immediately view how those ratings impact the corresponding Level 2 Metric, Level 1 Factor, and overall Program Health scores and color codes. Because the spreadsheet calculates scores and color codes dynamically, the user can quickly identify the specific sets of Metric Criteria that are negatively impacting the Program. Moreover, it provides the user with a repeatable, defensible and traceable process for evaluating a program's health at any point in the acquisition life cycle.

2.0 PROGRAM HEALTH ASSESSMENT PROCESS

The overall process to evaluate the Program Health Criteria and generate the Summary PowerPoint slide for the Naval PoPS Gate Review Brief is outlined below and depicted in Figure 1.

1. Choose the Naval PoPS Criteria spreadsheet that corresponds with the program's position in the acquisition process and the upcoming Gate or Program Review.
2. Open the Directions tab. Reference the General Information sections and then complete all required Program Information data fields.
3. Open the first Metric tab and grade each Criteria Statement by selecting either Green, Yellow or Red from the drop-down menus. Repeat this process for all applicable Metric tabs.
4. Open the Summary tab to review the final Program Health Assessment framework. This framework will reflect the scores and color codes on each of the Metric tabs.
5. Click the "Generate PPT" button to export the Program Health Assessment framework onto a PowerPoint slide. This image can then be copy-pasted into the Naval PoPS Gate Review Brief.

Naval PoPS Program Health Assessment Process Map

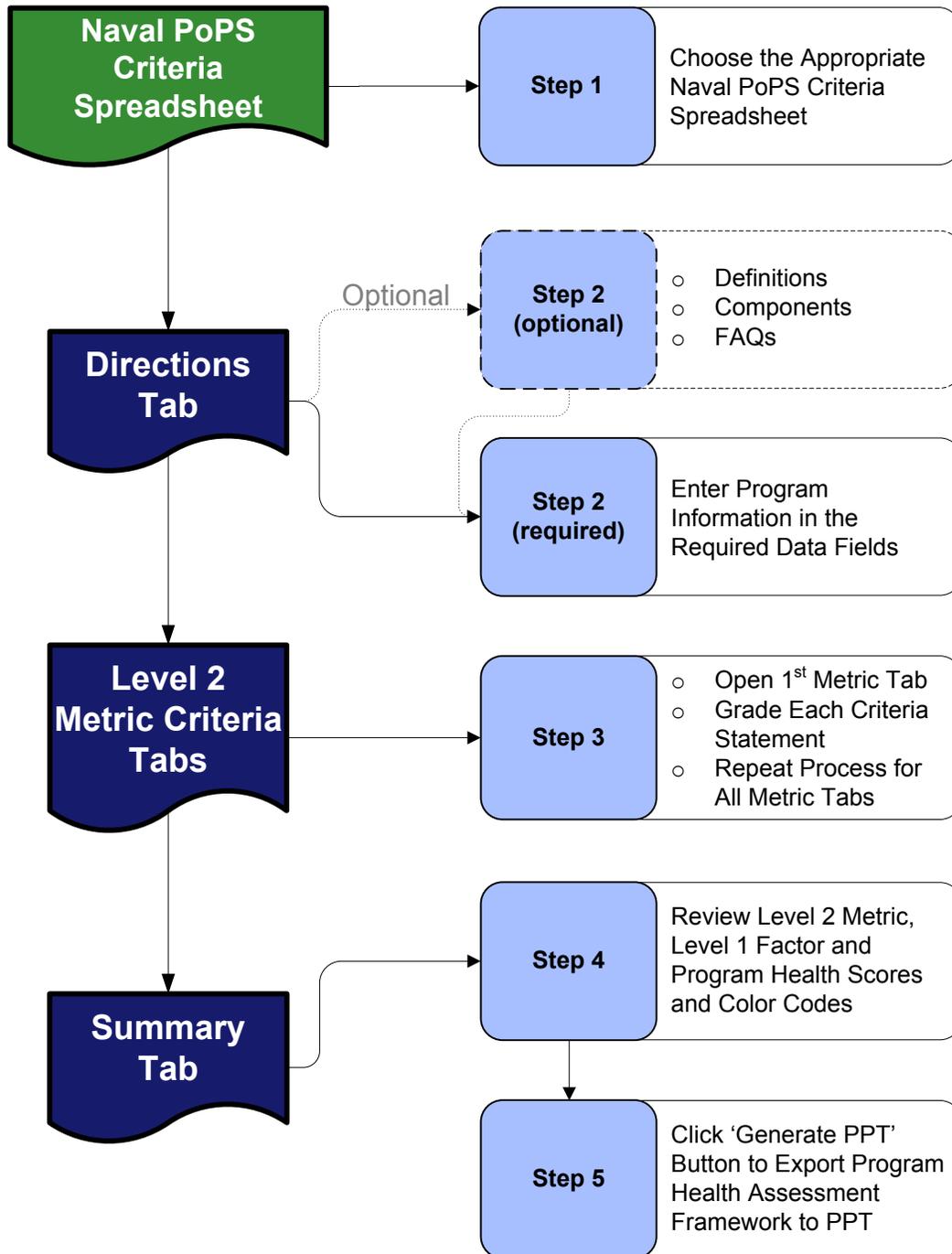


Figure 1: Naval PoPS Program Health Assessment process.

3.0 KEY SPREADSHEET TERMS

This section describes the key components of each Naval PoPS Criteria Spreadsheet.

Directions Tab: The Directions tab provides “General Information” about the Naval PoPS Criteria Spreadsheet and includes a “Program Information” section where users are required to input information about the program.

Summary Tab: Once all of the Criteria assessments are complete, the Summary tab displays the Level 2 Metric, Level 1 Factor and overall Program Health scores and color codes. User can also click the “Generate PPT” button to export the Program Health Assessment framework onto a PowerPoint slide.

Metric Criteria Tabs: The Spreadsheet contains a separate tab for each Level 2 Metric. The user must assess the Criteria Statements within each Metric tab to complete the Program Health Assessment process.

Killer Blows: A Killer Blow occurs when a potential non-executable situation exists for the Program that must be remedied. Killer Blows are identified at the *Metric* level when one or more of the top three (or four) weighted Metrics for a Gate is Red. When a Killer Blow Metric is Red, the associated Factor automatically turns Red, which then turns the Program Red. In the spreadsheet, the presence of a Killer Blow is indicated by a red flag symbol next to the Metric score and color code.

4.0 SPREADSHEET SCORING METHODOLOGY

The Naval PoPS Criteria Spreadsheet uses scores, ratios, and color thresholds to determine Program Health scores and color codes at the Metric, Factor and Program levels. The following section provides definitions and examples of how Metric, Factor and Program Health scores are determined and converted to standard color codes.

4.1 Criteria Scoring

Criteria Maximum Score: The numerical score associated with a Green Criteria statement.

Criteria Score: The numerical score associated with the Criteria Response that the PM or designated user selects in the Naval PoPS Criteria Spreadsheet.

4.2 Metric Scoring

Metric Maximum Score: The maximum numerical score awarded to a Metric if all associated Criteria are answered Green.

Metric Score: The numerical score awarded to a Metric as calculated by the sum of the associated Criteria scores. For example, if the “Parameter Status” Metric has three associated Criteria, then the Metric score is determined by the following calculation:

$$\begin{aligned}\text{Metric Score} &= \text{Criteria 1 Score} + \text{Criteria 2 Score} + \dots \text{Criteria N Score} \\ \text{Metric Score} &= 8.60 + 5.32 + 6.00^{123} \\ \text{Metric Score} &= 19.92\end{aligned}$$

Metric Ratio: The Metric Ratio is equal to the Metric Score divided by the Metric maximum score. This determines the color threshold associated with the Metric. For example, if the “Parameter Status” Metric receives a score of 19.92 points from a Gate 2 Criteria assessment, then the Metric Ratio is determined by the following calculation:

$$\begin{aligned}\text{Metric Ratio} &= \text{Metric Score} / \text{Metric Maximum Score} \\ \text{Metric Ratio} &= 19.92 / 24 \\ \text{Metric Ratio} &= 83\%\end{aligned}$$

Metric Color Thresholds: The color threshold associated with the Metric Ratio determines the color code for the Level 2 Metric (see Figure 2). For example, if the “Parameter Status” Metric Ratio is 83%, then the Metric is automatically colored Green because the ratio lies within the Green threshold (80-100%).

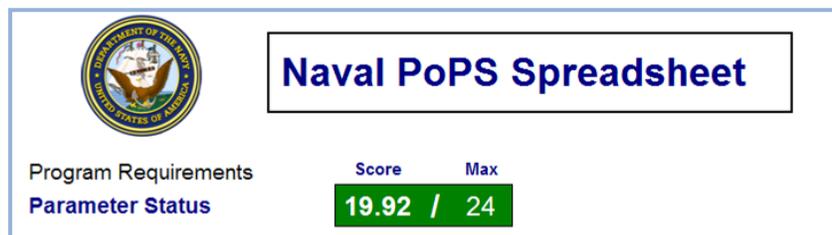


Figure 2: Metric Ratios determine the appropriate color threshold.

4.3 Factor Scoring

Factor Maximum Score: The maximum numerical score awarded to a Factor if all associated Metrics are awarded maximum scores.

¹²³ All scores are notional.

