



MARCORSYSCOM

Acquisition Guidebook (MAG)

October 2014

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

TABLE OF CONTENTS

Chapter 1: EXECUTIVE SUMMARY	1
1.1 Scope.....	1
1.2 Applicability.....	2
1.2.1 MAP SharePoint.....	2
1.2.2 PoPS V2 & MARCORSSYSCOMO 5000.3A.....	3
Chapter 2: DEFENSE ACQUISITION MANAGEMENT SYSTEM	5
2.1 Requirements Transition Process (RTP) Applicability.....	5
2.2 RTP Overview.....	6
2.2.1 Requirements Transition Team (RTT) Purpose & Membership.	7
2.3 RTP Implementation.....	8
2.3.1 Non-Urgent Needs Requirements Documents & Process.....	9
2.3.2 Urgent Needs Process (UNP).....	10
2.4 Modification to Requirements.....	10
2.5 Issue Resolution.....	11
2.6 Defense Acquisition Framework.....	17
2.6.1 Milestone and Key Acquisition Events.....	19
2.6.2 Acquisition Phases and Key Events.....	22
2.6.3 Fielding.....	30
2.6.4 IOC and FOC.....	31
2.7 Evolutionary Acquisition.....	33
Chapter 3: PoPS IMPLEMENTATION	35
3.1 PoPS V2 Methodology.....	35
3.2 Tools for Implementing PoPS.....	35
3.3 Answering PoPS Criteria Questions.....	37
3.4 PoPS Baseline Approval Process.....	38
3.5 Gate Reviews.....	40
3.5.1 Combat Development and Integration (CD&I) Gate Review Responsibilities.....	40
3.6 Transitioning Ongoing Efforts to an ACAT Framework.....	43

Chapter 4: ACAT LEVELS	44
4.1 ACAT Program Overview.....	44
4.2 ACAT Designation Criteria.....	45
4.3 ACAT Categories.....	46
Chapter 5: ACAT DESIGNATION REQUESTS & DELEGATION	48
5.1 Designation and Delegation Authority.....	48
5.2 ACAT/AAP Designation & MDA/PDA Delegation Process.....	48
5.3 ACAT/AAP Designation Change Requests.....	50
Chapter 6: MANAGEMENT OF ACAT PROGRAMS	52
6.1 DoD Process for Assigning MDA.....	52
6.2 DoD Process for Managing ACAT Programs.....	52
6.3 MDA/PDA Responsibilities.....	53
6.3.1 PM Responsibilities.....	54
6.4 Management Procedures for Non-Delegated Programs.....	55
6.4.1 MAT Process.....	55
6.4.2 MAT Member Roles and Responsibilities.....	58
6.4.3 Detailed MAT Process Overview.....	59
6.4.4 MAT Issue Resolution Process.....	61
6.5 Management Procedures for Delegated Programs.....	62
Chapter 7: Better Buying Power (BBP)	63
7.1 BBP Overview.....	63
7.2 Should Cost.....	64
7.3 Affordability.....	64
7.3.1 Full Funding vs. Affordability.....	70
7.4 MDA Tailoring.....	70
7.5 Program Documentation.....	72
7.5.1 AAP Documentation.....	72
Chapter 8: TOOLS & ADDITIONAL GUIDANCE	74
8.1 Integrated Master Plan (IMP)/Integrated Master Schedule (IMS).....	74
8.2 Risk.....	76
8.2.1 Risk Reporting Matrix.....	77

8.3	Clinger-Cohen Act (CCA).....	78
8.4	Test and Evaluation (T&E) Planning.....	78
8.5	Business Capability Lifecycle (BCL) Implementation.....	79
8.5.1	BCL Implementation Plans.....	81
8.6	Memorandum of Agreement (MOA).....	82
8.7	Modifications.....	83
8.8	Acquisition Program Baseline (APB).....	83
8.9	Program Deviations (also called "breaches").....	85
8.9.1	PM/Stakeholder Responsibilities & Mandatory Timeframes..	86
8.9.2	Deviation Review Board.....	88
8.9.3	Documenting MDA Guidance and Decisions.....	89
8.9.4	Responsibilities and Timelines for Delegated Programs...	91
8.10	Acquisition Strategy/Acquisition Plan (AS/AP).....	94
8.11	Program Objective Memorandum (POM) Process.....	94
8.12	Intelligence Mission Data (IMD) Dependency.....	95
	Chapter 9: REPORTING TOOLS	96
9.1	RDAIS.....	96
9.1.1	Applicability.....	96
9.1.2	Reporting Requirements.....	97
9.1.2.1	Quarterly Submissions.....	97
9.1.2.2	Ad Hoc Submissions.....	97
9.1.3	RDAIS Access and Account Registration.....	97
9.1.4	RDAIS Roles and Responsibilities.....	98
9.2	TOPIC 2.0.....	99
9.2.1	TOPIC 2.0 Content.....	99
9.2.2	PM/PdM Responsibilities.....	101
9.2.3	ACPROG Responsibilities.....	101
	Chapter 10: JOINT PROGRAMS	102
10.1	Overview.....	102
10.2	Request to Participate (RTP).....	103
	Chapter 11: REMOVAL OF ACAT STATUS	104
	Chapter 12: ROLES AND RESPONSIBILITIES	105

TABLES

Table 2A.	RTT Membership.....	8
Table 2B.	RT Framework Summary.....	9
Table 2C.	Summary of RT Roles and Responsibilities.....	16
Table 4A.	ACAT Categories.....	45
Table 5A.	Designation Request Package Contents.....	50
Table 6A.	MAT Membership.....	56
Table 6B.	MAT Process Organizational Responsibilities.....	57
Table 6C.	MAT Member Roles and Responsibilities.....	58
Table 8A.	Responsibilities & Timeframes for Initial MDA Notification of Program Deviation.....	92
Table 8B.	Responsibilities & Timeframes for Preparation of the Program Deviation Report.....	93
Table 9A.	DASHBOARD Quarterly Responsibilities.....	99

FIGURES

Figure 1A.	MAP SharePoint Site.....	3
Figure 2A.	Top Level View of the Requirements Process.....	6
Figure 2B.	Defense Acquisition Framework.....	17
Figure 3A.	PoPS Baseline Approval and Reporting Process.....	40
Figure 3B.	MCSC Implementation of the DoD Defense Acquisition Framework with PoPS.....	42
Figure 6A.	Flow of MDA Authority to COMMARCORSYSCOM.....	52
Figure 7A.	Summary of MCSC Affordability Steps, Roles, and Responsibilities.....	66
Figure 8A.	Inputs Used to Develop Program Schedule (from PM e- Toolkit).....	74
Figure 8B.	Graphical Representation of Risk Reporting Matrix.	77
Figure 8C.	Risk Burn-Down Chart.....	78
Figure 8D.	BCL Process Overlay with DoDI 5000.02 Framework...	81
Figure 8E.	BCL Framework.....	82
Figure 8F.	MCSC Deviation Process.....	88

ENCLOSURES

Enclosure (a).	12 Steps to Program Success.....	108
Enclosure (b).	Example of Entry and Exit Criteria for Milestones and Key Acquisition Events.....	115
Enclosure (c).	Example of Initial Operational Capability (IOC) Declaration.....	116
Enclosure (d).	PoPS Database Rules and Instructions.....	117
Enclosure (e).	Example of PoPS Summary Chart and PoPS Health Assessment.....	118
Enclosure (f).	Sample ACAT Designation and Delegation Request (AAP).....	119
Enclosure (g).	Sample ACAT Designation and Delegation Request (ACAT III & IV) (includes ACAT Change Request Instructions).....	121
Enclosure (h).	Sample MCOTEA Concurrence Letter (applies to ACAT IV(M) and AAP Requests).....	123
Enclosure (i).	Sample DFM Checklist (required only for AAPs)	124
Enclosure (j).	Program Summary Assessment.....	125
Enclosure (k).	Decision Review Scheduling Process.....	128
Enclosure (l).	Example of Document List for all ACAT III & IV Programs.....	129
Enclosure (m).	Example of Notional Timeline.....	134
Enclosure (n).	Example of Memorandum of Agreement (MOA).....	135
Enclosure (o).	Sample Acquisition Program Baseline (APB).....	139
Enclosure (p).	Example of Request to Participate.....	147
Enclosure (q).	Sample Schedule Chart.....	151
Enclosure (r).	Initial MDA Deviation Notification.....	152
Enclosure (s).	Program Deviation Report.....	158
Enclosure (t).	ADM Template.....	167
Enclosure (u).	Affordability Tools, Roles and Responsibilities, and ADM Exit Criteria.....	173
Enclosure (v).	IMD Dependency Screening Questions.....	181
Enclosure (w).	Glossary.....	182

Editable versions of the enclosures and additional templates are available in the "Enclosures & Templates" folder on the [MAP SharePoint](#) site.

REFERENCES

- a) [MARCORSYSCOM Order 5401.1, 9 Aug 2011, Competency Aligned Organization/Integrated Product Team Implementation](#)
- b) [Interim DoDI 5000.02, 25 Nov 2013, Operation of the Defense Acquisition System](#)
- c) [SECNAVINST 5000.2E, 1 Sep 2011, Implementation and Operation of the Defense Acquisition System and the Joint Capabilities Integration and Development System](#)
- d) [Defense Acquisition Guidebook \(DAG\), 9 Oct 2012](#)
- e) [MARCORSYSCOM Order 5000.3A, 8 Mar 2012, Implementation of Marine Corps Systems Command \(MARCORSYSCOM\) Acquisition Guidebook \(MAG\) and Probability of Program Success \(PoPS\) Version 2 \(V2\) Procedures](#)
- f) [CJCSI 3170.01H, 10 Jan 2012, Joint Capabilities Integration and Development System](#)
- g) [Marine Corps Order 3900.17, 17 Oct 2008, The Marine Corps Urgent Needs Process \(UNP\) and the Urgent Universal Needs Statement \(Urgent UNS\)](#)
- h) [Acquisition Policy Letter 02-09, 26 May 2009, Modifications to Systems](#)
- i) [DoDD 5000.01, 20 Nov 2007, The Defense Acquisition System](#)
- j) [ASN RDA Memorandum, 18 Jul 2008, Implementation of Systems Design Specification \(SDS\) Guidebook and Associated System Specific Appendices](#)
- k) [USMC Integrated Test and Evaluation Handbook, 6 May 2010](#)
- l) [Acquisition Policy Letter 5-09, 17 Nov 2009, Fielding Decision Process](#)
- m) [USD AT&L Guide, 1 Oct 1999, Rules of the Road: A Guide for Leading Successful Integrated Product Teams](#)
- n) [Integrated Master Plan and Integrated Master Schedule Preparation and Use Guide V0.9, 21 Oct 2005](#)

REFERENCES

- o) [Risk Management Guide for DoD Acquisition Sixth Edition V1.0, 4 Aug 2006](#)
- p) [Acquisition Strategy/Acquisition Plan \(AS/AP\) Template, 15 Sep 2011](#)
- q) [Joint Program Managers Handbook Third Edition V1.0, Aug 2004](#)
- r) [Marine Corps Systems Command Systems Engineering Technical Review Handbook, 6 Aug 2014](#)
- s) [MARCORSYSCOM Order 4130.1, 6 Jan 2010, Configuration Management \(CM\) Policy](#)
- t) [Naval SYSCOM Risk Instruction, 21 July 2008](#)
- u) [MCSC Guide to Should Cost Management Increment I, Mar 2014](#)

RECORD OF CHANGES

For a detailed list of changes to the MAG please click [here](#).

Chapter 1: EXECUTIVE SUMMARY

1.1 Scope.

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

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

This Guidebook does not:

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

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

- MARCORSYSCOM Order (MARCORSYSCOMO) 5000.3 Interim Implementation of MCSC PoPS Core Briefing Charts and PoPS V2 for MCSC Acquisition Category (ACAT) III & IV Programs (2010).
- Implementation of MCSC Probability of Program Success (PoPS) Policy 3-09 (2009).

- Assignment of ACAT Designation and Delegation of Milestone Decision Authority (MDA)/Program Decision Authority (PDA) Policy 2-08 (2008).
- Project Team Leaders (PTL) Guide V1.3 (2007).
- Acquisition Policy Letter 08-07, 10 Oct 2007, Acquisition Decision Memorandum (ADM) Procedures in response to Urgent Statements of Need (USON).
- Milestone Decision Process (MDP) Guide V3 (2006).
- Acquisition Procedures Handbook (APH) (2000).

1.2 Applicability.

This Guidebook applies to all MCSC ACAT III, IV programs, and Abbreviated Acquisition Programs (AAPs) as well as efforts which have not yet received an ACAT designation.

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

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

1.2.1 MAP SharePoint.

All relevant information regarding the MCSC Milestone Decision Process is located on the [MAP SharePoint](#) site. Materials include:

- MCSC tailored PoPS core briefing charts with entrance and exit criteria for each Milestone (MS) and Key Acquisition Event (KAE).
- Frequently Asked Questions (FAQs).
- Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN RDA) Naval PoPS instructions.
- Hyperlinks to:

- o Defense Acquisition University (DAU) Acquisition Community Connection (ACC) and Defense Acquisition Portal (DAP).
- o MCSC guidebooks and policies.
- o Higher level guidance (e.g. the DoD 5000 series, [SECNAVINST 5000.2E](#), [Defense Acquisition Guidebook \(DAG\)](#) (Reference (d))

The MAP SharePoint site is your “one stop shop” for locating relevant acquisition information tailored to MCSC programs.

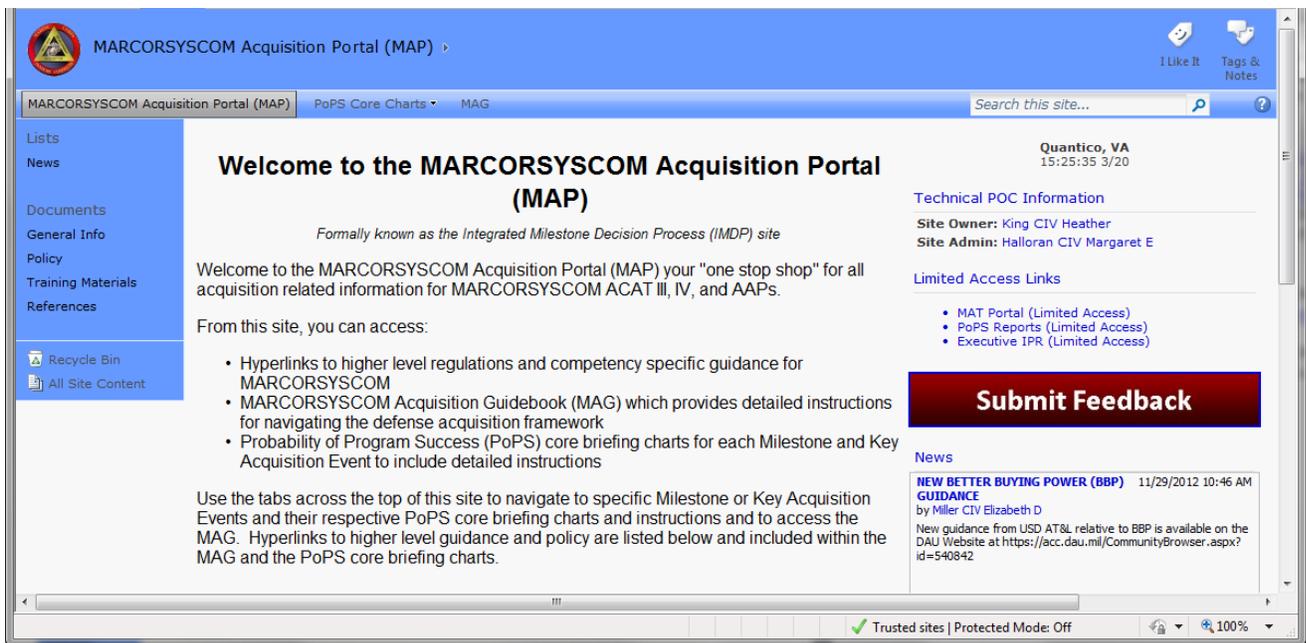


Figure 1A. MAP SharePoint Site

1.2.2 PoPS V2 & MARCORSYSCOM 5000.3A.

PoPS is the mandatory methodology used to assess the status and health of Navy and Marine Corps ACAT programs and pre-ACAT efforts, at every program review and MS Decision. PoPS V2, mandated by ASN RDA on 12 May 2010, requires the use of specific criteria questions and briefing templates.

The MCSC PoPS core briefing charts provide detailed instructions for preparing PoPS briefing packages for ACAT III and IV programs, and AAPs for each MS/KAE.

MARCORSYSCOMO 5000.3 “Interim Implementation of MCSC PoPS Core Briefing Charts and PoPS V2 for MCSC ACAT III & IV Programs” was signed by Commander, MARCORSYSCOM (COMMARCORSYSCOM) on 9 Dec 2010. The order required all MCSC ACAT III & IV programs to convert to PoPS V2 by 6 Apr 2011.