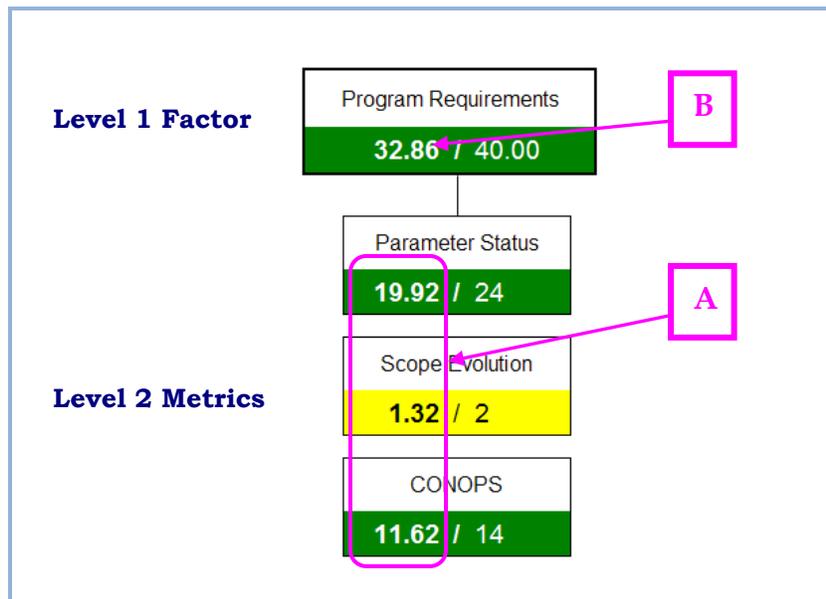
Factor Score: The numerical score awarded to a Factor as calculated by the sum of the associated Metric scores. For example, within Gate 2, the score for “Program Requirements” is calculated by summing the Level 2 Metric scores for “Parameter Status,” “Scope Evolution,” and “CONOPS.”

$$\begin{aligned} \text{Factor Score} &= \text{Metric 1 Score} + \text{Metric 2 Score} \dots + \text{Metric N Score} \\ \text{Factor Score} &= \text{Parameter Status (19.92)} + \text{Scope Evolution (1.32)} \\ &\quad + \text{CONOPS (11.62)} \\ \text{Factor Score} &= 32.86 \end{aligned}$$

Factor Ratio: The Factor Ratio is equal to the Factor Score divided by the Factor maximum score. This determines the color threshold associated with the Factor. For example, if the “Program Requirements” Factor receives a score of 32.86 for a Gate 2 assessment, then the Factor Ratio is determined by the following calculation:

$$\begin{aligned} \text{Factor Ratio} &= \text{Factor Score} / \text{Factor Maximum Score} \\ \text{Metric Ratio} &= 32.86 / 40 \\ \text{Metric Ratio} &= 82\% \end{aligned}$$

Factor Color Thresholds: The color threshold associated with the Factor Ratio determines the color code for the Level 1 Factor (see Figure 3). For example, if the “Program Requirements” Factor ratio is 82%, then the Factor is automatically colored Green because the ratio lies within the Green threshold (80-100%).



- A: Level 1 Factor points are derived by summing the scores of all of their Level 2 Metrics.
- B: Once the Level 1 Factor score has been calculated, the Level 1 Factor Ratio is derived by dividing the Factor score by the Factor maximum score.

Figure 3: Factor Ratios determine the appropriate color thresholds.

4.4 Program Health Scoring

Program Health Maximum Score: The maximum numerical score awarded to a Program if all associated Factors are awarded maximum scores. The Program Health maximum score is always 100 points.

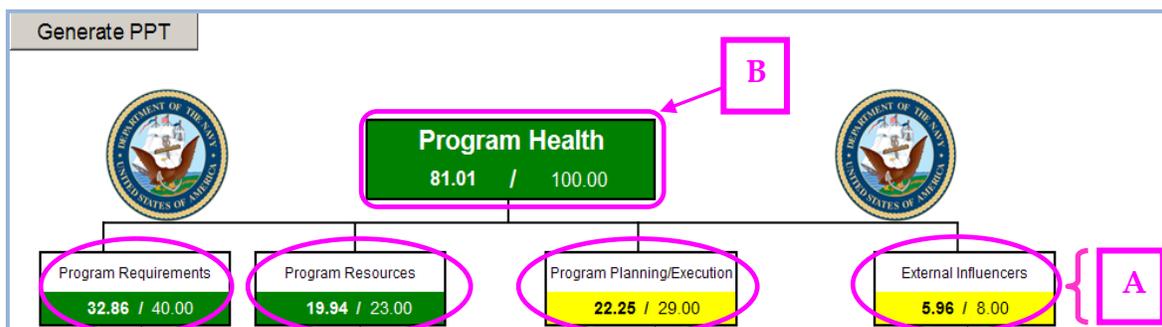
Program Health Score: The numerical score awarded to a Program as calculated by the sum of the four Factor scores (see example below).

$$\begin{aligned} \text{Program Health Score} &= \text{Program Requirements Score} \\ &+ \text{Program Resources Score} \\ &+ \text{Program Planning/Execution Score} \\ &+ \text{External Influencers Score} \\ \text{Program Health Score} &= 32.86 + 19.94 + 22.25 + 5.96 = 81.01 \\ \text{Program Health Score} &= 81.01 \end{aligned}$$

Program Health Ratio: The Program Health Ratio is equal to the sum of all four Level 1 Factors divided by 100 (Program Health maximum score). This determines the color threshold associated with the program.

$$\begin{aligned} \text{Program Health Ratio} &= \text{Program Health Score} / 100 \\ \text{Metric Ratio} &= 81.01 / 100 \\ \text{Metric Ratio} &= 81.01\% \end{aligned}$$

Program Health Color Thresholds: The color threshold associated with the Program Health Ratio determines the overall color code for the program (see Figure 4). For example, if the Program Health ratio is 81.01%, then the program is automatically colored Green because the ratio lies within the Green threshold (80-100%).



A: The scores of each Level 2 Metric are summed to determine Factor scores.

B: Factor scores are totaled to determine the overall Program Health score.

The Program Health ratio is determined by dividing the Program Health score by 100 points.

Figure 4: The Program Health Ratio determines the overall color code for the program.

5.0 SPREADSHEET COMPONENTS

This section describes the primary components of the Naval PoPS Criteria Spreadsheet: Directions tab, Summary tab, and Metric tabs.

5.1 Directions Tab

The Directions tab is the home page for the spreadsheet and is comprised of two main components: General Information and Program Information.

5.1.1 General Information

The General Information section (see Figure 5) provides users with spreadsheet information and reference material including:

- *Definitions* for Level 1 Factors, Level 2 Metrics and Major Contracts.
- *Spreadsheet Components* and their designated functions.
- *Support and Questions* indicates where users can go for technical support and provides answers to frequently asked questions.

**Naval PoPS
Criteria Spreadsheet**

General Information

- [Definitions](#)
- [Spreadsheet Components](#)
- [Support and Questions](#)

GATE 2

Program Information
* Must complete all information

Program Name:

PM Name:

PEO Name:

User Name:

Date (MM/DD/YY):

Program Initiation:

Number of Contracts:
Per SAR Section 15 (see Definitions)

Company/
Contractor 1:

Company/
Contractor 2:

Company/
Contractor 3:

Company/

Directions Summary 2.1 Parameter Status 2.2 Scope Evolution 2.3 CONOPS 2.4 Budget 2.5 Manning 2.6 Acquisition Mana

A. The General Information section provides links to helpful resources within the spreadsheet.

Figure 5: Directions tab.

5.1.2 Program Information

The “Program Information” section (see Figure 6) is composed of the following required fields:

- Program Name
- PM Name
- PEO Name
- User Name
- Date of Evaluation
- Program Initiation: Designate whether the program was or will be initiated at Milestone A, B, or C.
- Number of Contracts: For Gates 2-6,¹²⁴ the user must specify the number of major contracts [up to six (6)] for Research, Development, Test and Evaluation (RDT&E), procurement, military construction (MILCON), and acquisition-related operations and maintenance (O&M) as defined in Selected Acquisition Report (SAR) Section 15.¹²⁵

The “Program Initiation” and “Number of Contract” fields on the Directions tab automatically filter applicable Criteria (and associated point allocations) in the “Industry/Company Assessment” and “Contract Execution” Metric tabs. All “Program Information” data fields must be completed before the user can proceed to the Metric Criteria tabs.

The screenshot displays the 'Naval PoPS Criteria Spreadsheet' interface. On the left, there is a header with the Department of the Navy seal and a 'General Information' section with links for 'Definitions', 'Spreadsheet Components', and 'Support and Questions'. The main content area is titled 'GATE 2' and contains a 'Program Information' section, which is highlighted with a pink box. This section includes the following fields: 'Program Name', 'PM Name', 'PEO Name', 'User Name', 'Date (MM/DD/YY)', 'Program Initiation' (set to 'Milestone B'), and 'Number of Contracts' (set to '4'). Below these are three 'Company/Contractor' fields, each with a placeholder '*Enter Here*'. At the bottom, a navigation bar shows tabs for 'Directions', 'Summary', '2.1 Parameter Status', '2.2 Scope Evolution', '2.3 CONOPS', '2.4 Budget', '2.5 Manning', and '2.6 Acquisition Mana'.

Figure 6: Program Information on the Directions tab.

¹²⁴ The Number of Contracts and Company/Contractor names(s) field does not apply to Gate 1.