[MARCORSYSCOMO 5000.3A “Implementation of Marine Corps Systems Command \(MCSC\) Acquisition Guidebook \(MAG\) and Probability of Program Success \(PoPS\) Version 2 \(V2\) Procedures”](#) (Reference (e)) supersedes MARCORSYSCOMO 5000.3. This order encompasses all features of MARCORSYSCOMO 5000.3 and requires the use of this Guidebook.

MARCORSYSCOMO 5000.3A and the MCSC PoPS core briefing charts are located on the [MAP SharePoint](#) site.

Additional guidance regarding MCSC implementation of PoPS is provided in [Chapter 3](#) of this Guidebook.

Chapter 2: DEFENSE ACQUISITION MANAGEMENT SYSTEM

2.1 Requirements Transition Process (RTP) Applicability.

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

Definitions.

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

- **Non-Urgent Needs Process** - Deliberate process to execute a capability requirement for warfighting capability that does not fall within the UNP, as conveyed in Initial Capability Documents (ICD), Capability Development Document (CDD), Statements of Need (SON), Letters of Clarification (LOC), or other forms of capability requirements.

2.2 RTP Overview.

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

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

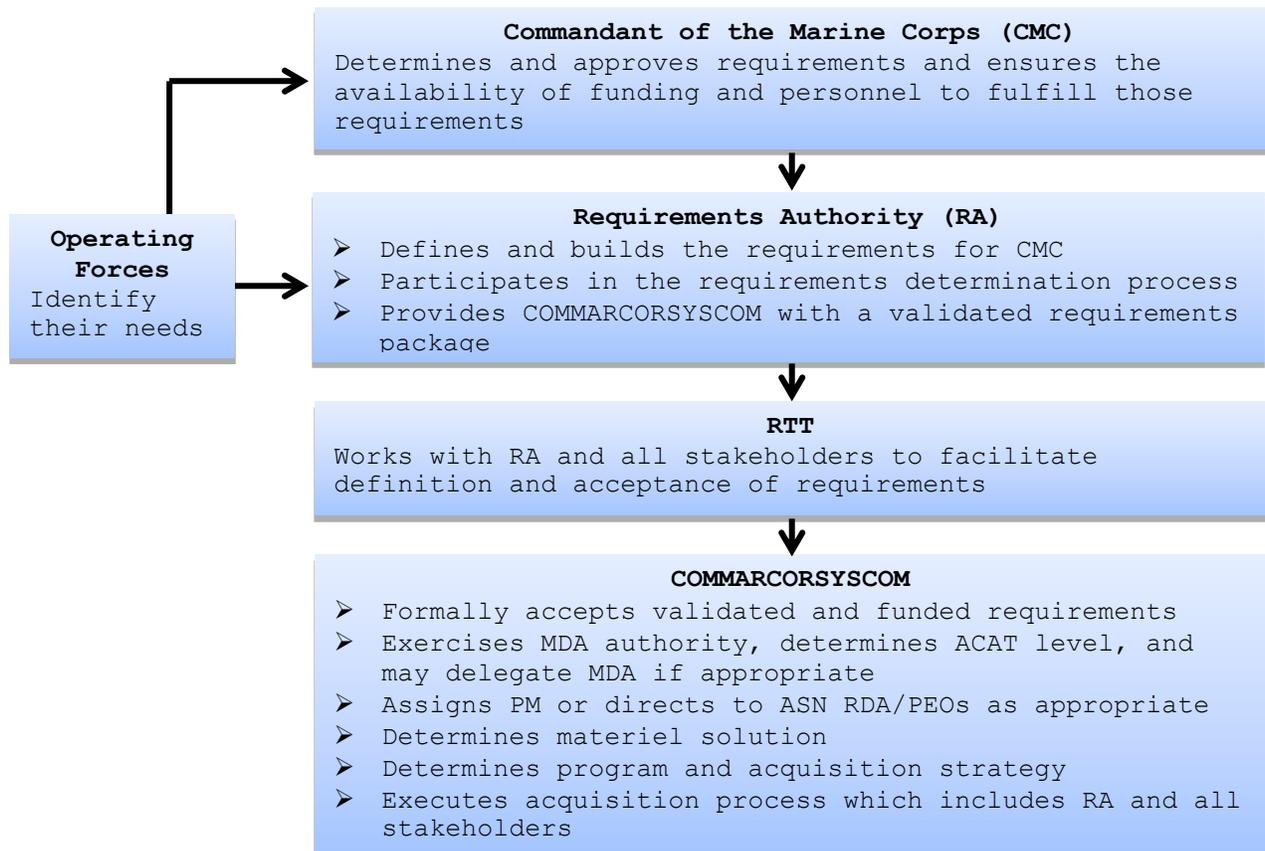


Figure 2A. Top Level View of the Requirements Process

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

2.2.1 Requirements Transition Team (RTT) Purpose & Membership.

The RTT:

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

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

Table 2A. RTT Membership

2.3 RTP Implementation.

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

Event	Summary Description	Output
RT 1.0	<ul style="list-style-type: none"> • RTT receives requirement support tasking (via OPS Cell) from the RA • RTT works with PMOs, competencies/ stakeholders to identify SMEs to participate with the RA Capabilities Documentation Integrated Product Team (IPT) • RA Capabilities Documentation IPT produces draft initial requirements document and CONOPS/COE and forwards to RTT 	<ul style="list-style-type: none"> • Draft capability requirements document • CONOPS/COE

RT 2.0	<ul style="list-style-type: none"> • RTT staffs and adjudicates comments WRT the initial capabilities document and CONOPS/COE • RTT presents final Comment Resolution Matrix (CRM) for COMMARCORSYSCOM approval • RTT forwards approved CRM to OPS Cell for dissemination back to RA • RA adjudicates CRM comments, approves final requirements package, and forwards to OPS Cell 	<ul style="list-style-type: none"> • CRM approved by COMMARCORSYSCOM • Final approved requirements package (a requirements document approved by the RA, with appropriate funding in place, accompanied by a CONOPS/COE)
RT 3.0	<ul style="list-style-type: none"> • RTT receives final validated and signed capability requirements package from OPS Cell • OPS Cell creates MCATS Tasker and informs CSPS • RTT works with MCSC staff to formally assign the requirement to appropriate PM and identify supporting or impacted PM(s) • AC PROG schedules appropriate Gate/PoPS review and prepares a Decision Memorandum (DM) or Acquisition Decision Memorandum (ADM) for COMMARCORSYSCOM approval 	<ul style="list-style-type: none"> • ADM that assigns PM(s) and establishes initial acquisition approach • DM that identifies COMMARCORSYSCOM's recommended disposition of capability requirements appropriate for MDA oversight outside of MCSC
RT 4.0	<ul style="list-style-type: none"> • Recurring internal process improvement assessment of RT activities performed by the RTT 	<ul style="list-style-type: none"> • Assess feedback • Compare performance to metrics • Implement corrective actions

Table 2B. RT Framework Summary

2.3.1 Non-Urgent Needs Requirements Documents & Process.

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

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

Non-JCIDS documents include:

- Statement of Need (SON)
- Operational and Organizational (O&O) Document in support of another Service's JCIDS requirements document

- Project Initiating Directive (PID)
- Rapid development project for an Information Technology (IT) Box program
- Problem Statement for Defense Business Systems (DBS) per [Chapter 8.5](#)
- Letters of Clarification (LOC), Engineering Change Proposals (ECPs), Pre-Planned Product Improvement (P3I) per [Chapter 2.4](#)

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

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

2.3.2 Urgent Needs Process (UNP).

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

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

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

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

2.4 Modification to Requirements.

For those programs requiring modifications to include the addition or reduction of capability, modernization, ECPs, etc.

the PM will follow this Guidebook and [APL 02-09 Modifications to Systems](#) (Reference (h)). The changes may be significant such as a new capability or major changes to performance parameters, or non-substantive changes such as an Approved Acquisition Objective (AAO) change, etc. Regardless of the level of change, if a new or modified requirements document is necessary, the RA and all stakeholders shall follow the RTP. These changes may be conveyed in the form of an ECP, LOC, and P3I, and will come through the Ops Cell. See Table 2C for means of delivery to MCSC OPS Cell.

2.5 Issue Resolution.

The RTO shall follow the issue resolution principles described in [Chapter 6.4.4](#) with the intent of resolving issues at the lowest appropriate level. If there is an unresolved question regarding the proper lead for an effort, the RTO may convene a RT Board with representatives from the competencies and affected PMs/stakeholders to determine proper leadership.

Summary of RT Roles and Responsibilities		
Who	What	References & Comments
RA	<ul style="list-style-type: none"> • Submit all requests for capability requirements development or advisory assistance to the MCSC OPS Cell to include all LOCs • Submit validated requirements package for new or modified capability requirements directly to OPS cell • Lead Capabilities Documentation IPT and serve as a standing member of the RTT • Work with RTT to conduct follow-on reviews and provide recommendations to ensure requirements are affordable, testable, funded, and executable • Ensure all capability requirements are current and have been validated within the past three years • Participate in MDA reviews and Milestone decisions throughout program lifecycle 	<p>Per BBP 2.0 identify design and performance trades to support fully informed MDA materiel solution decisions WRT affordability constraints. This includes consideration of threshold and objective trade space as well as overarching cost and affordability trades. MCSC OPS Cell submissions shall be submitted to the watch officer's inbox NIPR: watchofficer@usmc.mil and SIPR: watchofficer@mcsc.usmc.smil.mil or MCATS NIPR: MCSC MCATS@mcsc.usmc.mil and SIPR: MCSC MCATS@mcsc.usmc.smil.mil</p>

Summary of RT Roles and Responsibilities		
Who	What	References & Comments
OPS Cell	<ul style="list-style-type: none"> • Serve as single entry point for receipt of capability requirements from RA, forward capability requirements to RTT, and inform CSPA • Team with RTT to support effective management & execution of the RTP • Track and report acquisition and fielding of urgent requirements 	In most cases the appropriate SLDCADA sub-shop code is PROGACRT
AC PROG	<ul style="list-style-type: none"> • Serve as the RT manager, establish RTT, implement RTP policy and procedures • Develop DMs or ADMs for COMMARCORSYSCOM approval identifying appropriate organization to execute capability requirements • Ensure documentation of key decisions • Surface unresolved issues to COMMARCORSYSCOM • Periodically assess effectiveness of RTP and direct infrastructure or policy changes • Provide COMMARCORSYSCOM with periodic and timely updates WRT RTP process and associated metrics • Recommend "By direction" authority to enable streamlined and effective execution of RTP 	Assign Requirements Transition Officer (RTO) to lead RTT

Summary of RT Roles and Responsibilities		
Who	What	References & Comments
RTO	<ul style="list-style-type: none"> • Assist AC PROG in implementation of assigned responsibilities • Serve as the RT manager, lead RTT and establish implementing RTP policy and procedures • Communicate with external organizations WRT capability requirements matters on behalf of COMMARCORSYSCOM • Lead an integrated assessment (with participation from all competencies/key stakeholders) of new or modified capability requirements WRT trade space, risks, affordability, executability, and testability per Enclosure (a) "12 Steps to Program Success" and BBP • Accept requirements packages on behalf of COMMARCORSYSCOM 	<p>Note: A requirements package is a capability requirements document which has been approved by the RA, has appropriate phase-specific funding in place, and is accompanied by a CONOPS/COE</p>
RTT	<ul style="list-style-type: none"> • Assist RTO in implementation of assigned responsibilities • Team with Tier-0 IPT counterpart to fully inform their respective CD and provide consolidated CD guidance to the RTT • Ensure respective parent organization leadership is fully informed and communicate concerns or recommendations to the RTO 	<p>In most cases the appropriate SLDCADA sub-shop code is PROGACRT</p>

Summary of RT Roles and Responsibilities		
Who	What	References & Comments
Tier-0 IPT	<ul style="list-style-type: none"> • Participate in RTT reviews upon request • Team with RTT counterpart to fully inform their respective CD and provide consolidated CD guidance to the RTT • Ensure PM is fully informed and communicate PM concerns or recommendations to the RTT 	In most cases the appropriate SLDCADA sub-shop code is PROGACRT
PM	<ul style="list-style-type: none"> • Participate in the RTP process • Forward any new or modified requirements received directly from RA to OPS Cell for formal processing • Immediately surface issues to appropriate Command leadership WRT program acceptance and executability • Execute assigned programs per ADM guidance 	<p>Per Chapter 2.3.1, the PM may not initiate or continue acquisition activities unless the RA has validated the currency and relevance of the requirement within the past 36 months via LOC or other written means</p> <p>In most cases the appropriate SLDCADA sub-shop code is PROGACRT</p>
CD	<ul style="list-style-type: none"> • Provide a representative to serve as a standing member of the RTT • Enforce and support implementation of RTP within respective organization 	
HQMC, DC CD&I or Delegate, MCOTEA, LOGCOM, TECOM, PEO LS, CSPS (Other Stakeholders)	<ul style="list-style-type: none"> • Provide a representative (as desired) to serve as a standing or adjunct member of the RTT 	DC CD&I/Combat Development Directorate has identified a standing RTT member from the MAGTF Integration Division

Summary of RT Roles and Responsibilities		
Who	What	References & Comments
COMMARCORSSYS	<ul style="list-style-type: none"> • Establish RTP, designate supported and supporting organizations, and approve implementing policies • Establish "By direction" authority to enable streamlined and effective execution of RTP • Review and approve DMs/ADMs and provide guidance as appropriate • Conduct periodic assessments of RTP and direct infrastructure or policy changes 	In most cases the appropriate SLDCADA sub-shop code is PROGACRT

Table 2C. Summary of RT Roles and Responsibilities

2.6 Defense Acquisition Framework.

MCSC ACAT programs and pre-ACAT efforts follow the Defense Acquisition Framework shown in [Figure 2B](#), established by [DoDI 5000.02](#). Note - the formal term for the Defense Acquisition Framework is the DoD Integrated Defense Acquisition, Technology, and Logistics Life Cycle Management System. The terms "Defense Acquisition Framework" or "Framework" is used in this guidebook for ease of reference.

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

For example, a new start program with significant development will likely be required to execute many of the below MS and KAEs. In contrast, the MDA may determine that a lower risk effort will enter the Defense Acquisition Framework at MS B, MS C, etc. and may elect to eliminate or combine supporting reviews and documentation. For more information on tailoring see [Chapter 7.4](#).

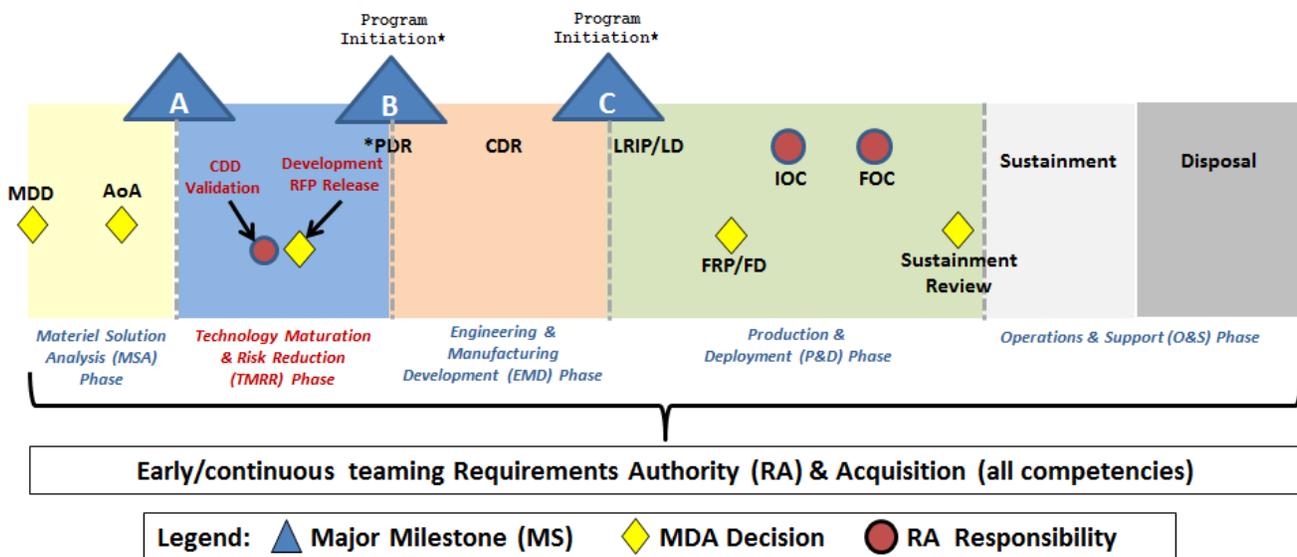


Figure 2B. Defense Acquisition Framework

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

The Defense Acquisition Framework:

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

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

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

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

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

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

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

Knowledge Based Acquisition (KBA). [DoDD 5000.01](#) (Reference (i)) requires the MDA to ensure there is sufficient knowledge in place (e.g. critical entrance criteria have been met) before authorizing program initiation or proceeding to the next phase or MS. This is referred to as Knowledge Based Acquisition (KBA). Emphasis is placed on accurate assessments of technology maturity, design maturity, production readiness, supportability, and other criteria. The MCSC PoPS core briefing charts are structured to support KBA as follows:

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

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

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

2.6.1 Milestone and Key Acquisition Events.

Below is a brief summary of each MS and KAE, along with an explanation of how they are typically tailored at MCSC to address the unique characteristics of ACAT III and IV programs, as well as AAPs.

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

- MS A - approves entry into the Technology Maturation and Risk Reduction (TMRR) phase.
- MS B - approves entry into the Engineering and Manufacturing Development (EMD) phase.

- MS C - approves entry into the Production and Deployment (P&D) phase and Low Rate Initial Production (LRIP) where appropriate.

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

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

Note: For software (SW) intensive programs, the term Limited Deployment (LD) is used instead of LRIP; and Full Deployment (FD) is used instead of FRP. In addition, many SW intensive programs deliver capability in lieu of hardware (HW) and are subject to the Defense Business System (DBS) framework. See DoDI 5000.02 to review the SW hybrid acquisition framework model and enclosure 12 for more DBS information.

MDA Reviews and Acquisition Decision Memorandums (ADM)s. At each MS and KAE, the MDA will:

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

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

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

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

2.6.2 Acquisition Phases and Key Events.

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

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

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

- o Approves the AoA study guidance or a fulfillment strategy for the conduct of an AoA. (In lower risk programs, a comprehensive AoA may not be appropriate. In such cases the MDA may approve conduct of a smaller scale targeted analysis such as market research, business case analysis, etc, instead of an AoA. This is known as AoA fulfillment.) *Note: All recommendations regarding the AoA Study Guidance (to include fulfillment) must be coordinated through the MCSC AoA Integrated Product Team (IPT).* See the MCSC PoPS MDD core briefing charts for detailed guidance.
- o Approves entry into the appropriate acquisition phase based on the program's alignment with the specific entrance criteria established for each phase in [DoDI 5000.02](#) and determines the next MS or KAE.
- o May assign an ACAT/AAP designation and delegate MDA/PDA if sufficient information such as estimated cost, program scope, potential impact to combat capability, and complexity is available to support an informed decision. If sufficient information is not available at the time of the MDD, the ADM shall specify a timeframe within which the PM shall return for an ACAT/AAP designation.

The ADM will also typically include a requirement to establish a Test & Evaluation (T&E Working Integrated Product Team (WIPT)) per the [USMC Integrated Test and Evaluation Handbook](#) (Reference (k)) and impose a limitation on expenditures for the Materiel Solution Analysis Phase. Limiting expenditures reduces the risk to the Marine Corps by ensuring only a limited quantity of funds are expended

before the MDA determines the proposed effort is affordable, executable and approves development of an approved materiel solution or capability.

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

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

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

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

At program initiation, a program must be fully funded across the Future Years Defense Program (FYDP) as a result of the Program Objectives Memorandum (POM)/budget process. The MDD & Materiel Solution Analysis phase and MS A Technology Maturation and Risk Reduction (TMRR) phase, are typically funded only for phase specific accomplishments. ***As such, the MDD and Milestone A do not constitute program initiation.***

- **AoA Approval.** Programs must proceed to an AoA decision brief with the MDA if directed by the MDD ADM. The AoA assesses potential materiel solutions to satisfy the capability gap documented in the approved requirements document. The AoA decision brief provides the MDA with initial visibility into the C/S/P risks and affordability of each alternative. At this review, the MDA shall:

- o Approve the AoA and select a preferred alternative.
- o Issue an ADM that documents the decision made, establishes appropriate exit criteria and determines the next MS or KAE.

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

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

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

- o The PM will perform SE trade off analyses to show how C/S/P vary as a result of changing major design parameters. These analyses should be timed to support CDD validation as described below.
 - o The PM will team with the RA to ensure that affordability C/S/P trades are identified and present results for MDA and (as appropriate) USMC leadership
- **Milestone A (MS A)**. MS A is required for ACAT I programs. Typically, a MS A decision is appropriate for those programs with significant technology development (TD) efforts. Many MCSC programs do not require extensive TD; therefore, a MS A decision is typically not required. PMs should consult with the Tier O IPT regarding applicability of MS A for each specific program.
 - **CDD Validation** - This event is conducted by the RA. The MDA considers results before releasing the Development RFP to ensure the requirement is affordable, executable, and testable.
 - **Development RFP Release**. The MDA conducts a formal review to authorize RFP release prior to the MS B decision. Key supporting documentation such as the Acquisition Strategy (AS), draft RFP, Systems Engineering Plan (SEP), Test and

Evaluation Master Plan (TEMP), System Design Specification (SDS), APB, and Life Cycle Cost Estimate (LCCE) must be submitted for MDA review (may be in draft form) at least 45 days prior to the MDA decision.

- o The PM recommends and the MDA approves the specific documents to be prepared for each program. This is documented in the MDA approved tailoring strategy and included as an ADM enclosure. Required documents for the next MS event are approved by the MDA at each review point. As such, the PM should reference the previous program ADM to determine required documentation for Development RFP release. See [Chapter 7](#) and the MCSC [ADM template](#) (enclosure (t)) for more guidance.
- o For programs where COMMARCORSYSCOM has retained MDA, the MAT shall review the draft ADM, MCSC PoPS core briefing charts, PoPS criteria questions, and program documentation before they are submitted for MDA approval. For programs where MDA has been delegated to a PM, the same process shall be followed except that the Tier-0 IPT shall perform the review in lieu of the MAT.
- o **RFP Peer Review.** These reviews are conducted before release of the Development RFP and at other milestones as appropriate. The purpose is to obtain an independent review by external subject matter experts. The results of the Peer Review must be incorporated in the RFP (as applicable) prior to submitting the RFP for MDA review. For questions regarding the Peer Review, please contact your Procurement Contracting Officer (PCO) and Assistant Program Manager for Contracts (APM-CT).

System Design Specification (SDS). All programs are required to prepare a SDS prior to MS B. The SDS identifies technology development risks, validates preferred system design solutions, evaluates manufacturing processes, and refines system requirements, to inform decision makers earlier in the acquisition process. The SDS must be completed prior to the Development RFP review. Questions regarding the SDS should be addressed to the Assistant Program Manager for Engineering (APM-E). If the Program Management Office (PMO) believes an entire SDS is not appropriate for their effort, a waiver may be requested

from DC SIAT. Additional guidance regarding the SDS is located in the MCSC MS B core briefing charts and [SECNAVINST 5000.2E](#) Annex 2A.

Phase Three – Engineering and Manufacturing Development (EMD).

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

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

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

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

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

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

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

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

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

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

- The functional and interface characteristics for all configuration items (CIs). (CIs are

allocated and derived from the higher-level product structure hierarchy).

- The verification required to demonstrate achievement of specified characteristics.

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

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

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

CDR. The system level CDR provides the opportunity to assess design maturity, maturity of critical manufacturing processes, and system reliability.

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

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

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

Phase Four - Production & Deployment (P&D). The completion of EMD occurs when the MDA commits to the program at MS C or decides to end the effort. The P&D phase begins at MS C and ends when the MDA determines the program has entered the Operations and Support (O&S) phase via approval of a PoPS Gate 6.5 Sustainment decision.

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

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

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

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

- **FRP.** FRP authorizes the delivery of the fully funded quantity of systems or capability as well as supporting materiel and services. Prior to the FRP decision, programs must demonstrate control of the manufacturing process, acceptable reliability, and control of other critical processes. In addition, test results must demonstrate all open deficiencies have been resolved, the system

requirements have been met, and the system is safe and ready for fielding. The FRP ADM will provide guidance to the PM relative to the conduct, timing, and exit criteria for the [fielding decision](#) and Post Implementation Review (PIR) as described below. For additional guidance, please reference the MCSC PoPS FRP core briefing charts and [Chapter 2.6.3](#). In addition, declaration of Initial Operational Capability/Full Operational Capability (IOC/FOC) will occur after the FRP decision as described in [Chapter 2.6.4](#).

2.6.3 Fielding.

Fielding is the process of initially deploying and transferring systems, capabilities, and equipment from the acquisition organization to the operating forces and supporting establishments. The MCSC Fielding Decision Process is described in [APL 5-09 "Fielding Decision Process"](#) (Reference (1)). The fielding process at MCSC is led by the AC ALPS. All competencies and stakeholders work together to support AC ALPS and the PM/PdM in the successful preparation for and execution of the fielding decision.

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

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

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

The fielding process for IT programs is tailored to reflect the unique characteristics of IT. In many IT programs, a capability and/or SW is delivered instead of a physical item. The peripherals and SW which are often delivered under IT acquisitions are subject to continuous refresh cycles. The ILA chair will advise the PM regarding the development of a fielding strategy tailored to address the unique characteristics of IT programs.

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

2.6.4 IOC and FOC.

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

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

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

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

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

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

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

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

Planning for this phase should begin prior to program initiation and is reviewed via ILAs conducted throughout the life of the

program. O&S has two major sub-phases, Life Cycle Sustainment and Disposal.

- **Life Cycle Sustainment**. Entry into Life Cycle Sustainment typically occurs after IOC/FOC has been achieved. During this phase, the PM/PdM shall conduct continuing reviews of logistics strategies and make required adjustments to meet performance targets. The MDA performs on-going reviews of program status during this phase which are established at the FRP ADM and updated at each subsequent review. This includes the conduct of periodic Program Implementation Reviews (PIRs) as described below. Additional information, to include entrance criteria can be accessed via Sustainment under the PoPS Core Briefing Charts tab located on the [MAP SharePoint](#) site.
 - Post Implementation Review (PIR). [DoDI 5000.02, Tables 2-1 and 2-2](#), establishes a statutory requirement that all ACAT programs be subjected to a PIR. The PIR plan is presented to the MDA at the FRP Decision Review, and the PIR Report is presented to the MDA during the O&S phase, typically after attainment of IOC and before FOC is achieved. The MDA will specify the timeframe for review of the PIR Report in the FRP ADM. The purpose of the PIR is to:
 - Determine if the warfighter/user is satisfied the capability delivered meets their needs.
 - Confirm the initial validated need has not changed. If it has changed, this should be identified and addressed in the PIR Report.
 - Compare actual project costs, benefits, and risks, against earlier projections. Determine the causes of any differences between planned and actual results.
 - A one page tailored version of the PIR report (with instructions) for MCSC programs is located within the MCSC PoPS Sustainment core briefing charts.

The requirements officer typically prepares the PIR Report, with full participation from the PM/PdM. In addition, it is imperative all stakeholders and competencies to include MCOTEA are involved in the planning and conduct of the PIR. Detailed guidance regarding conduct of the PIR is provided in the MCSC

PoPS Sustainment core briefing charts and the [DAG Chapter 7.9](#).

- **Disposal.** Disposal occurs at the end of a useful life of a system. At this point a system must be demilitarized and disposed of in accordance with all legal and regulatory requirements and policy relating to safety (including explosives safety), security, and the environment. Planning for disposal is addressed within the ILA. For additional information, please contact your APM-LCL.

2.7 Evolutionary Acquisition.

Single Step or "Big Bang Approach". ACAT programs may be structured to deliver all capability within a single increment. This is referred to as a single step or "big bang approach." This strategy is appropriate for programs where there is a well-defined understanding of the total program requirement, and all required technology is of sufficient maturity (e.g. a [Technology Readiness Level](#) (TRL) of 6 or greater for MS B); to support program execution within a reasonable time frame. In a single step approach, the entire program schedule may be delayed if one technology requires additional maturation, or the program in its entirety is unaffordable.

Evolutionary or Incremental Approach. ACAT programs may be structured to deliver capability in two or more increments - this is known as Evolutionary Acquisition (EA). This strategy is appropriate when there is a recognized need for future substantial capability improvements; some of the technologies require additional maturation, or the program in its entirety is unaffordable.

The goal of EA is to provide needed capability to the user as quickly as possible. EA separates out those capabilities that are low risk, high priority, and technically mature for delivery in the initial or earlier increments. Each increment provides a militarily useful and supportable "stand-alone" operational capability. This enables faster delivery of a subset of the total envisioned capability to Marines. Those requirements with lower priority, higher risk, less mature technologies, or which are currently unaffordable are delivered via later increments.

The PM should work closely with the acquisition, requirements and test and evaluation communities to develop a recommended program strategy for MDA consideration and approval. It is imperative that the requirements document, funding profile, test

and evaluation, engineering, logistics, and acquisition strategies align with the overall program approach (e.g. EA or single step).

Additional information regarding EA is available in [DAG Chapter 4.3.6](#).

Chapter 3: PoPS IMPLEMENTATION

3.1 PoPS V2 Methodology.

Probability of Program Success (PoPS) V2 is the mandatory methodology for assessing program health for all Navy and Marine Corps Acquisition Category (ACAT) programs and pre-ACAT efforts. PoPS V2 provides leadership with an objective and quantifiable method of evaluating likely program successes, issues and risks. It provides Program Managers (PMs) with a repeatable, defensible, and traceable approach to measuring, managing, and reporting Program Health throughout the acquisition life cycle.

The PoPS V2 methodology contains two components, the PoPS V2.3 database and MCSC PoPS core briefing charts. The PoPS V2.3 database consists of criteria questions and generates a Program Health Assessment according to the responses the Program Manager (PM)/Product Manager (PdM) submits.

The MCSC PoPS core briefing charts provide detailed instructions for preparing the briefing package for ACAT III, IV, and Abbreviated Acquisition Programs (AAPs) for each Milestone (MS) and Key Acquisition Event (KAE). The charts and supporting instructions are regularly updated and reviewed by the Competency Directors (CDs). As such, it is imperative that the most recent version of the charts (posted on MAP) are used and the supporting instructions are reviewed by all preparers.

As directed by Marine Corps Systems Command Order (MARCORSYSCOMO) 5000.3A, all MCSC ACAT III, IV, AAPs, and pre-ACAT efforts shall use the PoPS V2 methodology to assess program health in support of all MDA decisions and program reviews.

3.2 Tools for Implementing PoPS.

SharePoint. All relevant information regarding the MCSC Milestone Decision Process (to include PoPS) and MCSC PoPS core briefing charts are located on the [MCSC Acquisition Portal \(MAP\)](#) site.

PoPS V2.3 Database. The PoPS V2.3 database contains the supporting criteria questions for each MS and KAE. There are two methods to answer the criteria questions; download Microsoft Access PoPS V2.3 database or use ASN RDA Information System (RDAIS) PoPS database.

- [Microsoft Access PoPS V2.3 database](#)

- o The database is located on the [MAP SharePoint under "Download Database"](#) along with supporting instructions.
- o Once the database is downloaded, you must request creation of your program's initial record in the PoPS V2.3 database and provide your respective Assistant Program Manager for Program Management (APM-PM) the below information. For additional guidance on maintaining the PoPS V2.3 database refer to [Enclosure \(d\)](#).
 - Program Name and Acronym
 - PM
 - Milestone Decision Authority (MDA)
 - Program Management Office (PMO)/Organization
 - Entry Gate and MS or KAE being reviewed (per program's previous Acquisition Decision Memorandum (ADM))
 - Associated Contractors and Government Performers (e.g. system developers, system integrators. *Important! Do not list your CEOss contractor here.* This field should be populated with Contractors or Government Performers which directly support program execution, e.g. solution providers. (For example, Government Performers may include SPAWAR, NSWC Crane, etc.)).
 - Indicate if earned value management (EVM) is applicable. Please note EVM typically applies to cost type contracts in excess of \$20 million. If you are unsure if your contract is subject to EVM, please see your Procurement Contracting Officer (PCO) for additional information.
- [RDAIS PoPS Database](#)
 - o If the PMO prefers to use PoPS via RDAIS and does not currently have a record in RDAIS, please provide the following information to Ms. Meghan Nelson, meghan.nelson@navy.mil, (703)614-0160 to establish a record in RDAIS.
 - Program Long Name
 - Program Short Name
 - Acquisition Category (ACAT) III, IV, Abbreviated Acquisition Program (AAP) or Pre-ACAT

- Provide a memorandum that shows the above information (if available)
- Names of individuals who need access to the record
- Note: In order to create a PoPS Health Assessment in RDAIS, you must have an active account with write or approval access. Consult your APM-PM if you are unsure of what type of access you should request.
- An instructional video on how to create a PoPS Health Assessment via RDAIS is located on the [MAP SharePoint under "Download Database."](#)

3.3 Answering PoPS Criteria Questions.

The PM/PdM prepares a PoPS Program Health Assessment by populating criteria questions pertaining to a specific MS/KAE in a Microsoft Access PoPS V2.3 database or RDAIS using an initial record. The PoPS Program Health Assessment consists of four levels:

- Level I: Overall Program Health. This provides a one page executive summary of overall program status. [Enclosure \(e\)](#) shows a notional Level 1 PoPS Health Assessment with numeric scores (0 to 100) and associated color codes (red, yellow, and green).
- Level II: Categories (Requirements, Resources, Planning and Execution, and External Influencers).
- Level III: Metrics (there are 17 metrics).
- Level IV: Criteria (questions) for each metric.

The criteria questions address issues specific to each phase in the Defense Acquisition Framework. Therefore, the content and relative weight of the questions will vary for each MS/KAE.