¹²⁵ SAR Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

5.2 Metric Criteria Tabs

The Metric Criteria section consists of 17 tabs, one for each Level 2 Metric. Each Metric Criteria section contains specific Criteria Statements and associated Green/Yellow/Red responses required to evaluate the associated Metric (see Figure 7).

Naval PoPS Spreadsheet

Program Resources
Budget

Score **14.00** / Max **14**

Select Grade: **Green**

Green	2.4.1	Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities (e.g., Concept of Operations (CONOPS), Capability Development Document (CDD), cost estimating, technology assessments, and various studies) to progress to next gate review with low risk.
		<p>G: Funding is sufficient and available to allow program planning activities to proceed to next gate review with low risk.</p> <p>Y: Funding is insufficient and available to allow program planning activities to proceed to next gate review with moderate risk.</p> <p>R: Funding is not sufficient or available to allow program planning activities to proceed to next gate review without high risk.</p>
Green	2.4.2	Funding, based on current cost estimate, is being POMed across the Future Years Defense Program (FYDP). Planned/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. [If S-Curve has been developed]: Program is funded to > 45% probability on the S-Curve.
		<p>G: Funding, based on current cost estimate, is being POMed across the FYDP. Planned/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. [If S-Curve has been developed]: Program is funded to > 45% probability on the S-Curve.</p> <p>Y: Funding, based on current cost estimate, is being POMed across the FYDP. Planned/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. [If S-Curve has been developed]: Program is funded to 30-45% probability on the S-Curve.</p> <p>R: Funding has NOT been approved for NOT being POMed across the FYDP. -OR- Planned/POMed budget deviates from the current cost estimate by more than</p>

2.3 CONOPS / **2.4 Budget** / 2.5 Manning / 2.6 Acquisition Management / 2.7 Industry Company As

- A: Criteria Statement
- B: Criteria Responses
- C: Green/Yellow/Red Criteria Grade
- D: Metric Score Ratio

Metric Criteria tab

Figure 7: Metric Criteria Tab Components.

5.3 Summary Tab

The Summary tab illustrates the Program Health framework, which consists of the Factors and Metrics applicable to the DON Gate Review. When the user first opens the spreadsheet, the Metric, Factor and Program Health blocks in the framework will be Red because no points have been awarded (see Figure 8).

The Killer Blow Metrics for each Gate are identified by Red flags to the left of the Metric blocks; in Figure 8, “Parameter Status,” “CONOPS,” and “Budget” are Killer Blow Metrics. For the complete list of Killer Blow Metrics per Gate, reference the Naval PoPS Guidebook.

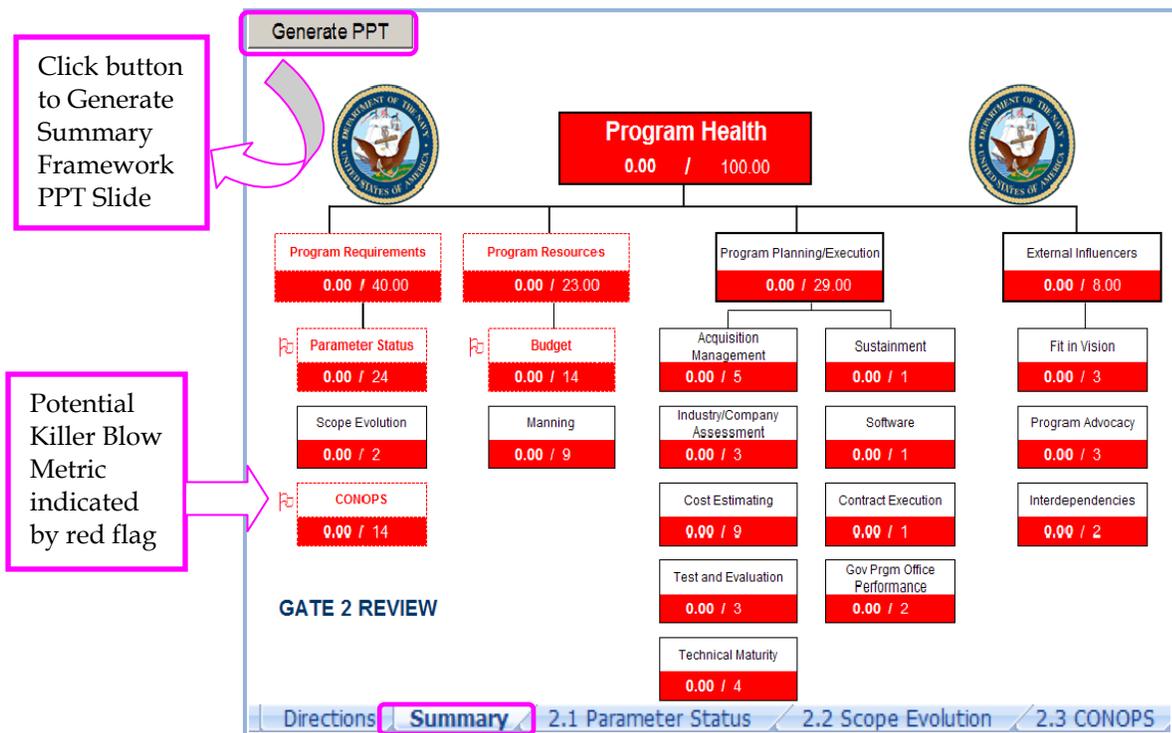


Figure 8: Summary Tab (before Program Health assessment is completed).

Once the user has completed all Criteria assessments, the derived Metric scores are aggregated to determine the associated Factor scores which, in turn, determine the overall Program Health score (always out of 100 points maximum). The Summary tab also reports the color codes based on the Metric, Factor and Program Health score ratios (see Figure 9).

The user can export the Program Health summary framework into a PowerPoint slide by clicking the ‘Generate PPT’ button on the Summary tab. See Section 6.0 for more information.

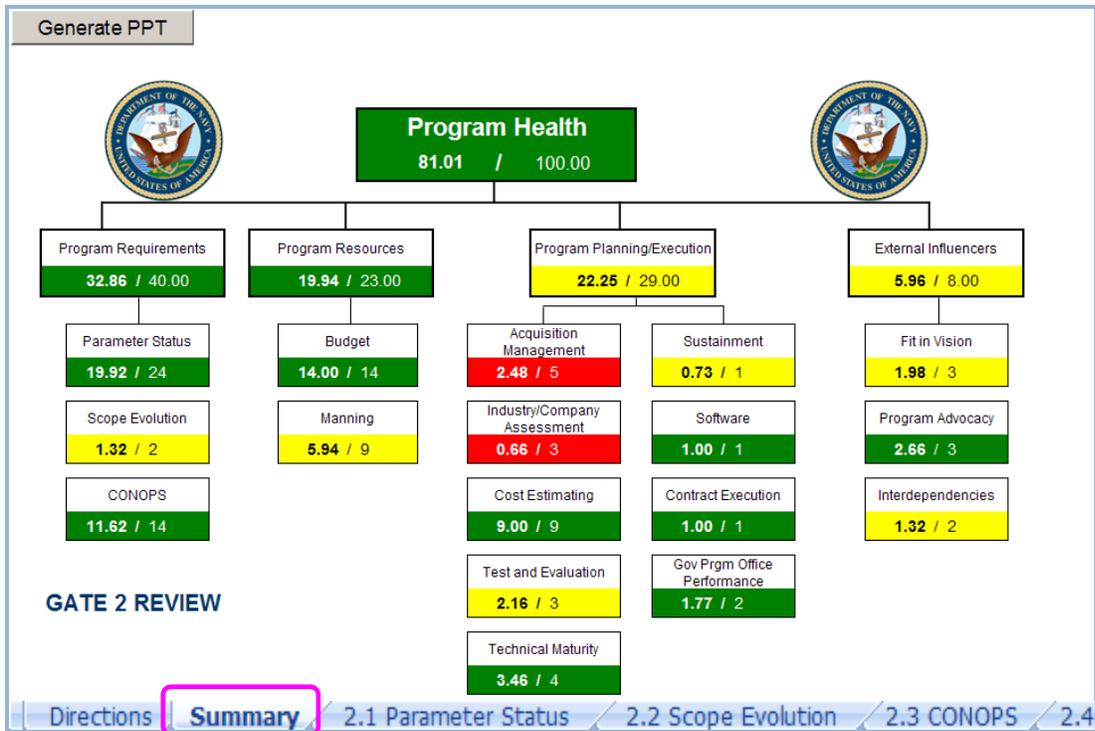


Figure 9: Summary of Program Health scores after all Metric Criteria assessments are complete.

5.4 Killer Blows

The Naval PoPS Criteria Spreadsheet incorporates the notion of Killer Blows as defined in Section 3.0 above. When one or more of the top three (or four) rated Metrics for a Gate receives an overall Red rating (Metric Score Ratio is <60%), the spreadsheet automatically documents the Metric score as a Killer Blow and notifies the user by displaying a Red flag. In the example in Figure 10, a Killer Blow is generated because “Budget” – a Killer Blow Metric for the Gate – receives an overall Red rating from the Criteria grades. As a result, a Red flag appears to the right of the ratio on the Metric tab to identify the Killer Blow situation.