When answering the PoPS criteria questions the PM/PdM should consult the Frequently Asked Questions (FAQs) posted under each MS/KAE on the [MAP SharePoint](#) site. The FAQs provide specific guidance relative to interpreting the criteria questions for ACAT III, IV, and AAPs.

Note: The criteria questions were constructed for ACAT I and II programs and in many cases do not directly apply to lower level ACATs. As such, it is critical the PM/PdM use the FAQs and consult the MCSC PoPS core briefing chart instructions to assist in developing appropriate responses.

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

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

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

3.4 PoPS Baseline Approval Process.

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

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

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

Disagreements. Disagreements between the MAT/Tier-0 IPT and the PM/PdM shall be resolved through discussion, available facts, and if necessary, additional research and analysis. When disagreements cannot be resolved, the MDA/PDA shall be the final authority for PoPS baseline approval.

Reporting Requirement. Upon baseline approval and each time a change to the baseline is approved by the MAT or Tier-0 IPT, the PM/PdM shall enter and update the following information in [The Online Project Information Center \(TOPIC\) 2.0 under "Probability of Program Success."](#)

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

At a minimum, all PM/PdMs are required to enter and update the above approved information for all assigned programs into TOPIC 2.0 no less than once a year.

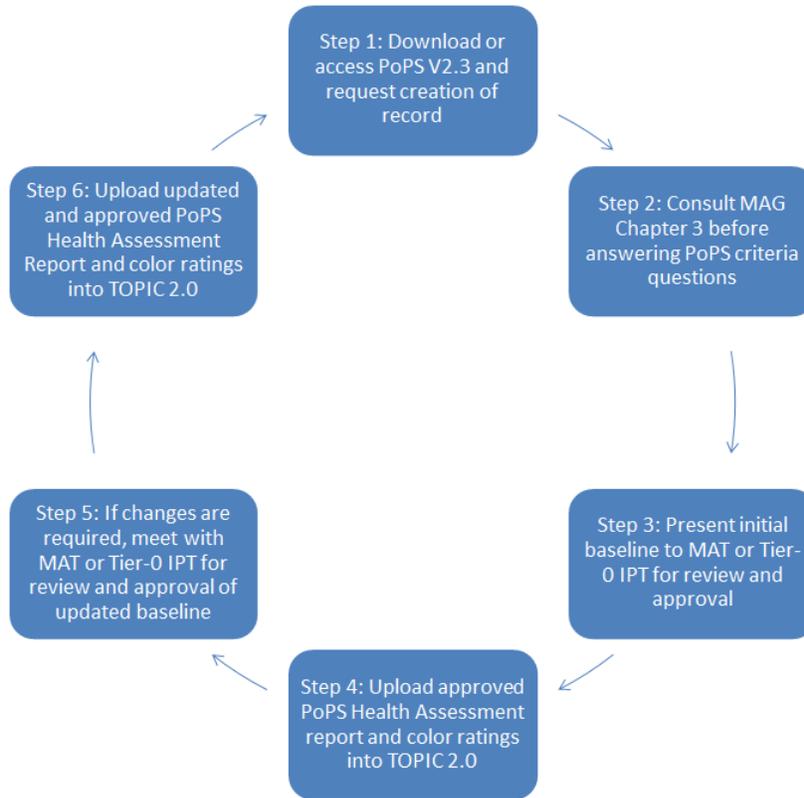


Figure 3A. PoPS Baseline Approval and Reporting Process

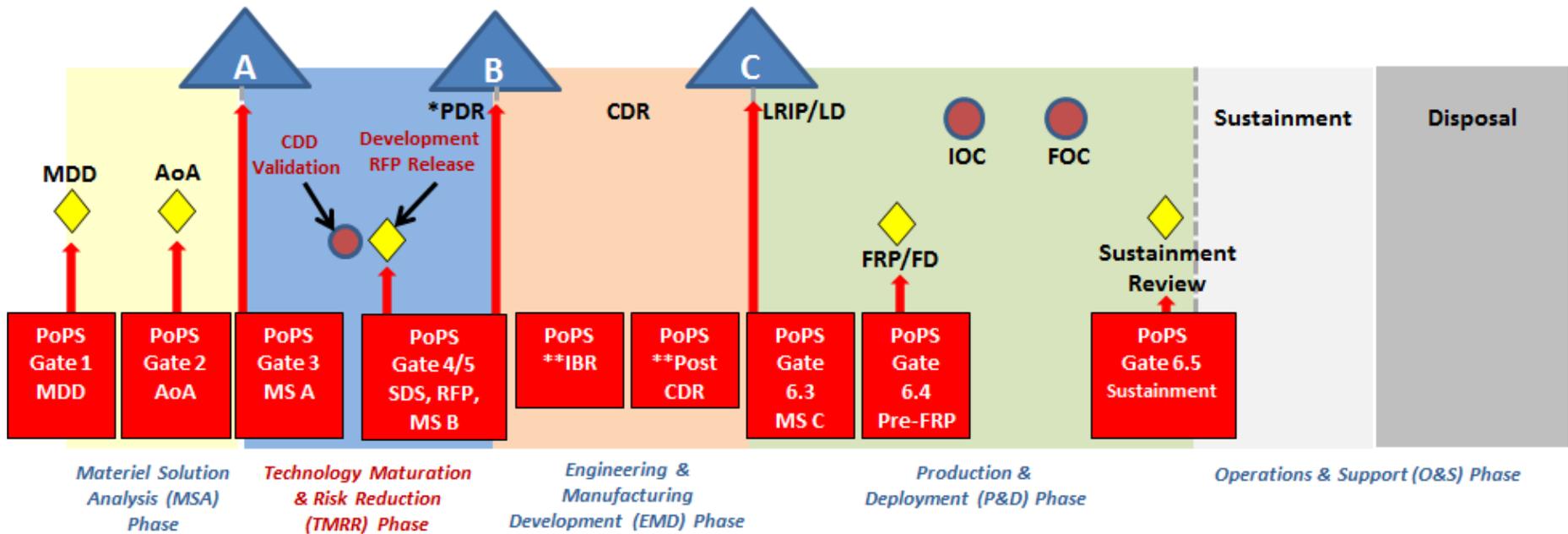
3.5 Gate Reviews.

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

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

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

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



Legend: ▲ Major Milestone (MS) ◆ MDA Decision ● Requirements Authority (RA) Responsibility

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

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

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

3.6 Transitioning Ongoing Efforts to an ACAT Framework.

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

Many efforts of this type have not received a MDD decision; however, they have already fielded a capability. In these cases, the MDD Gate should be used, and it may be tailored and combined with the Gate template that is closest to the next MDA decision. The PM/PdM should consult with MAT or the Tier-0 IPT to obtain guidance regarding each specific program. It is also critical CD&I be consulted before transitioning an UUNS to an ACAT framework, as it may be decided that it is not an enduring requirement. If it is determined the UUNS will transition to an enduring requirement, then CD&I will prepare a validated requirement as described in [Chapter 2](#); and the PM/PdM shall follow the procedures described in [Chapter 5](#) for requesting an ACAT/AAP designation.

Chapter 4: ACAT LEVELS

4.1 ACAT Program Overview.

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

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

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

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

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

ACAT programs, to include AAPs shall not be initiated without a validated requirement and appropriate phase-specific funding. (During MDD and Technology Development programs must be funded to ensure completion of all phase-specific activities. At EMD and beyond the program must be fully funded across the FYDP.)

COMMARCORSSYSCOM will determine the ACAT level based on estimated cost, complexity, and risk.

Note: Important Terminology Information - Program of Record

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

4.2 ACAT Designation Criteria.

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

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

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

Table 4A. ACAT Categories

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

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

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

4.3 ACAT Categories.

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

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

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

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

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

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

Programs should be of relatively low risk and complexity to be considered for designation as an AAP. As such, required documentation and review procedures should be appropriately streamlined and tailored. A recommended streamlined AAP documentation approach is provided in [Chapter 7.5.1](#).

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

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

Chapter 5: ACAT DESIGNATION REQUESTS & DELEGATION

5.1 Designation and Delegation Authority.

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

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

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

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

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

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

- The PoPS database and core briefing charts are available on the [MCSC Acquisition Portal \(MAP\) SharePoint site](#). For PoPS database instructions see [Chapter 3](#).

Step 2. When requesting an ACAT IV(M) or AAP designation, the PDM obtains concurrence from Marine Corps Operational Test & Evaluation Activity (MCOTEA) per [Enclosure \(h\)](#) and Director, Financial Management (DFM) per [Enclosure \(i\)](#) for any AAP designation requests.

Step 3. The PdM submits the designation request which includes the Gate 1 ICD PoPS Word report, MDD PoPS core briefing chart package, and if applicable the MCOTEA Concurrence Letter and DFM Checklist to their Assistant Program Manager for Program Management (APM-PM).

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

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

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

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

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

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

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

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

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

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

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

Table 5A. Designation Request Package Contents

5.3 ACAT/AAP Designation Change Requests.

After receipt of the initial ACAT designation from COMMARCORSYSCOM, the PM/PdM shall continue to monitor the program to ensure it remains within the cost threshold (per [Table 4A](#)) of the assigned ACAT/AAP designation. In addition, the PM/PdM shall monitor other factors which may require a change to the initial ACAT/AAP designation. For example, a program initially designated as an ACAT IV(M) may subsequently

be determined to require operational test and evaluation; and require re-designation as an ACAT IV(T). As soon as the PM/PdM is aware of a required change to the existing ACAT designation, the PM/PdM shall prepare an ACAT designation change request for COMMARCORSYSCOM approval. An example is provided in [Enclosure \(g\)](#).

Chapter 6: MANAGEMENT OF ACAT PROGRAMS

6.1 DoD Process for Assigning MDA.

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

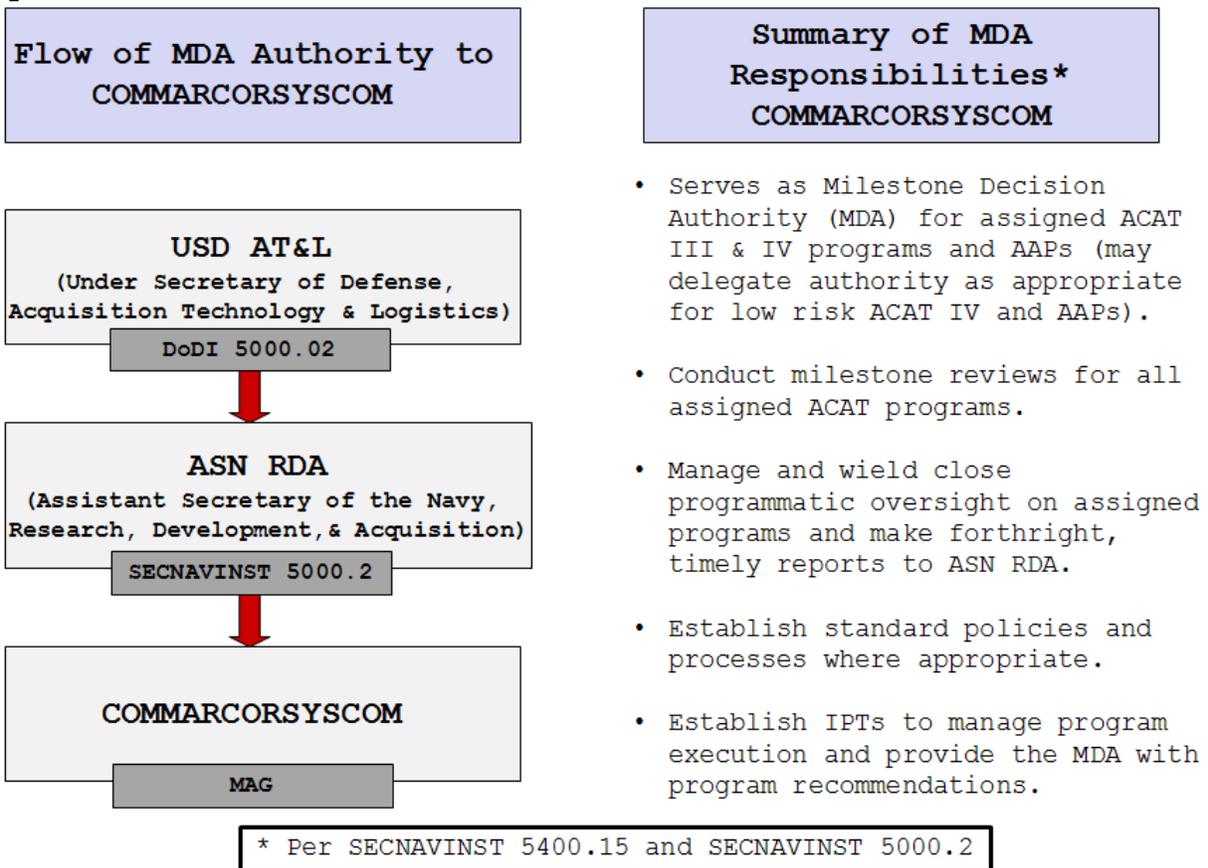


Figure 6A. Flow of MDA Authority to COMMARCORSYSCOM

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

6.2 DoD Process for Managing ACAT Programs.

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

The IPPD process has several key features:

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

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

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

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

6.3 MDA/PDA Responsibilities.

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

The MDA/PDA shall:

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

6.3.1 PM Responsibilities.

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

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

6.4 Management Procedures for Non-Delegated Programs.

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

6.4.1 MAT Process.

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

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

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

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

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

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

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

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

Table 6A. MAT Membership

MAT Process Organizational Responsibilities

Organization: MCSC APM-PM (Chair)

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

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

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

Organization: MCSC PM/PdM

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

Table 6B. MAT Process Organizational Responsibilities

6.4.2 MAT Member Roles and Responsibilities.

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

Table 6C. MAT Member Roles and Responsibilities

6.4.3 Detailed MAT Process Overview.

Step 1. Pdm informs Tier-0 IPT of upcoming MS/KAE.

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

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

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

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

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

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

- Identify actions to be resolved prior to the MDA decision brief to include responsible parties and required resolution date.

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

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

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

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

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

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

6.4.4 MAT Issue Resolution Process.

The MAT shall:

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

6.5 Management Procedures for Delegated Programs.

COMMARCORSSYSCOM may delegate MDA/PDA to a PM or Senior Executive Service (SES) official. Delegation of MDA or PDA shall be documented in an ADM from COMMARCORSSYSCOM to the designated official. Programs should be of relatively low risk and complexity to be considered for delegation.

The MDA/PDA for delegated programs shall:

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

Chapter 7: Better Buying Power (BBP)

7.1 BBP Overview.

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

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

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

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

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

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

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

7.2 Should Cost.

The [MCSC Guide to Should Cost Management Increment I](#) (reference (u)) has been released and supersedes previous MCSC Should Cost guidance. The guide applies to all MCSC programs and pre-ACAT efforts as well as those in Sustainment. Effective immediately, programs shall use the “Program Should Cost Summary” and “Summary Should Cost Initiatives” slides. These slides are located in enclosure (1) of the MCSC Guide to Should Cost Management and replace all previous versions of the PoPS “Should Cost/Will Cost” slides.

7.3 Affordability.

Scope and Overview.

This chapter establishes MCSC implementing guidance regarding program affordability to align with [BBP](#), [Interim Department of Defense Instruction \(DoDI\) 5000.02 Enclosure 8](#), and [DAG Chapter 3.2](#). It applies to all MCSC ACAT III and IV programs, Abbreviated Acquisition Programs (AAPs), pre-ACAT efforts, and efforts that have been transitioned to the Operations and Support (O&S) phase.

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

- Active teaming with the Requirements Authority (RA) and all stakeholders to enable risk informed decisions
- Program cancellation or restructure considered at every decision point if lifecycle affordability cannot be demonstrated
- On-going affordability reviews conducted earlier in the lifecycle and continuing through Disposal
- MDA visibility into cost, schedule, and performance (C/S/P) trades, risk, and acquisition approaches to support affordability

The PM will propose a tailored affordability approach for each specific program for MDA approval. The level of detail and

content should align with the risk, status and complexity of each effort. For example, the level of detail for an AAP will typically be substantially less than that required for an ACAT III developmental program. Only the minimum essential products and tools needed to enable risk informed MDA decisions with respect to affordability should be used. See [Chapter 7.3](#) for more information about tailoring.

Affordability is considered during the identification of minimum capability needs and at all MDA reviews. It is a collaborative effort between the RA, USMC leadership, and the MDA. [DAG Chapter 3.2.1](#) notes that affordability analyses is not intended to produce a rigid long-term plan. It is a tool to promote responsible and sustainable investment decisions. Affordability (as defined at the portfolio and individual program level) will change over time as USMC priorities and budget constraints evolve. As such, affordability must be assessed at all major MS and MDA reviews to ensure that decisions are based on current and accurate information.

Below is a top level summary of MCSC affordability steps, roles, and responsibilities. This is followed by definitions and a summary of the differences between full funding and affordability. [Enclosure \(u\)](#) provides detailed guidance regarding PM and stakeholder roles and responsibilities, as well as tools and Acquisition Decision Memorandum (ADM) exit criteria to assist the MDA/PM in managing lifecycle program affordability. References and hyperlinks are provided throughout the chapter for those wishing to obtain more detailed information and access higher level guidance.