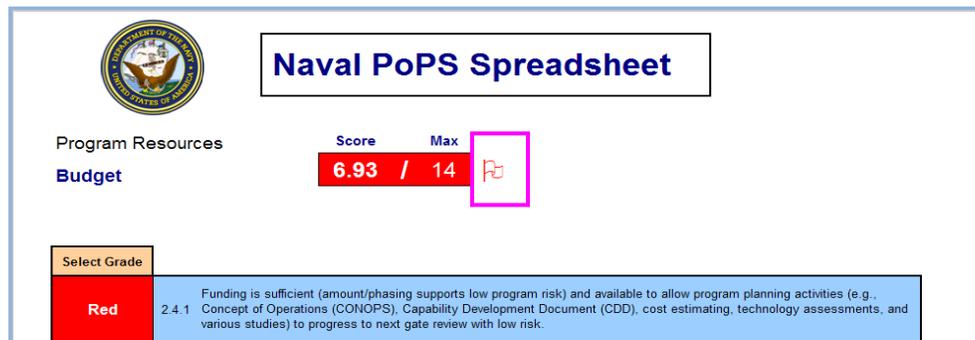


Figure 10: Killer Blow example on Metric tab.

When a Killer Blow situation occurs at the Metric level, the associated Factor and overall Program Health scores do not change. A Killer Blow simply overrides the color threshold rule and makes the associated Factor and overall Program Red.

In Figure 11 below, even though the “Program Resources” ratio (14.40/23.00) and the Program Health ratio (79.29/100) both fall within the Yellow threshold (60-<80%), the Killer Blow in the “Budget” Metric overrides the threshold rule and colors the Factor and Program Health blocks Red. The red flag next to the “Budget” block indicates the Killer Blow at the Metric level.

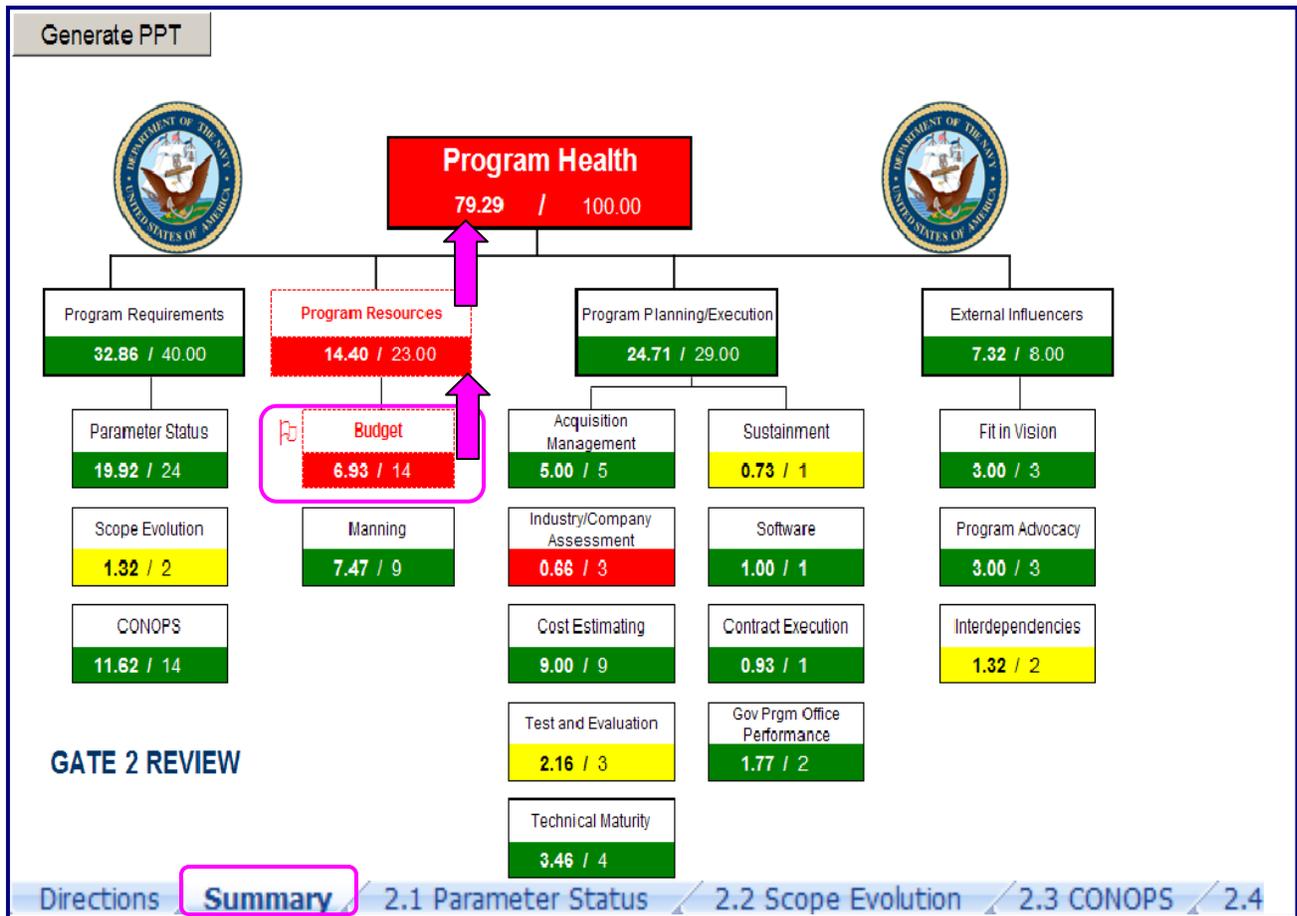


Figure 11: Killer Blow example on Summary tab.

6.0 POWERPOINT GENERATION

This section explains the steps required to transfer the Naval PoPS summary framework - which displays the Metric, Factor and Program Health scores and color codes - from the spreadsheet onto a PowerPoint slide.

1. Complete all Criteria assessments in the Naval PoPS Criteria Spreadsheet for the upcoming Gate Review as instructed in Section 5.0 above (see Figure 12).

The screenshot displays the 'Naval PoPS Spreadsheet' interface. At the top left is the Department of Defense seal. The title 'Naval PoPS Spreadsheet' is centered in a box. Below the title, 'Program Resources' is listed as 'Budget' with a score of '14.00 / 14'. The main area contains two criteria assessment sections:

Select Grade	Criteria
Green	<p>2.4.1 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities (e.g., Concept of Operations (CONOPS), Capability Development Document (CDD), cost estimating, technology assessments, and various studies) to progress to next Gate Review with low risk.</p> <p>G: Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with low risk.</p> <p>Y: Funding is sufficient and available to allow program planning activities to proceed to next Gate Review with moderate risk.</p> <p>R: Funding is not sufficient or available to allow program planning activities to proceed to next Gate Review without high risk.</p>
Green	<p>2.4.2 Funding, based on current cost estimate, is being POMed across the Future Years Defense Program (FYDP). Planned/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. [If S-Curve has been developed]: Program is funded to >45% probability on the S-Curve.</p> <p>G: Funding, based on current cost estimate, is being POMed across the FYDP. Planned/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. [If S-Curve has been developed]: Program is funded to >45% probability on the S-Curve.</p> <p>Y: Funding, based on current cost estimate, is being POMed across the FYDP. Planned/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. [If S-Curve has been developed]: Program is funded to 30-45% probability on the S-Curve.</p> <p>R: Funding has NOT been approved/is NOT being POMed across the FYDP. -OR- Planned/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. [If S-curve has been developed]: Program is funded to <30% probability on the S-Curve.</p>

Figure 12: Complete the Criteria assessments for each Level 2 Metric.

2. Verify Program Health Information on the Summary Tab (see Figure 13).

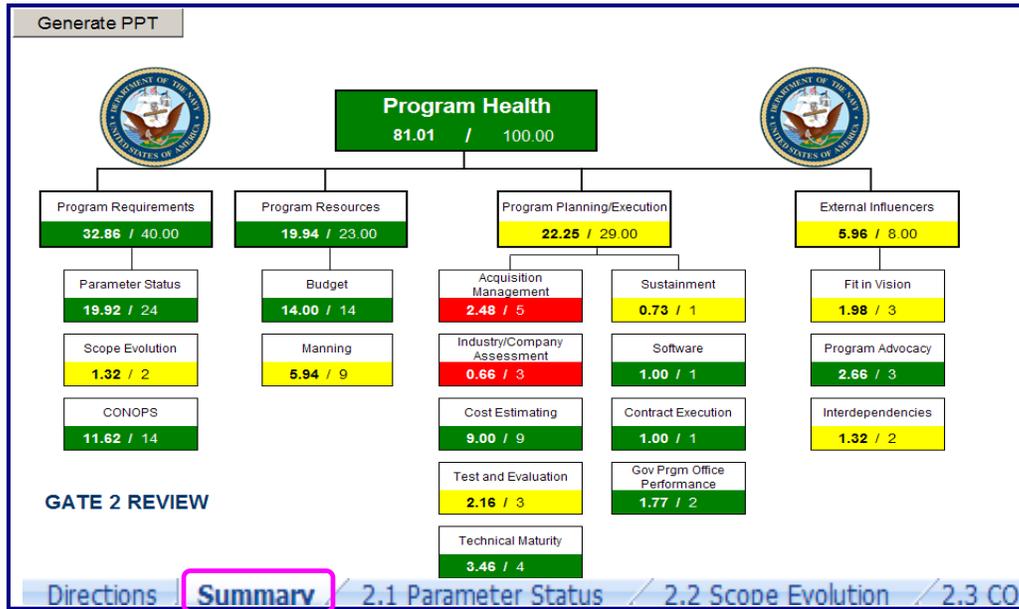


Figure 13: Program Health Summary Tab.

3. Click the “Generate PPT” button on the Summary tab to export the Program Health Framework onto a PowerPoint slide (see Figure 14).

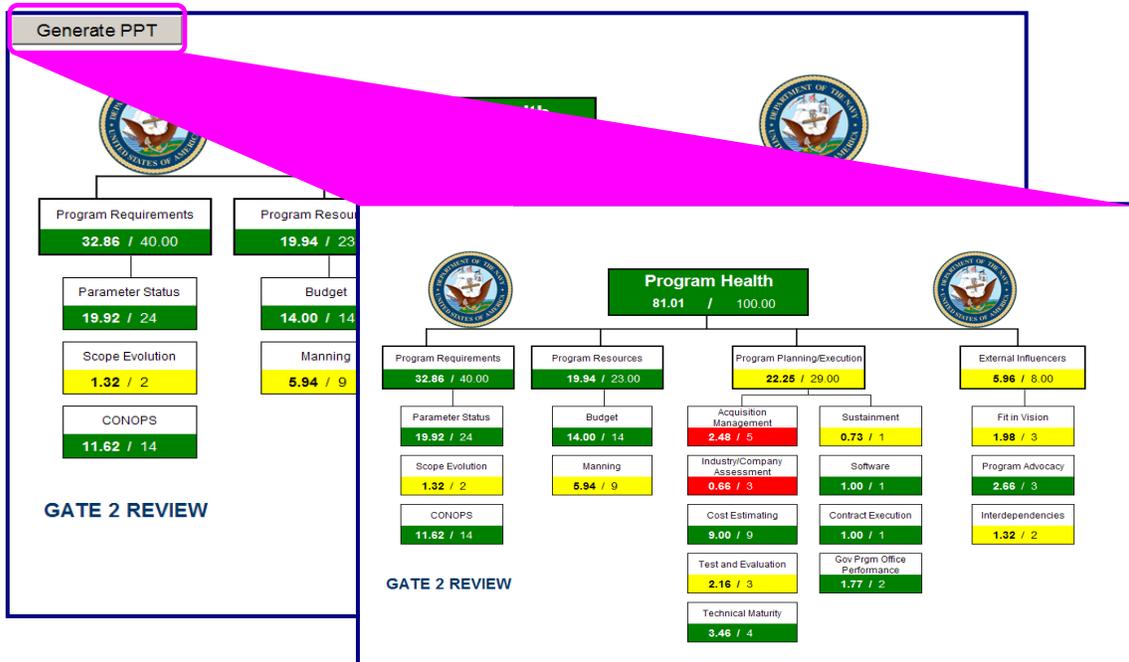


Figure 14: Click Generate PPT Button to create Program Health framework PowerPoint Slide.

4. Copy and paste the Program Health framework PowerPoint image into the associated Naval PoPS Gate Review Brief. Send the image to the back. Reference the Naval PoPS Visuals Handbook for more instructions.

Once the Program Health framework image has been pasted into the Naval PoPS Gate Review Brief, each of the Level 2 Metrics within the framework will be hyperlinked to the associated Metric Visual PowerPoint slides. When the PowerPoint file is in slide show view, the user can click on a Metric block to automatically move to that Metric's standard PowerPoint Visuals. Click on the DON logo in the upper left corner to return to the Program Health framework PowerPoint slide. The following list summarizes this process:

1. Copy and paste the Program Health framework image into the associated Naval PoPS Gate Review Brief.
2. Highlight the image and Send to Back (enables built-in hyperlinks).
3. Put the PowerPoint in slide show view.
4. Click on any Metric block on the Program Health framework image to navigate to that Metric's Visuals.
5. Click on the DON logo to navigate back to the Program Health framework slide.

In Figure 15, the top image shows the Program Health framework in the PowerPoint slide show view. When the user clicks on the "Budget" Metric block, the presentation automatically moves to the "Budget" Visuals (bottom image). When the user clicks on the DON logo, the presentation automatically goes back to the Program Health framework slide.

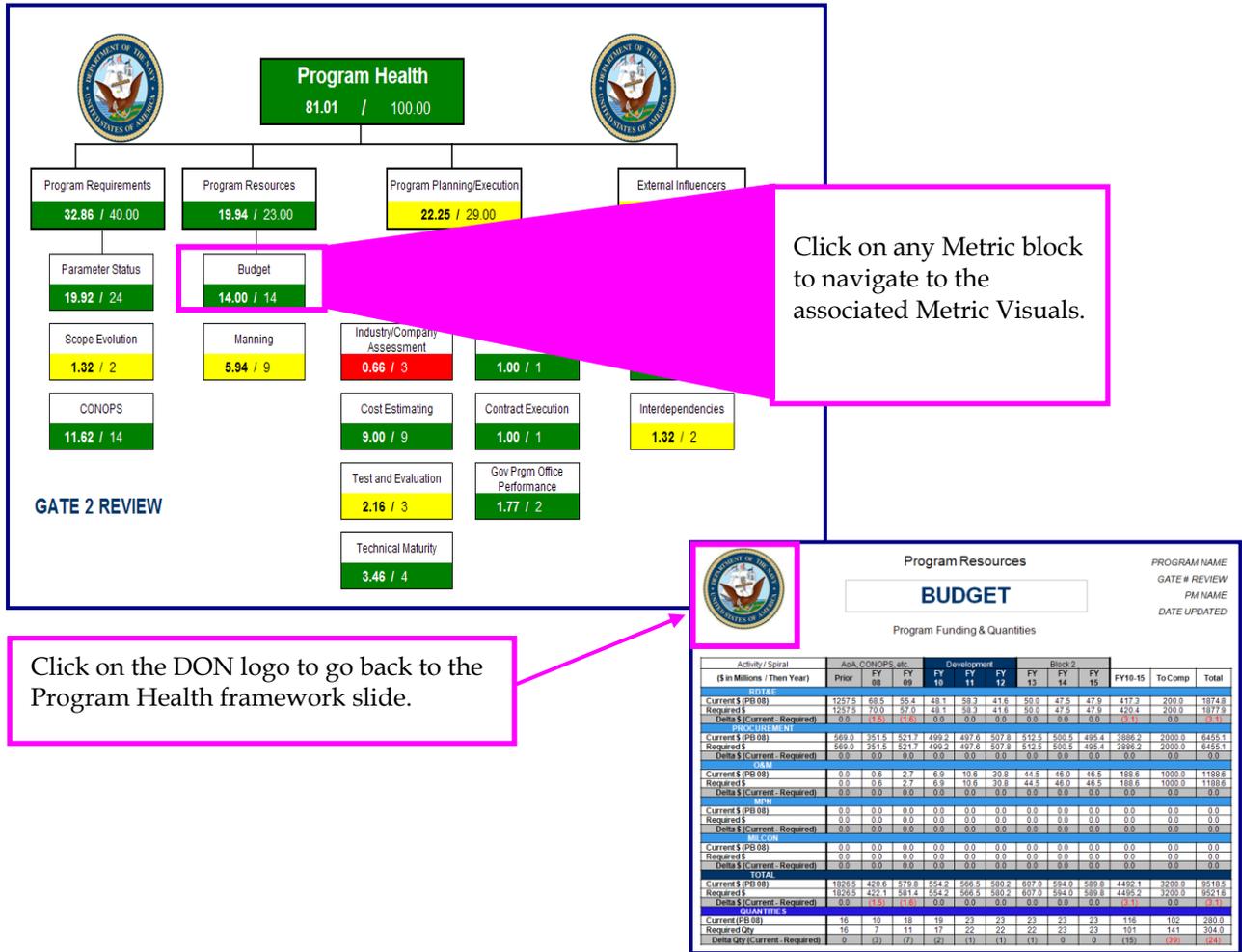


Figure 15: Program Health framework components are hyperlinked to associated Metric Visuals.

7.0 NAVAL POPS SPREADSHEET DEMONSTRATION

This section provides a step-by-step example of how to operate the Naval PoPS Criteria Spreadsheet.

1. Open the Naval PoPS Criteria Spreadsheet.

Each Naval PoPS Criteria Spreadsheet corresponds to a specific Program Health Assessment phase. For example, the file name “Gate 2_POPS CRITERIA_MMDDYY_v1.xls” refers to a Gate 2 Program Health Assessment. Choose the appropriate spreadsheet for the upcoming program review; upon opening the spreadsheet, the Directions tab appears (see Figure 16).

**Naval PoPS
Criteria Spreadsheet**



General Information

[Definitions](#)

[Spreadsheet Components](#)

[Support and Questions](#)

GATE 2

Program Information
* Must complete all information

Program Name:

PM Name:

PEO Name:

User Name:

Date (MM/DD/YY):

Program Initiation:

Number of Contracts:

Per SAR Section 15 (see Definitions)

Directions Summary 2.1 Parameter Status 2.2 Scope Evolution 2.3 CONOPS 2.4 Budget 2.5 Manning 2.6 Acquisition Mana

Figure 16: Directions tab.