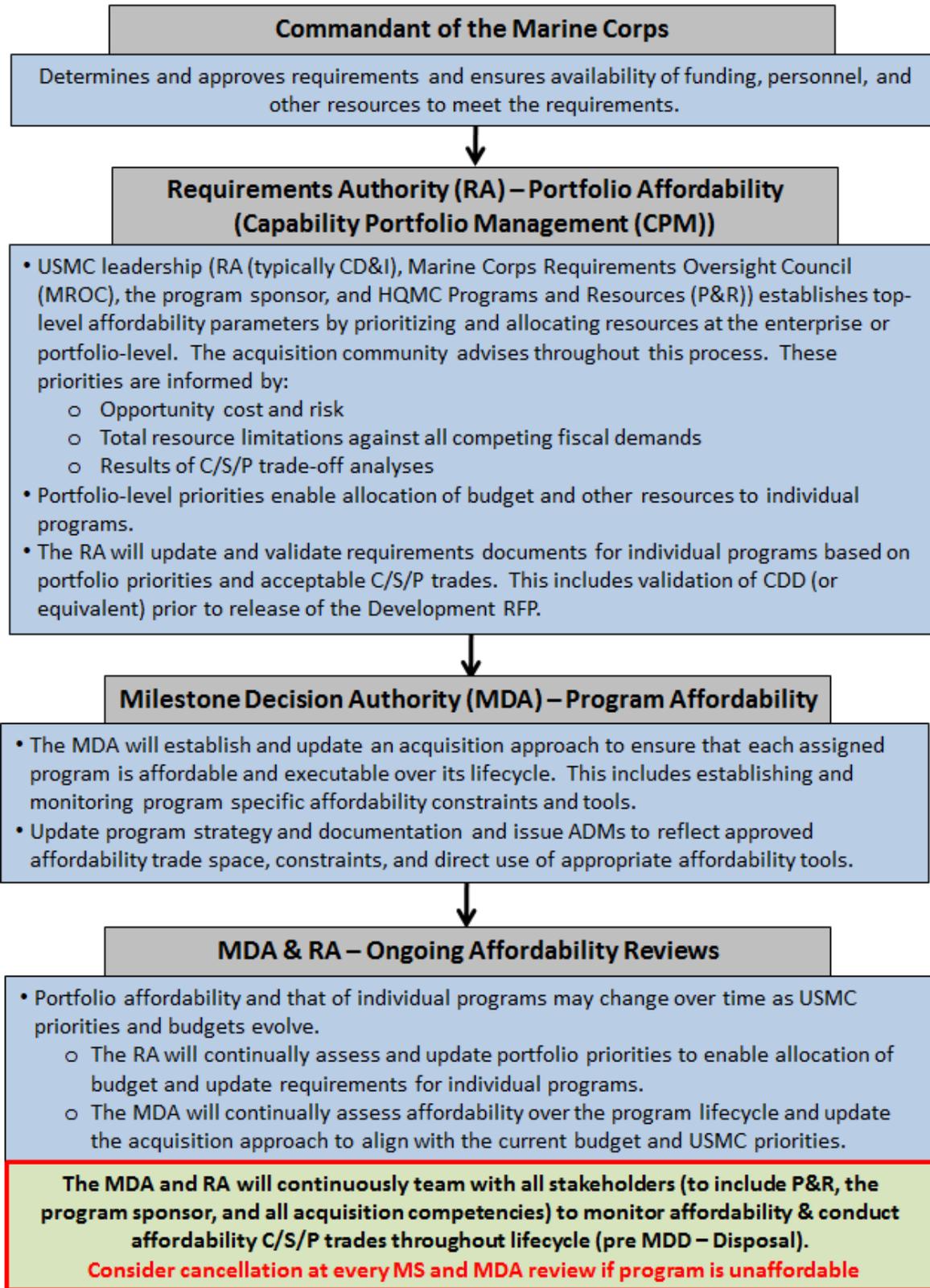


Figure 7A. Summary of MCSC Affordability Steps, Roles, and Responsibilities

Definitions.

Affordability - A program is affordable if it can be executed over its lifecycle (MDD - *Disposal) within the allocated budget and assigned resources. Since affordability extends through Disposal it often encompasses a timeframe beyond the current FYDP. Affordability is not the same thing as full funding. An explanation of the differences between affordability and full funding is provided in [Chapter 7.2.1](#). (*Note: The timeframe for disposal is specified in the Life Cycle Cost Estimate (LCCE) or Program Office Estimate (POE). It is typically calculated as FOC plus 20 years for weapons systems and FOC plus 10 years for IT. However, the PM may adjust the specific timeframe to reflect the expected service life of each unique program.)

Affordability Constraints - Program specific targets established by the MDA to ensure each program is affordable and aligns with USMC portfolio priorities. Affordability constraints are **not** the product of cost analysis; they are a constraint on costs driven by budget considerations and RA portfolio priorities. Affordability constraints force prioritization of requirements, drive C/S/P trades and ensure that unaffordable programs do not enter or remain in the acquisition process. The Program Manager (PM) recommends and the MDA approves affordability constraints tailored to the status and risks of each specific program.

There are two types of affordability constraints - *goals* and *caps*.

- **Affordability Goals** - Early in a program (pre-MS B), affordability goals are set to inform capability requirements and major design or other C/S/P trade-offs to ensure the product being acquired is affordable. Goals are at a strategic level and informed by historical analysis, portfolio priorities, and known budget constraints. Goals may be expressed as broad notional ranges or guidelines early in the program lifecycle. The level of specificity will increase as the program progresses to MS B/C, the materiel solution is known, and the level of program knowledge matures.
 - Examples: Total funding, annual funding profiles, inventory, unit cost thresholds, Total Ownership Cost (TOC), or other appropriate targets. See [Enclosure \(u\)](#) for specific examples and detailed instructions.
 - Documentation: Affordability goals are included as ADM Exit Criteria starting at Materiel Development Decision (MDD) and typically continuing through MS B.

They are updated at each subsequent MS and MDA review point. Affordability goals are eventually replaced by more precise affordability caps (usually at MS B). However, for those programs entering the acquisition process after MS B, the MDA may elect to defer establishing affordability caps until MS C or beyond.

- **Affordability Caps** - Specific cost targets that are established for individual programs to align with overarching USMC portfolio priorities. *Note: DoDI 5000.02 states that affordability caps should be managed as Key Performance Parameter (KPP) equivalents. However, there is a difference between KPPs and affordability caps. KPPs typically do not change over time while affordability caps will change as USMC portfolio priorities and budgets evolve.*

The MDA will establish affordability caps after the materiel solution has been defined, the requirements, product definition, and design are stable, and the POE and/or LCCE has been completed (typically at MS B). However, for programs entering the acquisition process post MS B, documentation of affordability caps will begin at MS C or the appropriate MS and continue throughout the program lifecycle.

- Examples: Average Procurement Unit Cost (APUC) (typically does not apply to IT programs), total acquisition cost, annual sustainment costs, and TOC. For IT programs with no production quantities total acquisition cost and average annual O&S costs are appropriate. See [Enclosure \(u\)](#) for specific examples and detailed instructions.
- Documentation: Affordability caps are included as ADM Exit Criteria and where appropriate documented in the Acquisition Program Baseline (APB). They are reviewed and updated at all MS and MDA review points.

DAG Chapter 3.2.3.4 states that affordability caps set the level at which the program must be de-scoped or cancelled, not what the cost estimates say a specified set of program requirements will cost. As such, affordability caps may be above APB values to allow for flexibility in dealing with unforeseen issues or risks. The amount by which the caps exceed APB values is at MDA discretion. However, the individual program caps should align with overarching USMC portfolio priorities.

Affordability Analytical Framework – The framework consists of two parts – *mandatory affordability reviews* and *affordability tools*. The PM recommends and the MDA approves a framework for each program. This enables the construction and update of realistic affordability constraints. The framework should align with and inform on-going portfolio analyses led by the RA. It will be tailored to address the status and risks of each unique program, and updated over the program lifecycle to address current budget constraints, status, and overarching USMC priorities. It is critical that the PM work with the RA and all stakeholders/competencies (to include the Tier-0 Integrated Product Team (IPT)) to determine the framework. This will provide the MDA with an integrated picture of affordability status, trade-offs, and associated risks.

- **Affordability Reviews** – Events that enable timely leadership review and decisions WRT affordability. The timing and nature of the reviews will vary depending on the risks and status of each program. Programs with significant affordability challenges will require more frequent leadership reviews and decisions. Programs with little to no affordability challenges may only require affordability reviews that are conducted as part of the MS decision process.
 - Examples: These may include MROC Briefs, Tier-0 IPT reviews, other PM/MDA/stakeholder reviews, etc. that specifically address program affordability and executability. These can be used to inform or combined with MDA MS decisions, program management reviews, and other MDA review points.
- **Affordability Tools** – Analyses or techniques to assess program affordability, required trade-offs, and risks. These can range from technical trade-off analyses, innovative acquisition or contracting approaches, use of should cost, or other techniques to address affordability.
 - Examples: [Enclosure \(u\)](#) provides specific examples of affordability tools.
 - Documentation: The specific Affordability Analytical framework for each program is specified as ADM Exit Criteria. This may include direction to use specific affordability tools tailored to the program unique status and risk. The criteria are reviewed/updated at each MS and MDA review point.

7.3.1 Full Funding vs. Affordability.

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

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

7.4 MDA Tailoring.

One of the major themes of BBP and the [DoDI 5000.02](#) is "tailoring in." This means the documentation, reviews, and events required for each program should be the minimum necessary to ensure effective and disciplined program execution. The Marine Corps has limited resources, and it is our responsibility to manage them wisely. We should not require any documentation or event that does not contribute to the effective management and oversight of the program. [DoDD 5000.01](#) contains additional information regarding tailoring.

Process. The PM/PdM shall assess the cost, complexity, and risk of each program and propose a tailoring strategy for MDA approval that addresses the following:

- Appropriate [acquisition phases](#), MS and KAEs
- Point of [program initiation](#)
- All reviews and events are candidates for elimination, reduction in scope, or combination with other reviews. This includes program, logistics, and engineering reviews, as well as test and evaluation (T&E) events.
- Documentation required for each MS
 - All regulatory documents are candidates for elimination, reduction in size or scope, or combination with other products
 - Elimination of statutory documents requires a waiver from the appropriate approving official as described below. However, the scope, presentation method, and content should be streamlined to the maximum extent feasible.
 - Both statutory and regulatory documents may be included within broad enterprise documents that address multiple programs (with concurrence of the approving official). This saves time and resources by eliminating the need to prepare and staff multiple documents.
- Delegation of approval level where appropriate

Each program is unique, and the tailoring strategy should be constructed to address program specific complexity, risk, technical maturity, etc. In general, lower risk programs will have substantially fewer reviews and streamlined documentation. For example, the suggested Abbreviated Acquisition Program (AAP) tailoring approach is provided in [Chapter 7.5.1](#) and reflects minimal required documentation.

The MDA tailoring decision and supporting rationale is documented via an [ADM enclosure](#). It is imperative that the tailoring determination made at the initial MDA review is re-examined at each subsequent MS and adjusted as appropriate to reflect current program conditions. For programs where Commander, Marine Corps Systems Command (COMMARCORSSYSCOM) serves as the MDA, the tailoring plan should be reviewed by the Milestone Assessment Team (MAT) before presentation to the MDA. For programs which have been delegated to a PM, the Tier-0 IPT should review the plan before presentation to the MDA/PDA.

Regulatory Requirements - Established by regulation, directive, or other policy memorandum. The MDA may elect to streamline or eliminate regulatory reports, documents, and events. This includes program MS/KAEs, documentation, and supporting program technical and logistics reviews. The MDA may also tailor/combine T&E events; except in the case of Director, Operational Test and Evaluation (DOT&E) oversight, live fire, or other statutory test events.

Statutory Requirements - Established by law, and typically embedded within federal statutes. Waiver of statutory documents, reports, event requirements, and processes can only be done in rare cases and may require justification to Congress. If a PdM wishes to request a waiver of any statutory document or requirement, the request must be submitted via the Tier-0 IPT and PM to COMMARCORSYSCOM for review. In turn, COMMARCORSYSCOM may reject the request or submit the request via the Assistant Secretary of the Navy for Research, Development, and Acquisition (ASN RDA) and USD AT&L for approval by the appropriate authority.

Identification of Statutory vs. Regulatory Requirements.

The MCSC Probability of Program Success (PoPS) core briefing charts (located on the [MCSC Acquisition Portal \(MAP\) SharePoint site](#)) provide a complete listing of statutory and regulatory documents and requirements for each MS and KAE. A sample documentation listing can be found in [Enclosure \(l\)](#).

7.5 Program Documentation.

Documentation requirements for MCSC programs are provided for each MS and KAE at the [MAP SharePoint site](#) within the MCSC PoPS core briefing charts. As soon as possible, the PM/PdM should begin planning for execution of all required program documentation. This includes execution of documents identified as "long lead", e.g. those that may require in excess of five months to prepare, staff, and obtain approval. These long lead documents are identified in the MCSC PoPS core briefing charts for each MS and KAE within the Notional Timeline chart in [Enclosure \(m\)](#).

7.5.1 AAP Documentation.

Recommended documentation and events for an AAP are described below, and may be tailored by the MDA as described above.

- Validated Requirement. This may include a Statement of Need (SON), Letter of Clarification (LOC), Problem Statement for Business Systems, or an appropriate Joint Capabilities Integration and Development System (JCIDS) document. [SECNAVINST 5000.2E](#) Chapter 1.4.6 states the requirement for an AAP may take the form of a memorandum from the resource sponsor (signed at the GO/SES/Flag Officer level). This is referred to as the Program/Resource Sponsor Requirements Memorandum.
- Acquisition Program Baseline (APB)
- Cost Analysis Requirements Description (CARD)
- Program Life-Cycle Cost Estimate (PLCCE)
- Acquisition Strategy/Acquisition Plan (AS/AP) to include risk, affordability, and market research
- Tailored Manpower, Personnel and Training (MPT) analysis
- Strategies for:
 - T&E
 - Systems engineering to include the conduct and timing of technical reviews
 - Supportability
 - Configuration Management
 - Integrated planning and scheduling to include the conduct and timing of all key program events
- Applicable statutory documents such as Programmatic Environment Safety and Occupational Health Evaluation (PESHE), Program Protection Plan (PPP), Information Assurance (IA)/Cybersecurity Plan, Clinger-Cohen Act (CCA) compliance, [Post Implementation Review \(PIR\)](#)
- Information Technology (IT) registration for Mission-Critical (MC) and Mission-Essential (ME) IT systems, including National Security Systems (NSS)
- Other regulatory or program information required by the Program Decision Authority (PDA). This may include a tailored Integrated Master Schedule (IMS)

Chapter 8: TOOLS & ADDITIONAL GUIDANCE

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

The Integrated Master Plan (IMP) and Integrated Master Schedule (IMS) are business tools that enhance the management of acquisition programs. All Marine Corps Systems Command (MCSC) programs and pre-Acquisition Category (ACAT) efforts should prepare, use, and regularly update an IMP and IMS to manage daily operations.

The below figure depicts many of the inputs the Program Manager (PM)/Product Manager (PdM) reviews to begin populating the initial IMP/IMS. This includes the requirements document, [Work Breakdown Structure \(WBS\)](#), historical information, and planned key technical, logistics and program events and documentation. In addition, the PM/PdM should review the Notional Timeline charts ([Enclosure \(m\)](#)) contained in the [MCSC Probability of Program Success \(PoPS\) core briefing charts](#). The initial schedule will be notional, and gain fidelity over time as the program matures.

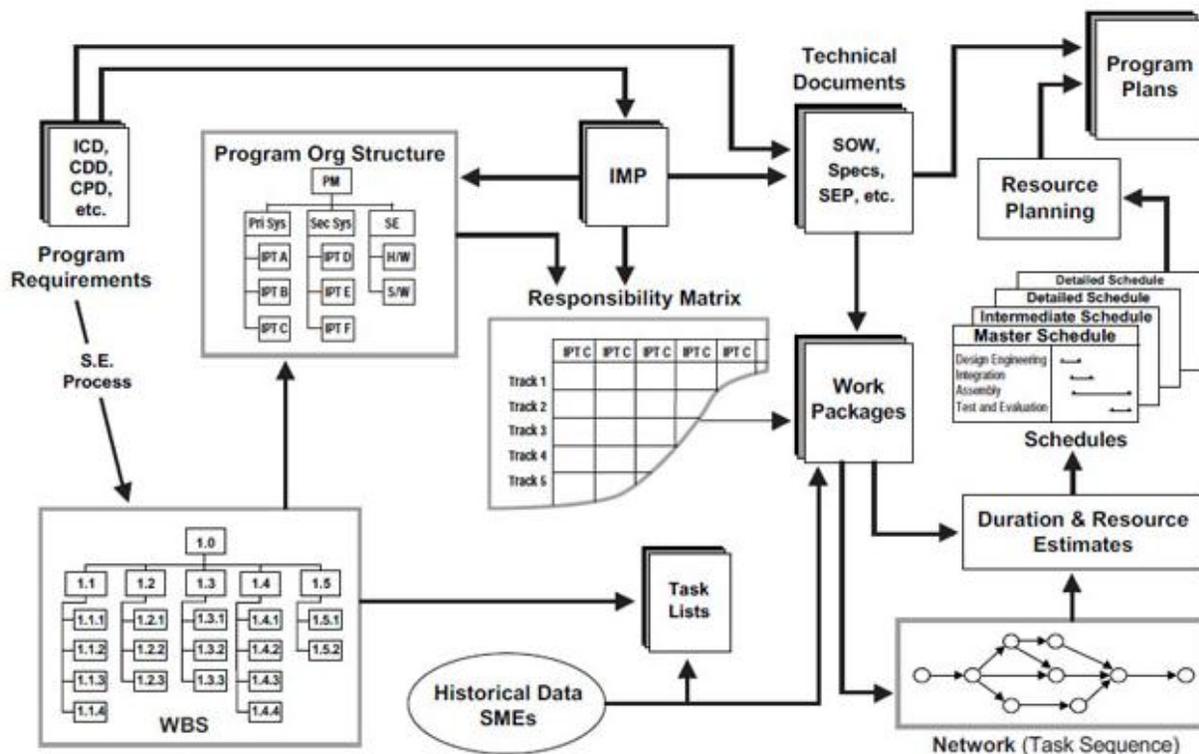


Figure 8A. Inputs Used to Develop Program Schedule (from [PM e-Toolkit](#))

IMP. An IMP is an event-based narrative plan consisting of a hierarchy of program events. Each event is supported by specific accomplishments with detailed criteria for completion. The IMP is often included as part of the contract and in these cases is contractually binding. The IMP should be included in Statements of Work (SOWs) that are issued to government performers.

IMS. The IMS is an integrated schedule of tasks required to execute the program. The IMS includes all:

- IMP events, accomplishments, and supporting closure criteria.
- All the elements required to develop, produce, deliver, and sustain the final product. This includes: key program, technical, logistics, integrated test and contracting events and documents. (This should reflect the Milestone Decision Authority (MDA) approved tailoring strategy as described in [Chapter 7.4](#)).

The IMS enables the PM/PdM to build a realistic schedule and identify, track, and manage program dependencies and critical path events. The following concepts are provided to assist the PM/PdM in developing a realistic schedule.

Critical Path. The critical path events are those which will take the longest time to accomplish and require close monitoring by the PM/PdM. The critical path will be identified by the IMS, thus enabling the PM/PdM to actively manage schedule drivers. The PM/PdM shall bring a hard or soft copy of the IMS with critical path view and be prepared to provide a critical path summary at each decision meeting and program review.

Risk Adjustment. This is the additional time built into the schedule to accommodate unanticipated delays. A realistic program schedule should include appropriate risk adjusted timeframes (durations) since it is very rare for all events to occur within originally planned timeframes.

Dependencies. Certain program events and documents are dependent upon the accomplishment of prior events or documentation. For example, the appropriate technical reviews must be completed prior to a Milestone (MS). All such dependencies should be built in to the IMP/IMS. This

provides the PM/PdM with a realistic schedule and enables proactive management of schedule drivers.

Float. This is the amount of time a task can be delayed without impacting other tasks. Float is an important element as it provides the PM/PdM insight into schedule status especially in the case of critical path schedule events.

The level of detail for each IMP/IMS should be tailored to the specific characteristics of each program. The tailoring process is described in [Chapter 7.4](#). In general, the IMP/IMS for programs with high risk or complexity should show greater detail to provide the PM/PdM enhanced visibility to program status and underlying events. However, the more detailed the IMS, the greater the cost to track and update the schedule. As such, the PM/PdM should exercise sound business judgment when determining the level of detail required in the IMP/IMS.

The Under Secretary of Defense for Acquisition, Technology, and Logistics (USD AT&L) [IMP and IMS Preparation and Use Guide](#) (Reference (n)) provides all information required to initiate and manage an IMP and IMS. For MCSC programs, the PM/PdM should consult with the Tier-0 IPT for guidance on implementation within each specific program.

8.2 Risk.

Effective risk management is a key to program success. Program risks are future uncertainties which may impact the program's ability to meet cost, schedule, and performance (C/S/P) goals. Effective risk management requires the regular participation of all competencies and stakeholders. It is recommended the PM/PdM charter a Risk Management Board (RMB) which will regularly meet to identify and manage risk. The [Naval SYSCOM Risk Instruction](#) (reference (t)) assigns responsibilities for a standardized risk management process across all Naval Systems Commands.

The [Risk Management Guide for DoD Acquisition](#) (Reference (o)) identifies three components of risk:

- A future root cause (yet to happen), which, if eliminated or corrected, would prevent a potential consequence from occurring.
- A probability (or likelihood) of the future root cause occurring.

- The consequence (or effect) of that future occurrence.

Risks vs. Issues. A risk is something that may occur in the future. An issue is something that has already occurred or is occurring.

8.2.1 Risk Reporting Matrix.

The below risk reporting matrix is used to illustrate the various levels of program risk. The level of risk for each root cause is reported as low (green), moderate (yellow), or high (red). The risk level is determined by assessing the consequence of the risk, together with the likelihood of it occurring. This enables the PM/PdM to highlight those risks that pose the greatest threat to overall program success. Additional information can be found in the [Risk Management Guide for DoD Acquisition](#).

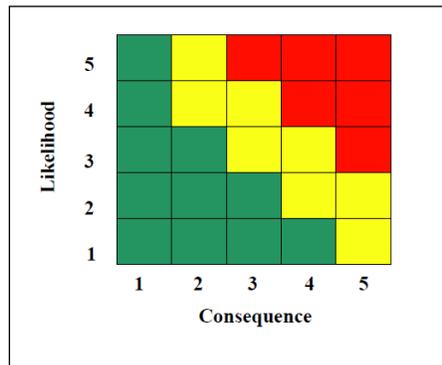


Figure 8B. Graphical Representation of Risk Reporting Matrix

In addition to the above risk cube, all MCSC programs are required to populate a risk burn-down slide for any risk identified as red. An example template is shown in Figure 8C and is included in the MCSC PoPS core briefing charts for each MS and Key Acquisition Event (KAE). The risk burn-down slide should include:

- A brief description of the risk.
- Mitigation steps (current and future). Numbered steps should correspond to the graphic in demonstrating envisioned mitigation across time.
- A checkmark for mitigation steps that are completed (as appropriate).

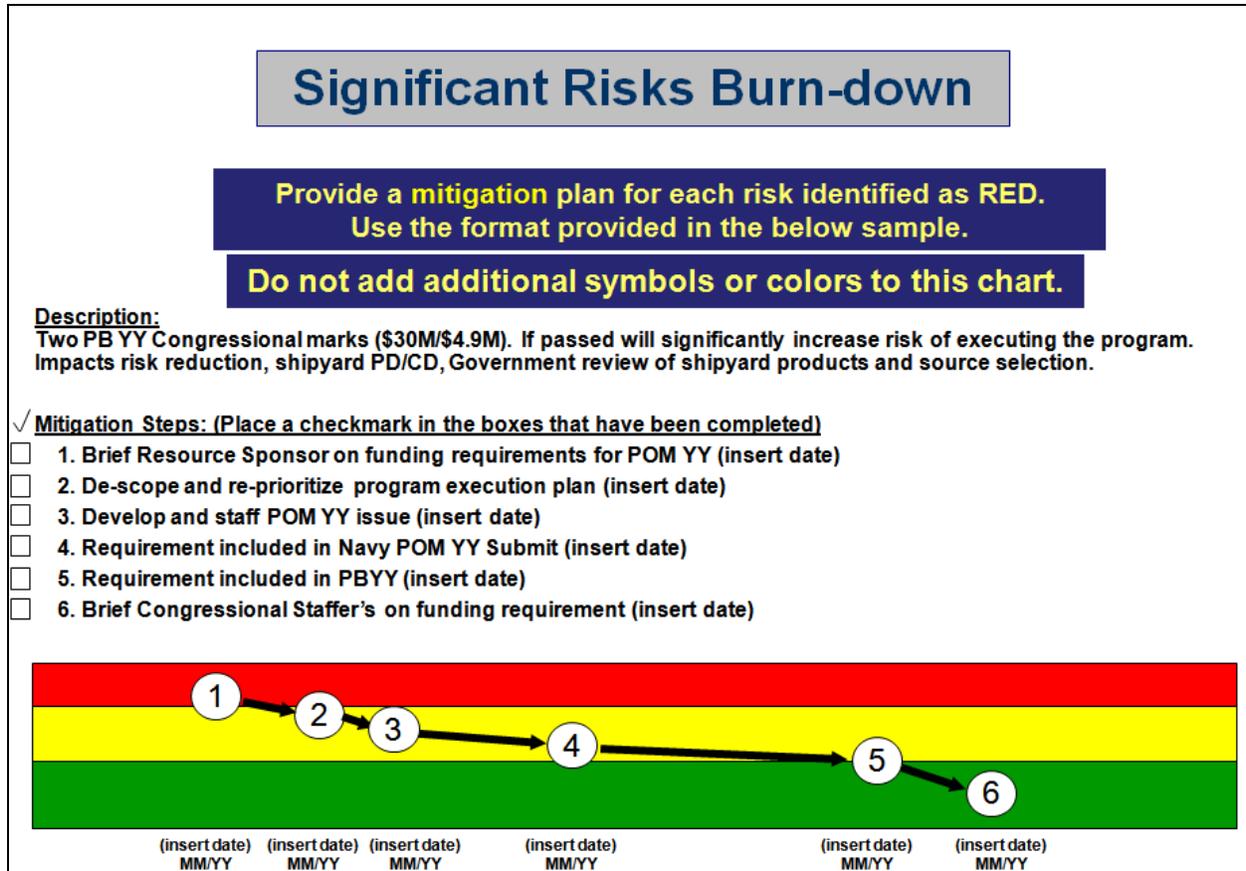


Figure 8C. Risk Burn-Down Chart

8.3 Clinger-Cohen Act (CCA) .

The Clinger-Cohen Act (CCA) is a statutory requirement. All programs should be evaluated to determine if they have any information technology (IT) components and to determine the applicability of CCA. If a program has Information Assurance requirements it will likely need to be CCA compliant. See [DAG Chapter 7.8](#) and the [MCSC PoPS core briefing charts](#) document listing for more information.

8.4 Test and Evaluation (T&E) Planning.

Integrated testing is fundamental to the effective execution of all acquisition programs to include Abbreviated Acquisition Programs (AAPs). The T&E strategy and results ensure the product or capability we are acquiring meets its intended purposes as defined in the requirements document. The T&E strategy is tailored to the specific characteristics of each individual program. Lower risk programs may require developmental test (DT) only. In a DT effort, the PM/PdM

develops and oversees all testing. The PM/PdM should ensure the appropriate rigor and discipline are applied to the planning and execution of all DT. This includes ensuring a senior Government test advisor (preferably independent from the Program Management Office) oversees and monitors the development of T&E strategies, as well as the conduct of T&E events. This may be the Tier-0 IPT, Assistant Program Manager for Engineering (APM-E), Marine Corps Operational Test and Evaluation Activity (MCOTEA) advisor, etc.

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

It is imperative the PM/PdM begin planning for integrated T&E activities as early as possible in the program lifecycle. The program test advisor or Test Working Integrated Product Team (WIPT) should be involved in the review of all program documentation to include requirements documentation. This will ensure all T&E considerations have been planned for and are fully addressed within the program schedule and budget. See [DAG Chapter 9](#) for more guidance.

8.5 Business Capability Lifecycle (BCL) Implementation.

Background. [DoDI 5000.02 Enclosure 12](#) and [DAG Chapter 12](#) establish guidance requiring the use of the BCL model as the framework for oversight and management of Defense Business Systems (DBS).

Purpose. The below provides an overview of above policy and impact on MCSC programs.

Definition. DBS - A DoD information system which supports business activities such as acquisition, financial management, logistics, strategic planning and budgeting, installations and environment, human resource management, IT and information assurance infrastructure. (National Security Systems (NSS) are excluded).

Summary. The BCL framework applies to all DBS with a total cost over \$1,000,000. It is intended to streamline the DoD 5000

construct to allow for rapid delivery and updates to IT capabilities. It is based upon statutory guidance and aligns with Business Enterprise Architecture (BEA).

Key Features.

- MDA responsibilities and DoDI 5000 documentation and reviews remain intact. However, there are now additional reviews, certifications, and oversight councils that advise the MDA prior to each MS. The level of membership varies depending on ACAT level.
 - Investment Review Board (IRB) – chaired by CIO DoD/DoN/HQMC.
 - Certification Authority (CA) and Pre-Certification Authority (PCA).
 - Defense Business Systems Management Council (DBSMC).
- A problem statement format is used in lieu of traditional Joint Capability Integration and Development Systems (JCIDS) documents.
- Independent Risk Assessments are required.
- A Business Case is required in addition to the Analysis of Alternatives (AoA).
- Service level implementation is evolving and updates will be provided as available.
- The DoD 5000 Defense Acquisition Framework is modified to reflect required reviews as shown below.

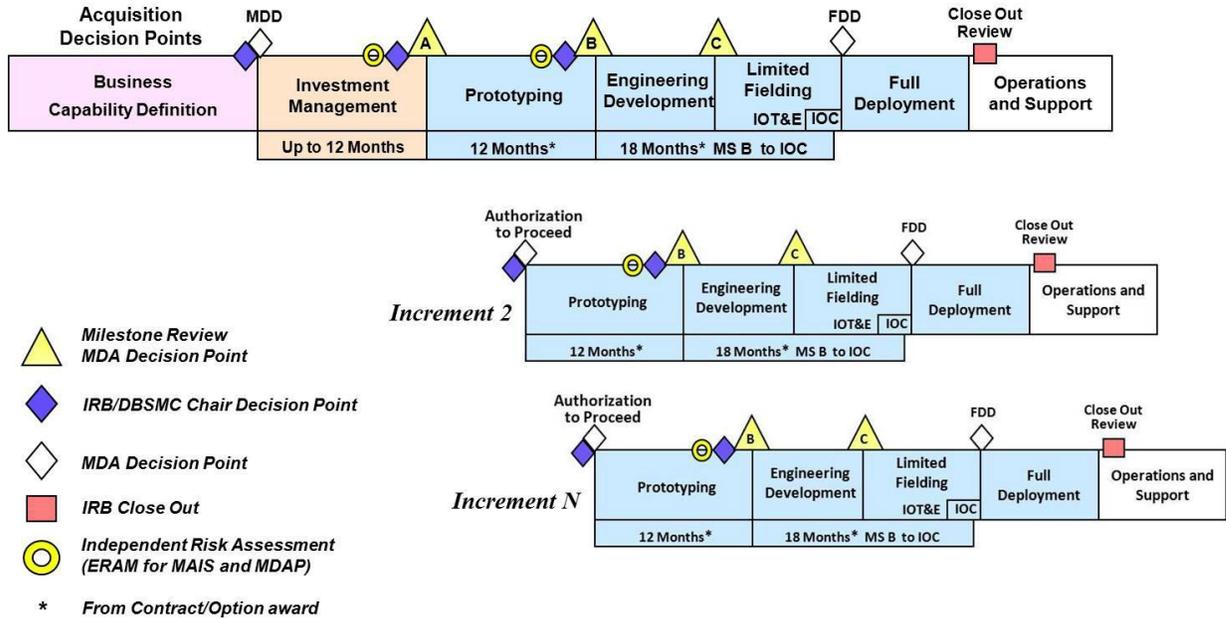


Figure 8D. BCL Process Overlay with DoDI 5000.02 Framework

8.5.1 BCL Implementation Plans.

A working group (BCL IPT) was chartered by the MCSC Acquisition Guidebook (MAG) IPT. The BCL IPT is analyzing the BCL framework (as shown in Figure 8E), to identify impacted processes and recommend policy updates as appropriate.

The BCL IPT is working with the Marine Corps Business Enterprise Office (MCBEO) to develop DBS implementation policy for ACAT III, IV programs, and AAPs. PMM-110 is leading this IPT and will execute pilot programs under the BCL construct. The resulting lessons learned will be incorporated into MCSC policy and guidance.

If you have questions regarding the BCL process, please contact your Assistant Program Manager for Program Management (APM-PM) for guidance.