2. Enter Program Information.

The Directions tab has two sections: the “General Information” section on the left and the “Program Information” section on the right. The user should refer to the links underneath the “General Information” heading to find information on the spreadsheet and its components. The “Program Information” section contains required data fields that the user must complete before completing the Metric Criteria assessments (see Figure 17).

The screenshot displays the 'Naval PoPS Criteria Spreadsheet' interface. On the left, there is a 'General Information' section with links for 'Definitions', 'Spreadsheet Components', and 'Support and Questions'. The main area is titled 'GATE 2' and contains a 'Program Information' section, which is highlighted with a pink box and includes a red asterisk warning: '* Must complete all information'. This section contains seven numbered fields (1-7) for data entry:

- 1 Program Name:
- 2 PM Name:
- 3 PEO Name:
- 4 User Name:
- 5 Date (MM/DD/YY):
- 6 Program Initiation:
- 7 Number of Contracts:

Below field 7, it states 'Per SAR Section 15 (see Definitions)'. At the bottom, a navigation bar shows tabs for 'Directions', 'Summary', '2.1 Parameter Status', '2.2 Scope Evolution', '2.3 CONOPS', '2.4 Budget', '2.5 Manning', and '2.6 Acquisition Mana...'.

Figure 17: User must complete all Program Information data fields.

2a. Complete Program Information data fields shown in Figure 17, # 1-5.

Type responses in the boxes next to the required data fields to complete the following information:

- Program Name
- Program Manager (PM) Name
- Program Executive Office (PEO) Name
- User Name (this may be the same or different from the PM name)
- Date (MM/DD/YY format)

2b. Complete the Program Initiation data field (Figure 17, #6).

Select the appropriate milestone initiation designation for the Program from the drop down menu: Milestone A, Milestone B or Milestone C (see Figure 18). This step is especially critical for Gate 2-5 spreadsheets because it determines which Metric Criteria are applicable for the Program Health Assessments.

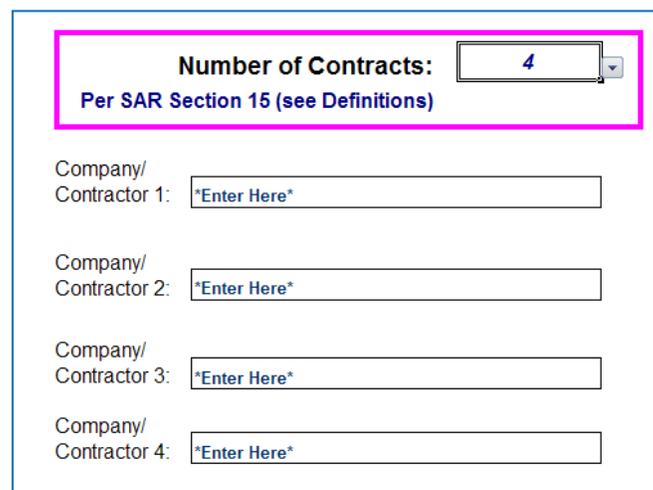


The image shows a form with two main sections. The first section is labeled 'Program Initiation:' and contains a dropdown menu currently set to 'Milestone A'. A pink oval highlights the dropdown menu, which is open to show three options: 'Milestone A' (highlighted in blue), 'Milestone B', and 'Milestone C'. The second section is labeled 'Number of Contracts. Per SAR Section 15 (see Definitions)' and contains a dropdown menu currently set to '- select-'.

Figure 18: Select the milestone initiation designation for the Program.

2c. Complete the Number of Contracts data field (Figure 17, #7).

Reminder: This step only applies to Programs preparing for Gate 2-6 Reviews. The user must specify the number of currently active, major contracts [up to six (6)] as defined in SAR Section 15 (see Figure 19).¹²⁶



The image shows a form with a pink border. At the top, there is a field labeled 'Number of Contracts:' with a dropdown menu set to '4'. Below this field is the text 'Per SAR Section 15 (see Definitions)'. Below this, there are four rows, each labeled 'Company/ Contractor 1:' through 'Company/ Contractor 4:'. Each row has a text input field containing the placeholder text '*Enter Here*'.

Select the number of major contracts (up to six) as defined in SAR Section 15.

Figure 19: Number of Contracts.

¹²⁶ SAR Section 15 requires programs to report information pertaining to major contracts for RDT&E, procurement, MILCON, and acquisition-related O&M. Data must be reported for the six (6) largest, currently active, contracts (excludes subcontracts) that exceed \$40 Million in then-year dollars.

2d. (Not required if Step 2c input is '0'): If the Program has one or more major contracts, then the user must indicate the Company/ Contractor name(s) on the Directions tab (see Figure 20).

The screenshot shows a web form interface. At the top, there is a label "Number of Contracts:" followed by a dropdown menu containing the number "4". Below this is a blue link text "Per SAR Section 15 (see Definitions)". The main part of the form is enclosed in a pink rectangular border and contains four rows of input fields. Each row is labeled "Company/ Contractor" followed by a number (1, 2, 3, or 4). Each input field contains the placeholder text "*Enter Here*" in blue.

Figure 20: Contractor/Company Names.

3. Complete Metric Criteria Assessments.

Select the appropriate Metric Criteria tab to begin the Program Health Assessment. The order in which the user chooses to grade the Metric Criteria does not matter; however, all Criteria must be graded before the Program Health Assessment is complete. For example, if the user selects the "Budget" Metric tab, a Metric Criteria assessment worksheet will appear (see Figure 21).

3a. Carefully read the Criteria Statement and evaluate the corresponding Criteria response options (Green, Yellow, or Red).

3b. Use the drop down box under "Select Grade" to select the color code that corresponds to the correct response for the Criteria Statement.

Naval PoPS Spreadsheet

Program Resources
Budget Score: **6.93** / Max: **14**

Select Grade	Criteria Statement	Criteria Responses
Red	2.4.1 Funding is sufficient (amount/phasing supports low program risk) and available to allow program planning activities (e.g., Concept of Operations (CONOPS), Capability Development Document (CDD), cost estimating, technology assessments, and various studies) to progress to next gate review with low risk.	<p>G: Funding is sufficient and available to allow program planning activities to proceed to next gate review with low risk.</p> <p>Y: Funding is sufficient and available to allow program planning activities to proceed to next gate review with moderate risk.</p> <p>R: Funding is not sufficient or available to allow program planning activities to proceed to next gate review without high risk.</p>
Yellow	2.4.2 Funding, based on current cost estimate, is being POMed across the Future Years Defense Program (FYDP). Planned/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. [If S-Curve has been developed]; Program is funded to >45% probability on the S-Curve.	<p>G: Funding, based on current cost estimate, is being POMed across the FYDP. Planned/POMed budget deviates from the current cost estimate by less than 10% overall, and for each appropriation. [If S-Curve has been developed]; Program is funded to >45% probability on the S-Curve.</p> <p>Y: Funding, based on current cost estimate, is being POMed across the FYDP. Planned/POMed budget deviates from the current cost estimate by 10-25% overall, or for any appropriation. [If S-Curve has been developed]; Program is funded to 30-45% probability on the S-Curve.</p> <p>R: Funding has NOT been approved/is NOT being POMed across the FYDP. –OR– Planned/POMed budget deviates from the current cost estimate by more than 25% overall, or for any appropriation. [If S-curve has been developed]; Program is funded to < 30% probability on the S-Curve.</p>

2.2 Scope Evolution / 2.3 CONOPS / **2.4 Budget** / 2.5 Manning / 2.6 Acquisition Management / 2.7 Industry Company Assessment / 2.8 Cost Estimation

A: Criteria Statement

B: Criteria Responses

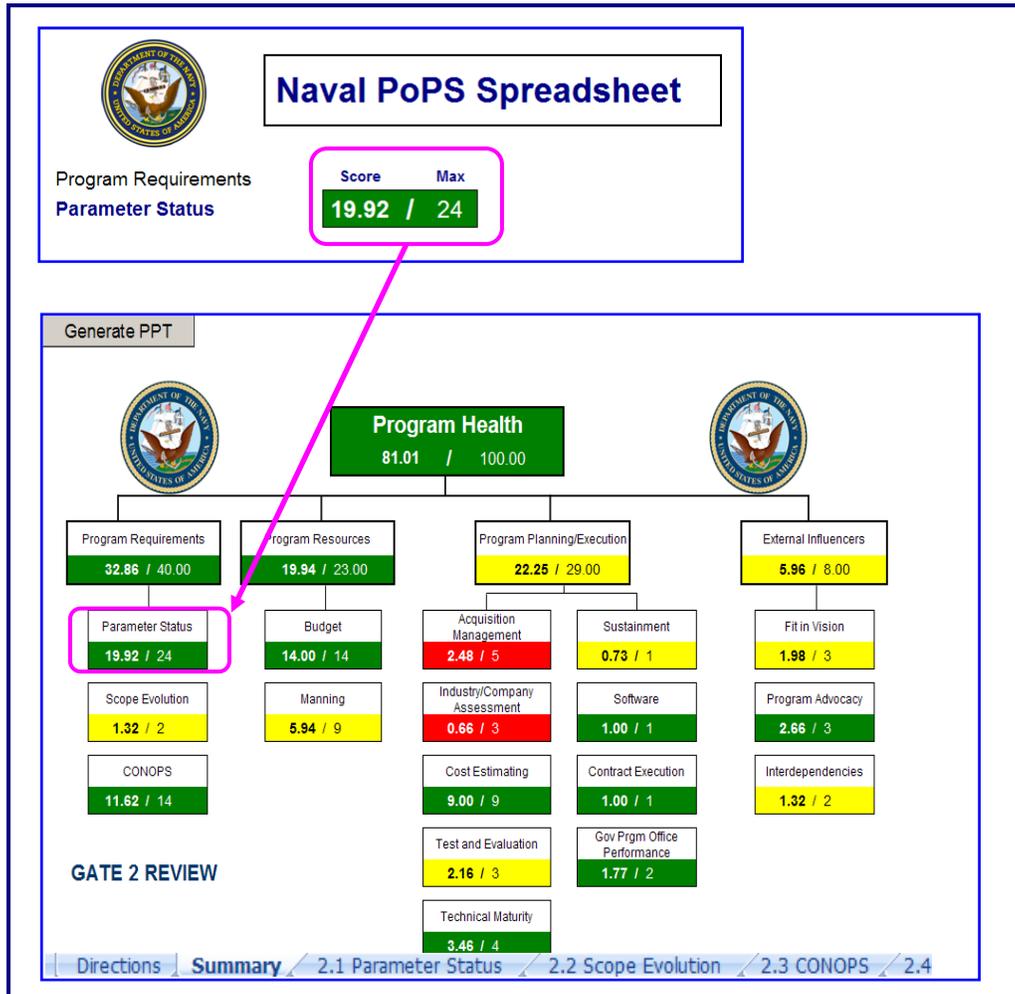
Figure 21: Metric Criteria assessment worksheet.