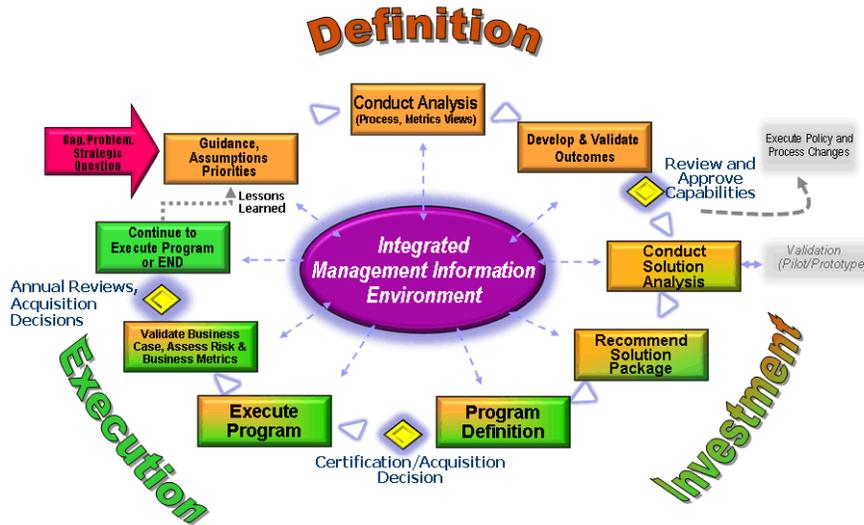


Figure 8E. BCL Framework

8.6 Memorandum of Agreement (MOA).

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

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

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

- Deputy Commander, Resource Management (DC RM) - Financial or Personnel/Manpower issues.
- Assistant Commander, Contracts (AC Contracts) - Contracting issues.
- Assistant Commander, Programs (AC PROG) - Programmatic or Analytical issues.

- Deputy Commander, Systems Engineering, Interoperability, Architectures, & Technology (DC SIAT) – Technical or Engineering issues.
- Additional staffing through relevant PMs, APMs, and Special Staff functions may be required if the situation warrants.
- Command Counsel – Reviews all external MOAs.

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

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

8.7 Modifications.

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

8.8 Acquisition Program Baseline (APB).

Below provides a brief summary of APB content and management. Detailed guidance is provided within [DAG Chapter 10.9](#) and [DoDI 5000.02](#). In addition, a sample APB is provided at [Enclosure \(o\)](#).

Description. The APB documents the program's C/S/P goals. An APB is required for all acquisition programs (including AAPs) beginning at program initiation (typically MS B or MS C) and throughout the program lifecycle. The APB shall be reviewed for relevance at each MDA program review and KAE.

Approval. The MDA approves the APB. Prior to MDA signature, the requirements organization (resource sponsor) concurs with the APB.

APB Content - Objective and Threshold Values. Each C/S/P goal must have an associated objective and threshold value.

- Threshold values are the minimum acceptable standard which meets the user's needs.
- Objective values reflect the "best case" scenario. An objective value may be the same as the threshold when appropriate.

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

APB Content - Performance Parameters. At a minimum, the [Key Performance Parameters \(KPPs\)](#) contained within the requirements document will be included in the APB. For each performance parameter, if no objective is specified, the threshold value will serve as the objective value, and vice-versa.

APB Content - Schedule Parameters. The APB shall include:

- Key schedule events from the requirements document, such as Initial Operational Capability (IOC) and Full Operational Capability (FOC).
- MS and KAEs such as Preliminary Design Review (PDR) and Critical Design Review (CDR), per the program's planned overall schedule.
- Major testing events and other critical program events.

If no threshold value is specified in the requirements document for IOC or FOC, the default threshold value is the objective value schedule date plus 6 months. However, the PM/PdM may propose an alternative default threshold value to optimize program trade space, subject to MDA approval.

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

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

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

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

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

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

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

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

8.9 Program Deviations (also called "breaches").

General. The PM shall immediately notify the MDA of an anticipated or actual program deviation. This section establishes:

- Procedures and templates for the initial MDA notification of program deviation
- Subsequent required products and timeframes
- Roles and responsibilities of all stakeholders

Applicability. The below applies to all programs for which COMMARCORSSYSOM serves as MDA/PDA. The decision authority for programs which have been delegated to a PM or other official shall apply and tailor the guidance herein as described in [Chapter 8.9.4](#).

Definitions.

- A program deviation occurs **as soon as** the PM has reason to believe that the current estimate of an APB cost, performance, or schedule (C/S/P) parameter will breach the threshold value for that parameter. (Note: This means that the planning, notification, and execution of required steps outlined in this chapter must begin **as soon as** the PM anticipates a deviation. These actions must not be delayed until the deviation actually occurs.)
- A program deviation report is a product prepared for the MDA that describes:
 - The APB deviation(s)
 - Reason(s) for the deviation
 - Planned actions for resolution

The report is prepared by the PM, or by the chair of the deviation review board in cases where a formal board has been convened. In either case, the preparer works closely with the Tier-0 IPT, CD&I and key stakeholders to provide the MDA with a comprehensive assessment/recommendations.

- A deviation review board is an IPT specifically convened to prepare the program deviation report for MDA consideration.

8.9.1 PM/Stakeholder Responsibilities & Mandatory Timeframes.

The PM shall:

- Immediately notify the MDA (via AC PROG) when the PM estimates that one or more APB threshold values for C/S/P are not achievable. [Table 8A](#) describes the associated steps and products; [Enclosure \(r\)](#) is a tailorable template to support preparation of the initial MDA notification of program deviation.
- Within 30* days from the initial deviation notification, the PM shall prepare a program deviation report for the MDA. [Table 8B](#) describes the associated steps and products;

[Enclosure \(s\)](#) is a tailorable template to support preparation and submission of the program deviation report.

- Within 90* days of the deviation, the PM shall submit a revised APB for MDA approval. The APB updates shall be limited to only the breached parameter and those parameters directly affected by the breached parameter. Chapter 8.9 describes the steps and products required to support APB preparation and submission. [Enclosure \(o\)](#) is a tailorable template for the APB.

***Changes to Required Timeframes.** The 30 day timeframe for submission of the program deviation report and 90 day limit for submission of revised APB are regulatory requirements per DoDI 5000.02. However, the PM may request that the MDA modify either or both timeframes, by including the proposed target date(s) and supporting rationale in the initial MDA notification.

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

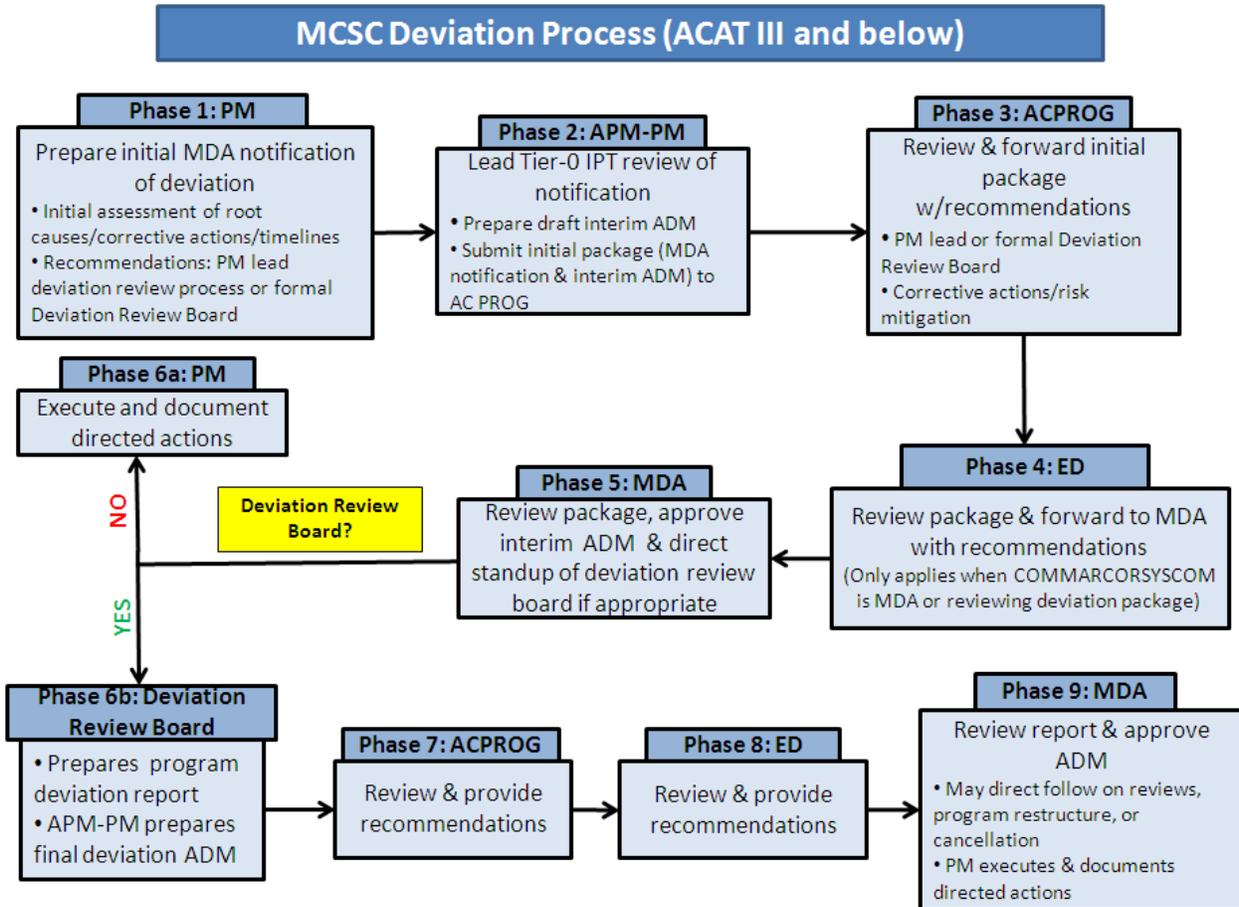


Figure 8F. MCSC Deviation Process

8.9.2 Deviation Review Board.

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

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

- The root cause of the deviation is known and all corrective actions have been identified, and
- The impact of the deviation is minor and poses low risk to program executability.

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

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

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

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

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

8.9.3 Documenting MDA Guidance and Decisions.

MDA direction must be documented and posted in TOPIC to ensure all stakeholders have a common understanding of MDA intent WRT strategy, required actions, and timeframes. This mandate extends from time of initial MDA notification of program deviation through implementation and ongoing follow-up of corrective actions. At a minimum, MDA guidance subsequent to the initial MDA notification of program deviation notification and review of the program deviation report shall be documented via Acquisition Decision Memorandums (ADMs) as described below.

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

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

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

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

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

Notes:

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

(b) DAG Chapter 10.11.5.5.3 outlines ACAT I criteria ISO each MDA determination. This will require interpretation/tailoring for MCSC programs, but provides a valuable benchmark.

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

8.9.4 Responsibilities and Timelines for Delegated Programs.

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

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

Responsibilities & Timeframes for Initial MDA Notification of Program Deviation

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

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

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

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

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

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

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

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

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

8.11 Program Objective Memorandum (POM) Process .

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

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

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

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

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

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

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

8.12 Intelligence Mission Data (IMD) Dependency.

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

Definition. In general, a program is IMD dependent if it uses software and its sensor platform or information system relies on intelligence data used for the design, development, testing of sensors or models, and can take action autonomously without “a man in the loop”. See [DoD Directive 5250.1 22 Jan 2013](#) for the complete definition.

Overview. [DoD Directive 5250.1 22 Jan 2013](#) establishes requirements for management of IMD in DoD acquisition. Programs determined to be IMD dependent are required to develop a Life Cycle Mission Data Plan (LMDP).

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

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

Chapter 9: REPORTING TOOLS

9.1 RDAIS.

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

9.1.1 Applicability.

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

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

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

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

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

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

9.1.2 Reporting Requirements.

9.1.2.1 Quarterly Submissions.

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

ACAT I-III programs: January, April, July, and October

ACAT IV programs: March, June, September, and December

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

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

9.1.2.2 Ad Hoc Submissions.

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

9.1.3 RDAIS Access and Account Registration.

Anyone requiring access to RDAIS must register for an account on the RDAIS homepage found at the following link:

<https://rdais.stax.disa.mil/rdais/>

Unlike its predecessor, ASN Dashboard, RDAIS access is determined by the user's needs and responsibilities within the RDAIS workflow. This new data security feature includes varied access privileges and working levels. If unsure of which working level and access privileges to register for, contact the APM-PM or ACPROG Assessments for assistance.

9.1.4 RDAIS Roles and Responsibilities.

In addition to those already stated, the following table presents MCSC's RDAIS roles and responsibilities.

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

RDAIS Roles and Responsibilities

Assistant Commander, Programs (ACPROG)

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

Table 9A. DASHBOARD Quarterly Responsibilities

9.2 TOPIC 2.0.

[The Online Program Information Center \(TOPIC\) 2.0](#) is the authoritative source of acquisition and program management data for all MCSC ACAT programs and pre-ACAT efforts. TOPIC 2.0 assists MCSC Leadership, Staff Organizations, PMs, and PdMs by providing visibility and access to program information and documentation.

9.2.1 TOPIC 2.0 Content.

TOPIC 2.0 is a web-enabled repository of approved acquisition and program management data. The information in TOPIC 2.0 is used to generate reports and status information for Commander, Marine Corps Systems Command (COMMARCORSYSCOM) and is reported to external organizations. This information also serves as a consolidated Command reporting tool for PMs, Competency Leaders, Command Executives, and other Commands/Headquarters that require insight into specific program information. A major goal of TOPIC 2.0 is to ease the burdensome reporting requirements that PMs will continue to encounter. As such, **it is imperative the following data entered into TOPIC 2.0 is accurate and current:**

Program Information. Information in this section is derived from signed ADMs from the Milestone Decision Authority (MDA)/Program Decision Authority (PDA).

Program Management. This section identifies the current PM, PdM, and Project Officer managing the program.

Probability of Program Success. In this section, the PoPS color ratings for the four factors (Program Requirements, Program Resources, Program Planning/Execution, and External Influencers) are entered each time the PoPS baseline has been updated by the PM and approved by the MAT or Tier-0 IPT.

Milestone Events. Information in this section is derived from an approved APB.

Exit Criteria. Information in this section contains specific action items or tasks assigned by the MDA that must be completed prior to returning for future/additional program decisions(s).

Independent Logistics Assessment (ILA) Events. Information in this section will identify current planned and/or completion dates of ILA events that support the program schedule.

Contracts. This section identifies the major contract efforts that support the program.

Technical Review Events. This section identifies the programs planned and actual dates of Systems Engineering and Technical Reviews (SETRs). SETRs are required for all ACAT programs throughout the acquisition process and should be tailored through the Systems Engineering Plan (SEP).

Authority to Operate (ATO) Events. Information provided in this section provides granted and expiration dates for any authorizations obtained by a Designated Accrediting Authority (DAA) for a DoD Information System to process, store, or transmit information.

Joint Interoperability Certifications (JIC). Information contained in this section identifies current program certifications for compliance. National Security Systems (NSS) and Information Technology (IT) systems must be certified as interoperable with any system that they exchange information.

Joint Interoperability Test Command (JITC) Events. This section indicates a system has successfully passed interoperability testing and has met the Net Ready Key Performance Parameter (NR-KPP).

Safety. Information in this section identifies the safety release dates of demonstration, developmental test, operational test, and fielding events.

Test & Evaluation Events. This section identifies planned and actual dates of program test events, assessments, and evaluations.

Program Documents. This section contains program documents that are currently loaded in the TOPIC 2.0 database.

9.2.2 PM/PdM Responsibilities.

In order for ACPROG to establish the initial program record in TOPIC 2.0, the PM/PdM shall upload a signed ADM using the electronic drop box titled, "[Submit a signed ADM or APB,](#)" located on the front page of TOPIC 2.0.

Once the program has been established in TOPIC 2.0, the PM/PdM is responsible for entering program information into the below sections:

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

The PM/PdM shall ensure all information in TOPIC 2.0 is kept current and reflects approved program schedules, plans and events. In addition, the PM/PdM shall upload all approved ADMs and APBs, within five (5) days of approval, using the electronic drop box titled, "[Submit a signed ADM or APB,](#)" located on the front page of TOPIC 2.0.

9.2.3 ACPROG Responsibilities.

ACPROG will be responsible for entering all ADMs and APB Section B schedule metrics (approved by the MDA and submitted by the PM/PdM) in the Program Information and MS Events sections. This process will ensure accuracy and currency of approved program pedigree and schedule information. Therefore, it is very important for PM/PdMs to ensure ACPROG receives all approved copies of ADMs and APBs within 5 days of approval via the electronic drop box titled, "[Submit a signed ADM or APB,](#)" located on the front page of TOPIC 2.0.

Chapter 10: JOINT PROGRAMS

10.1 Overview.

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

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

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

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

The following are some of the characteristics of joint programs:

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

- A single set of documentation and reports (such as one joint requirements document, one Information Support Plan (ISP), one Test and Evaluation Master Plan (TEMP), one Acquisition Program Baseline (APB), etc.). In some cases, Service unique requirements will be addressed as an annex within the overarching document or may be managed separately by the individual Service. The specific procedures for each joint program should be included within the MOA.
- Joint participation established by MOA. For MCSC programs the PM/PdM shall prepare and submit a MOA for Milestone Decision Authority (MDA) signature. If MDA has been delegated to the Program Manager (PM), the PM may serve as the MCSC signatory on the MOA.
- Lead Service budgets for and manages the common Research, Development, Test and Evaluation (RDT&E) effort (subject to the MOA).
- Individual Services budget for unique requirements.