4. Select a grade for ALL Criteria statements on ALL Metric tabs. (Repeat steps 3a-3b for each Criteria statement.)

As each Criteria statement is graded, the Metric score at the top of the worksheet will reflect the current score and color code of the Metric. For each Metric, all Criteria statements must be evaluated in order to obtain the final Metric score and color code. Furthermore, all applicable Metrics must be completed to determine the associated Factor and overall Program Health scores and color codes on the Summary tab.

5. Review Summary Tab.

Open the Summary tab to view the current Program Health Assessment framework (see Figure 22). The score and color code in each Metric block is linked to the associated Metric Criteria tab. For example, in Figure 22 below, “Parameter Status” is Green (19.92 points out of a maximum 24 points), which reflects the “Parameter Status” Metric tab.



Each Metric on the Summary tab is linked to a Metric tab. Reference the Summary tab to view all of the Metric, Factor and Program Health scores and color codes after the Criteria assessments are complete.

Figure 22: Program Health framework on the Summary tab.

- Click the 'Generate PPT' button to create the Program Health framework PowerPoint slide (see Figure 23).

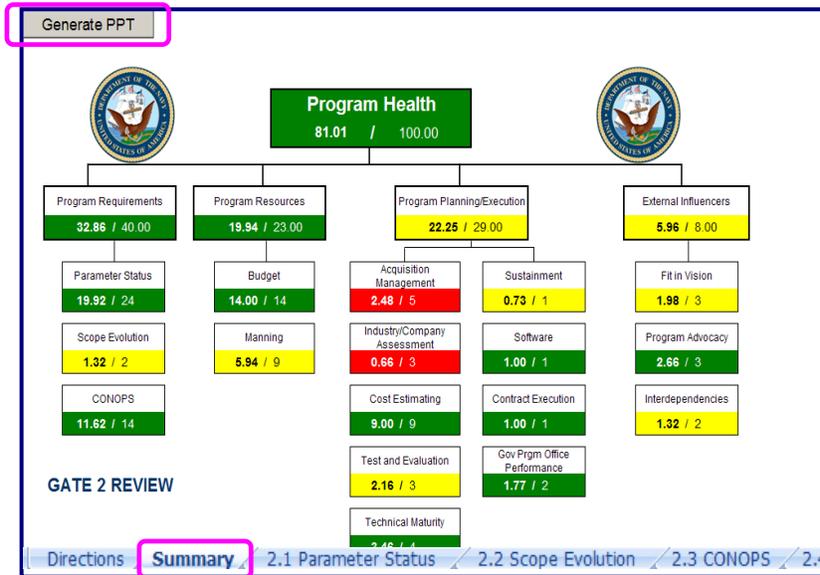


Figure 23: Click the 'Generate PPT' Button on the Summary Tab.

- Copy and paste the Program Health framework PowerPoint image into the associated Naval PoPS Gate Review Brief for Program Health. Then select the image and Send to Back. Reference the Naval PoPS Visuals Handbook for more instructions (see Figure 24).

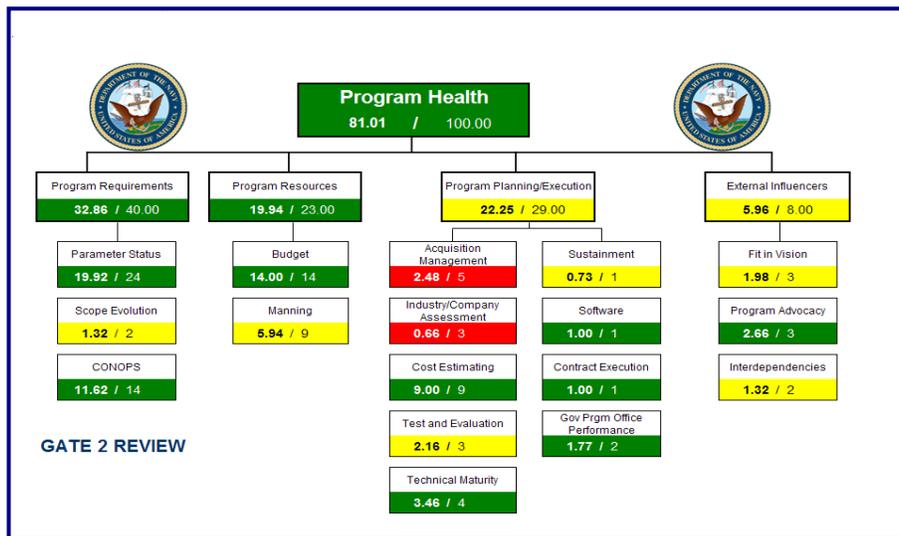


Figure 24: Copy the Program Health framework image into the PPT Brief.

8.0 NOTABLE EXCEPTIONS IN THE POPS SPREADSHEET

8.1 Metric Tab: Industry/Company Assessment

It is important to highlight the following exceptions for the “Industry/Company Assessment” Metric.

Gate 1 Review

- No “Industry Assessment” or “Company Assessment” Criteria are applicable.

Gate 2-5 Reviews

- There are several “Industry Assessment” Criteria required for *every program*. These Criteria measure the health of the industrial base in preparation for release of the Request for Proposal (RFP) at the DON Gate 5 Review. The user must grade each Criteria in this section.
- Below the “Industry Assessment” Criteria, there are several “Company Assessment” Criteria required for programs with major contracts as defined in SAR Section 15. The user must grade each Criteria in this section for each major contract (see Section 8.1.1). If the Program does NOT have any major contracts, then the “Company Assessment” Criteria is not applicable (see Section 8.1.2).

Gate 6 Reviews

- No “Industry Assessment” Criteria are applicable.
- The “Company Assessment” Criteria are required for *every program*. The set of Criteria must be answered for each major contract as defined in SAR Section 15.
- The spreadsheet will automatically determine the number of sets of “Company Assessment” Criteria based on user input to the ‘Number of Contracts’ field on the Directions tab (see Section 8.1.1).

8.1.1 Scenario 1: Program has one or more major contracts.

Complete the following steps if Scenario 1 applies to your program.

1. Identify the number of major contracts and enter the Company/Contractor name(s) on the Directions tab (see Figure 25). The names entered on the Directions tab will be transferred to each set of Criteria on the “Industry/Company Assessment” and “Contract Execution” Metric tabs.

Number of Contracts:

Per SAR Section 15 (see Definitions)

Company/
Contractor 1:

Company/
Contractor 2:

Company/
Contractor 3:

Company/
Contractor 4:

Figure 25: Provide the number of contracts and the name of each company/contractor.

2. Go to the “Industry/Company Assessment” Metric tab and answer the required Criteria statements (automatically determined based on user input in Step 1 above; see Figure 26).

For Gate 2-5 Reviews, there will be both “Industry Assessment” and “Company Assessment” Criteria. For Gate 6 Reviews, there will only be “Company Assessment” Criteria.

Program Planning/Execution Score **0.00** / **3** Max

Industry/Company Assessment

Select Grade	
***	<p>3.71 Market research activities (e.g., releasing Requests for Information (RFIs), soliciting government information on related contracts, conducting concept refinement/cost benefit studies, etc.) have been ongoing.</p> <p>0: Market research activities have been ongoing.</p> <p>1: Market research activities are being initiated.</p> <p>2: Market research activities have not started.</p>
***	<p>3.72 Industrial base health is strong (e.g., design capabilities, manufacturing/production capabilities, state of technological development, industrial base financial health (stock trends), domestic vs. foreign ownership, manpower availability, prime/sub-contractor supply chains, potential reuse candidates, etc.). More than one viable offeror is anticipated; preliminary market survey appears robust.</p> <p>0: Industrial base health is strong. More than one viable offeror is anticipated; preliminary market survey is robust.</p> <p>1: Industrial base health is moderate. More than one viable offeror is anticipated; preliminary market survey is adequate.</p> <p>2: Industrial base health is weak. Field of potential offerors is insufficient.</p>
***	<p>3.73 There is an understanding of the industrial implications for cost, schedule, and technical risks; planning to include industrial implications in the Acquisition Strategy. Industrial base concerns/risks are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan.</p> <p>0: Industrial base concerns/risks are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan.</p> <p>1: Industrial base concerns/risks are difficult to resolve, but risk mitigation strategies have been identified and incorporated into the overall program plan.</p> <p>2: Industrial base concerns/risks are not resolvable.</p>

END OF Assessment

Continue Assessment

Company 1

Select Grade	
***	<p>6.71 Company's financial health is strong (Price-Earnings (PE) ratio, accounting records), stable or trending upward.</p> <p>0: Strong financial health/stable or trending upward.</p> <p>1: Moderate financial health/stable or trending upward.</p> <p>2: Poor financial health--Off-Balance financial health, but trending downward.</p>
***	<p>6.72 Company's manpower resources are stable and adequate (e.g., availability, potential for strikes/work stoppages, etc.).</p> <p>0: Manpower resources are stable and adequate.</p> <p>1: Manpower resources are becoming unstable/insufficient, but issues are resolvable and corrective action has been initiated.</p> <p>2: Manpower resources are unstable/insufficient/contractor exit that are affecting program execution and/or are not being resolved.</p>
***	<p>6.73 Company demonstrates strong commitment to management of supply chain (e.g., Capability Maturity Model Integration (CMMI), International Organization for Standardization (ISO) 9000).</p> <p>0: Strong commitment to management of supply chain.</p> <p>1: Some degree of commitment to management of supply chain, but issues are resolvable and corrective action has been initiated.</p> <p>2: Significant concern with commitment to management of supply chain that are affecting program execution and/or are not being resolved.</p>
***	<p>6.74 Program is aligned with core business unit.</p> <p>0: Program is aligned with core business unit.</p>

Figure 26: Industry and Company Assessment Criteria.

8.1.2 Scenario 2: Program does not have any major contracts.¹²⁷

Complete the following steps if Scenario 2 applies to your program.

1. On the Directions tab, indicate that there are zero contracts (see Figure 27).

GATE 2 **Program Information**
 * Must complete all information

Program Name:

PM Name:

PEO Name:

User Name:

Date (MM/DD/YY):

Program Initiation:

Number of Contracts:

Per SAR Section 15 (see Definitions)

Figure 27: User indicates that there are no major contracts.

2. Go to the “Industry/Company Assessment” Metric tab and answer the required “Industry Assessment” Criteria statements (see Figure 28).

The spreadsheet will automatically remove the “Company Assessment” Criteria because it does not apply to the program; and it will automatically redistribute the Criteria point allocations.

Program Planning/Execution		Score	Max
Industry/Company Assessment		0.00	3
Select Grade			
...	3.7.1	Market research activities (e.g., releasing Requests for Information (RFIs), soliciting government information on related contracts, conducting concept refinement/cost benefit studies, etc.) have been ongoing.	
		<ul style="list-style-type: none"> ■ Market research activities have been ongoing. ■ Market research activities are being initiated. ■ Market research activities have not started. 	
...	3.7.2	Industrial base health is strong (e.g., design capabilities, manufacturing/production capabilities, state of technological development, industrial base financial health (stock trends), domestic vs. foreign ownership, manpower availability, prime/sub-contractor supply chains, potential reuse candidates, etc.). More than one viable offeror is anticipated, preliminary market survey appears robust.	
		<ul style="list-style-type: none"> ■ Industrial base health is strong. More than one viable offeror is anticipated; preliminary market survey is robust. ■ Industrial base health is moderate. More than one viable offeror is anticipated; preliminary market survey is adequate. ■ Industrial base health is weak. Few if any potential offerors is used/known. 	
...	3.7.3	There is an understanding of the industrial implications for cost, schedule, and technical risks; planning to include industrial implications in the Acquisition Strategy. Industrial base concerns/issues are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan.	
		<ul style="list-style-type: none"> ■ Industrial base concerns/issues are resolvable and risk mitigation strategies have been identified and incorporated into the overall program plan. ■ Industrial base concerns/issues are difficult to resolve, but risk mitigation strategies are being identified and incorporated into the overall program plan. ■ Industrial base concerns/issues are not resolvable. 	
■ END of Assessment ■			

Figure 28: Industry Assessment Criteria only.

¹²⁷ This scenario is only possible for programs in Gate 2-5 Reviews. Programs in Gate 6 Reviews will have one or more major contracts as defined in SAR Section 15.

8.2 Metric Tab: Contract Execution

The number of “Contract Execution” Criteria is directly related to the number of major contracts associated with the program. For example, if a program has two major contracts, then the user must complete the set of “Contract Execution” Criteria twice (once for each contract). After the user completes all Criteria assessments, the spreadsheet will display the color codes for each of the contracts, as well as the overall “Contract Execution” score and color code.

1. Identify the number of major contracts and enter the company/contractor name(s) on the Directions tab (see Figure 29).

Number of Contracts:

Per SAR Section 15 (see Definitions)

Company/
Contractor 1:

Company/
Contractor 2:

Company/
Contractor 3:

Company/
Contractor 4:

Figure 29: Provide the number of contracts and the name of each company/contractor.

2. Proceed to the “Contract Execution” Metric tab and fill out the set of Criteria statements for each contract. The contractor name(s) entered on the Directions tab will appear above each set of Criteria (see Figure 30).

Program Planning/Execution Score **0.93** / Max **1**

Contract Execution

Contractor 1:

Contractor 2:

Contractor 1:

Select Grade

Green 2.131

(For contracts using the Earned Value Management System (EVMS)): Government's independent estimate of the contract cost exceeds the total contract value by less than 5%. For a program that is at least 20% complete as measured by the EVMS, the Total Complete Performance Index (TCPI) based on the contractor's Latest Revised Estimate (LRE) exceeds the cumulative Cost Performance Index (CPI) by less than 5%. Cumulative Schedule Performance Index (SPI) and CPI points are 0.95 or better.

Yellow Government's independent estimate of the contract cost exceeds the total contract value by 5-10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by 5-10%. Cumulative SPI and CPI points are 0.90 and 0.95.

Red Government's independent estimate of the contract cost exceeds the total contract value by more than 10%. For a program that is at least 20% complete as measured by the EVMS, the TCPI based on the contractor's LRE exceeds the cumulative CPI by more than 10%. Cumulative SPI and CPI points are below 0.90. -OR- No EVMS data due to program re-baseline; check last report.

Figure 30: Contract Execution Criteria Statements.

8.3 Metric Tab: Software

The “Software” Metric tab divides Criteria into four Sub-Metrics: Software Size, Software Organization, Software Cost/Schedule, and Software Quality. The user must answer all Criteria for each of the Sub-Metrics. The spreadsheet will then display the scores and color codes for each of the Sub-Metrics, as well as the overall Software Metric score and color code (see Figure 31).

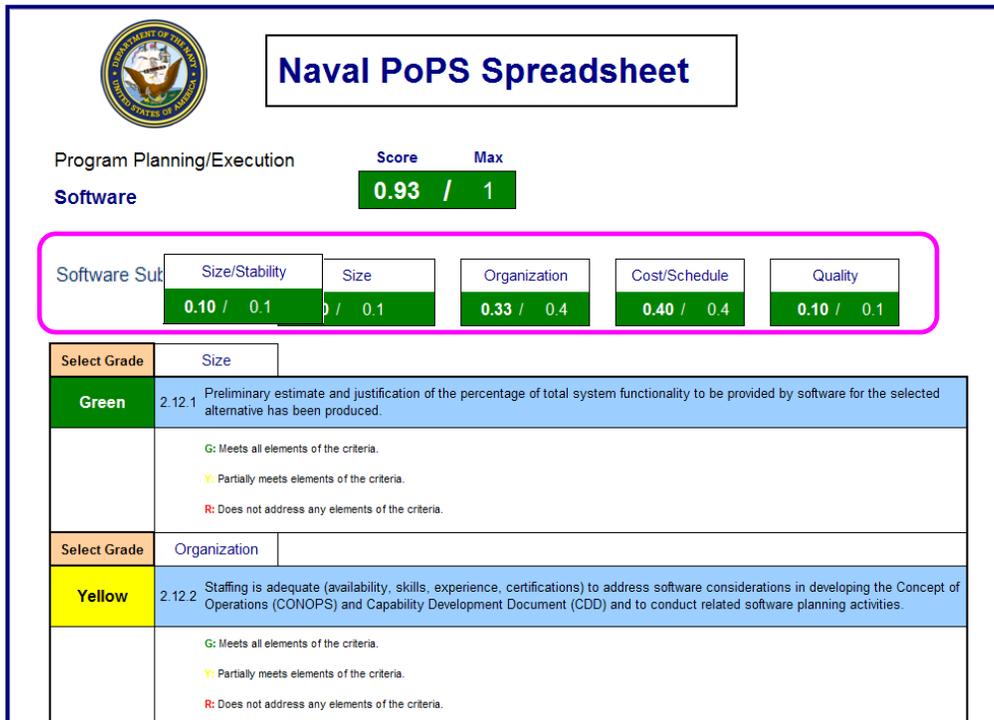


Figure 31: Software Criteria Statements are divided into four Sub-Metrics.

[Back to Criteria Handbook Table of Contents](#)