10.2 Request to Participate (RTP).

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

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

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

Chapter 11: REMOVAL OF ACAT STATUS

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

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

Chapter 12: ROLES AND RESPONSIBILITIES

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Marine Corps Logistics Command (MCLC/MARCORLOGCOM) -

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

Enclosure (a). 12 Steps to Program Success

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

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

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

2. Start Planning Early and Leverage MCSC Resources.

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

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

Enclosure (a). 12 Steps to Program Success

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

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

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

To begin populating the schedule, the PM should consult the notional timelines provided for the applicable MS or KAE and the sample schedule ([Enclosure \(q\)](#)) chart provided in the [MCSC PoPS core briefing charts](#), relevant historical information, and this Guidebook ([Chapter 8.1](#)). The PM should:

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

Enclosure (a). 12 Steps to Program Success

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

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

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

Enclosure (a). 12 Steps to Program Success

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

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

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

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

Enclosure (a). 12 Steps to Program Success

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

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

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

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

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

Thus, to make an effective decision, the PM should consult the program IPT (with membership from all competencies and affected stakeholders) to identify and assess the cost and benefits of any program change or decision. This approach allows for the PM to receive input from all competencies and stakeholders concurrently, and develop a fully informed decision. ***Decisions made without participation from all competencies are often flawed; as they do not reflect consideration of all impacts and consequences.***

Enclosure (a). 12 Steps to Program Success

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

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

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

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

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

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

**Enclosure (b). Example of Entry and Exit Criteria for
Milestones and Key Acquisition Events**

Milestone or Key Acquisition Event

Milestone B (MS B) Decision				
<p>Briefer PM/PdM</p> <p>References***</p> <ol style="list-style-type: none"> MARCORSYSCOM PoPS Guidebook ASN PoPS Gate Charts MARCORSYSCOM Cost Analysis Guidebook MARCORSYSCOM Acquisition Guidebook (MAG) Timeline (in this brief) Documents (in this brief) Relevant excerpts in DoDI 5000.02 	<p>Membership Chair MDA</p> <p>Review Lead APM-PM</p> <p>Participants MARCORSYSCOM (APMs, DC RM, DC SIAT, AC Contracts, AC ALPS, ACPROG, Safety, Security), DC CD&I, HQMC Advocate(s), LOGCOM, MCOTEA</p>	<p>Entrance Criteria</p> <ol style="list-style-type: none"> Approved CDD, SON, or other validated capability/requirement document Approved CONOPS Approved System Design Specification (SDS) or waiver Completed LCCE Demonstration that the program is fully funded across the FYDP or propose full funding COAs for MDA consideration Approved Source Selection Plan All statutory and regulatory documents completed, or complete pending MDA signature (as tailored per MDA guidance) Peer Review of RFP and Pre-EMD completed or waived by MDA Exit criteria from previous ADM met MAT review (non-delegated) or Tier-0 IPT review (delegated) of MS B PoPS Program Health package ILA completed 	<p>Output</p> <ol style="list-style-type: none"> MDA approval for RFP Release MDA approval of ADM* authorizing MS B and entry to EMD phase with exit criteria and determination of next milestone or key acquisition event MDA approves appropriate statutory and regulatory documents (as tailored per MDA guidance) MDA approval of Acquisition Program Baseline 	<p>Briefing Content MARCORSYSCOM MS B PoPS core briefing charts**</p>

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

MCSC PoPS Milestone B (MS B)

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

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



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

IN REPLY REFER TO:

1000

C4

JUL 06 2011

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

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

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

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

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

A handwritten signature in black ink, appearing to read "K. J. Nally", with a long, sweeping underline.

K. J. NALLY

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

Copy to:
CO, MCNOSC

Enclosure (d). PoPS Database Rules and Instructions

Establishing a new PoPS Program Health Assessment

Notify the APM-PM when starting a new Program Health Assessment (i.e. new Gate and MS/KAE review)

- The APM-PM will create an initial database file (XML file) for your program and specific Gate for the assessment, provide you with a copy of the database, and assist you in importing it into the database.

Locate the files you were provided

- Ensure the files are saved in an appropriate place for future reference in answering PoPS criteria questions and developing needed presentations and reports.
 - Do NOT run the database off of a CD-ROM since any data entered will be lost!

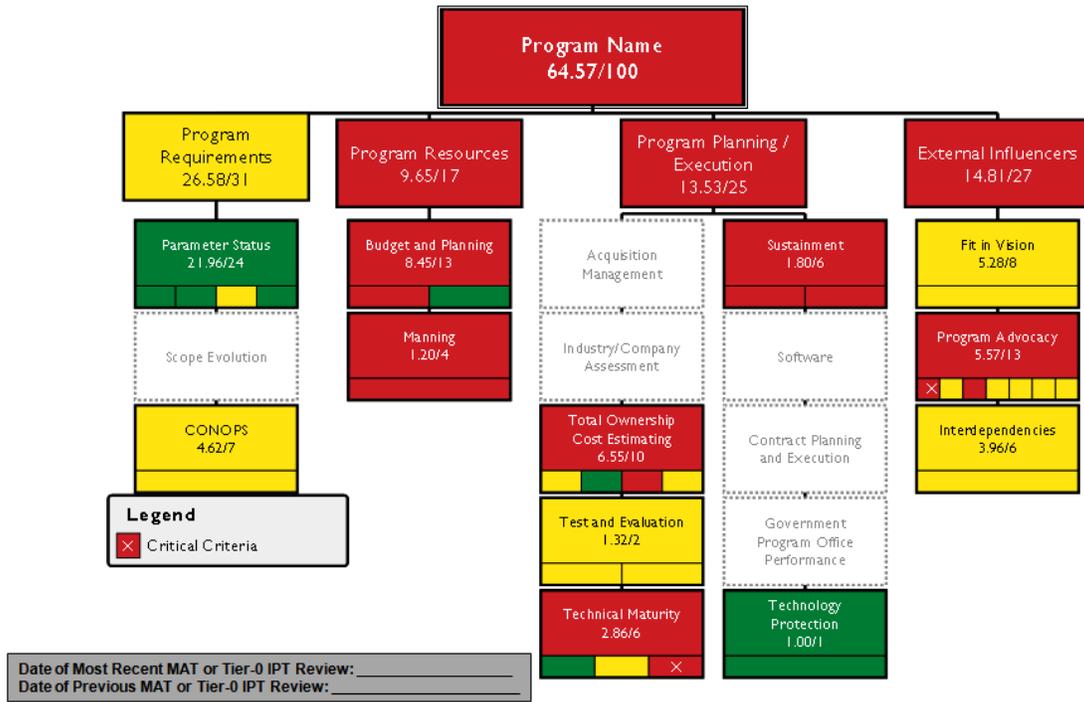
Answering PoPS Criteria Questions

- Remarks are required for ALL criteria questions (Red, Yellow and Green).
- Do NOT use any special characters in the remarks sections (~, @, #, \$, %, ^, &, *, (,), _, -, / etc.). We have experienced issues with the use of these characters when attempting to import and export the program information.
- Assume the default or initial response to each question is Red.
- N/A is not an option unless the question has a N/A checkbox. Analyze and interpret the question for applicability to ACAT III & IV environment.
- Review the Frequently Asked Questions (FAQ) document located on the [MAP SharePoint](#) site for additional guidance.

Saving and Exporting XML File

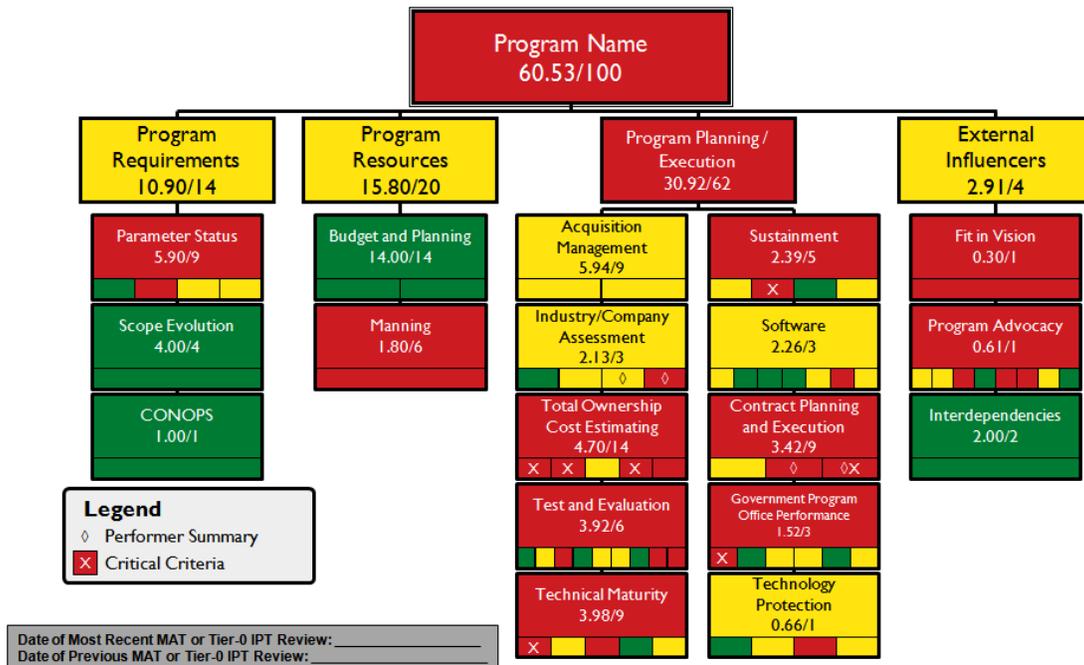
- Remember to select "Save" (not "Open") and save the file somewhere you'll remember.
- Export XML file after each update and save in central location.
- Only one person should update the XML file at a time. If additional people want to update, email the XML to them for import, update criteria questions and export XML to save changes.

Enclosure (e). Example of PoPS Summary Chart and PoPS Health Assessment



Gate 1 MDD (Materiel Development Decision)

(Note: The grayed out areas are not applicable at this Gate)



Gate 5 Milestone B (MS B)

**Enclosure (f) . Sample ACAT Designation and Delegation Request
(AAP)**

5000
PMM-113
(Date)

MEMORANDUM

From: Program Manager, Infantry Weapons Systems
To: Commander, Marine Corps Systems Command

Subj: AAP DESIGNATION REQUEST FOR (Program Name)

Ref: (a) SECNAVINST 5000.2E

Encl: (1) MCOTEA Concurrence Letter
(2) DFM Checklist
(3) Requirements Document e.g. Statement of Need, Capability Development Document, etc. (this may be provided as a reference if quite lengthy)

1. Purpose: Request AAP concurrence and designation.
2. Acquisition program short and long title.
3. Program description. (Provide a brief description of the program, including its mission).
4. Planned cost and funding:
 - a. Appropriation (APPN):[repeat for each appropriation]

(1) [Repeat for each program element (PE/Line Item (LI)/sub-project (Sub)]

- Program Element (No./Title):
- Project Number/Line Item (No./Title):
- Sub-project/Line Item (No./Title):
- Dollars: (\$000)

APPN		FY	FY	FY	FY	FY	FY	To Complete	Total
	Required								
	Budget								
	Delta								

Enclosure (f). Sample ACAT Designation and Delegation Request (AAP)

5. A reference to, or a copy of, the validated requirement for the program. The requirement must be validated by the appropriate requirements organization (typically CD&I, or other organization like PP&O or C4 for IT programs). For new-start AAPs and IT AAPs, the requirement may take the form of a Statement of Need or Capability Document such as an ICD, CDD, or CPD which outlines the requirement.

6. Developmental testing planned or conducted on the program.

7. Milestone status. PM/PdMs should identify a notional schedule of milestone, key acquisition events and technical reviews. This information will serve as a "notional" program schedule until such time as the program office can formalize the C/S/P metrics identified in an approved APB Section B.

8. Rationale for AAP designation request or change, as described in [Chapter 5.2](#) of this Guidebook.

9. Recommended delegation strategy. This may include a recommendation that MDA be delegated from COMMARCORSYSCOM to the PM. Rationale should be provided for any such delegation request as described in [Chapter 5.4](#) of this Guidebook.

SIGNATURE

Copy to:

HQMC (DC, CD&I and key stakeholders such as HQMC C4, PP&O, etc.)
Dir, MCOTEA

Note: The AAP request must include the MCOTEA concurrence letter (Enclosure (h)) and the DFM checklist (Enclosure (i)).

An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

**Enclosure (g). Sample ACAT Designation and Delegation Request
(ACAT III & IV) (includes ACAT Change Request Instructions)**

The memorandum requesting an Acquisition Category (ACAT) III or IV designation for a weapon system or requesting a change in ACAT designation shall be prepared by the Product Manager (PdM) and sent to the COMMARCORSYSCOM via the Program Manager (PM) and Assistant Commander, Programs (ACPROG) and shall contain the following information:

From: PdM

To: COMMARCORSYSCOM

Via: (1) PM

(2) ACPROG

Subj: ACAT DESIGNATION REQUEST FOR (Program Name)

Ref: (a) SECNAVINST 5000.2E

Encl: (1) MCOTEA Concurrence Letter (this is required only for ACAT IV(M) designation requests)
(2) Requirements Document e.g. Statement of Need, Capability Development Document, etc. (this may be provided as a reference if quite lengthy)
(3) PoPS Summary Chart for the proposed next milestone and key acquisition event

1. Acquisition program short and long title.

2. Prospective claimant/COMMARCORSYSCOM or PM/PdM.

3. Program description. (Provide a brief description of the program, including its mission).

4. Prospective funding:

a. Appropriation (APPN):[repeat for each appropriation]

(1) [Repeat for each program element (PE/Line Item (LI)/sub-project (Sub)]

- Program Element (No./Title):
- Project Number/Line Item (No./Title):
- Sub-project/Line Item (No./Title):
- Dollars: (\$000)

**Enclosure (g). Sample ACAT Designation and Delegation Request
(ACAT III & IV) (includes ACAT Change Request Instructions)**

APPN		FY	FY	FY	FY	FY	FY	To Complete	Total
	Required								
	Budget								
	Delta								

5. A reference to, or a copy of, the validated requirement for the program. The requirement must be validated by the appropriate requirements organization (typically CD&I, or other organization like PP&O or C4 for IT programs).

6. Summary of testing planned or already conducted on the program. For ACAT IV(M) designation requests, the planned DT summary should be detailed enough to provide the MDA visibility into the scope and appropriateness of the PM/PdM's test strategy.

7. Milestone status. PM/PdMs should identify a notional schedule of milestones, key acquisition events and technical reviews. This information will serve as a "notional" program schedule until such time as the program office can formalize the C/S/P metrics identified in an approved APB Section B.

8. Recommended ACAT assignment, or change, and rationale, as described in [Chapter 5](#) of this Guidebook.

9. Recommended delegation strategy. This may include a recommendation that MDA be delegated from COMMARCORSYSCOM to the PM for ACAT IVs. Rationale should be provided for any such delegation request as described in [Chapter 5.4](#) of this Guidebook.

SIGNATURE

Copy to:
HQMC (DC, CD&I, key stakeholders such as HQMC C4, PP&O, etc.)
Dir, MCOTEA

Note: ACAT IV(M) requests must include the MCOTEA concurrence letter (Enclosure (h)). An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

Enclosure (h). Sample MCOTEA Concurrence Letter (applies to ACAT IV(M) and AAP Requests)

5000
PMM-113
Date

From: Commander, Marine Corps Systems Command
To: Director, Marine Corps Operational Test and Evaluation Activity

Subj: PROPOSED ABBREVIATED ACQUISITION PROGRAM FOR XXXX (CTDS #XXX)

Ref: (a) SECNAVINST 5000.2E
(b) Statement of Need/CDD/CPD

Encl: (1) Developmental test reports/market research or other supporting documentation

1. In accordance with reference (a), this letter is to seek your concurrence with our plan to execute the subject project as Abbreviated Acquisition Program (AAP). The proposed AAP is described as follows:

a. Summarize the required capability per reference (b).

b. Provide a rationale to convince MCOTEA why operational testing is not required. Provide results of developmental testing, current use in applications similar to Marine Corps operational environments, SYSCOM managed Limited User Evaluation, etc.

2. Invite MCOTEA participation.

3. Provide a point of contact from the Program Management Office.

[Insert PM Name]
By direction

Note: An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

Enclosure (i). Sample DFM Checklist (required only for AAPs)

**Marine Corps Systems Command
Director for Financial Management**

Abbreviated Acquisition Program Checklist

PART A: To be completed by the Product Manager.

PROPOSED AAP Name: _____

ESTIMATED COST: _____

FUNDING SOURCE: (then year \$) (attach a separate sheet if more space is required):

RDT&E, N: _____

PMC: _____

O&M, MC: _____

PART B: To be completed by the Director for Financial Management

1. Does the funding source(s) cited above for the proposed AAP:

a. contain adequate funds to support the estimated cost of the upgrade? (Yes _____ NO _____)

b. represent a proper expenditure of the type of funds cited? (Yes _____ No _____)

c. fall within the thresholds established for an AAP? (Yes _____ No _____)

2. The proposed (AAP) (Modification AAP) was planned for during budget development or has otherwise been determined to be an affordable effort with a sufficient funding priority to warrant execution at this time? (Yes _____ No _____)

3. DFM is aware of no Congressional, OSD or Navy level interest in the proposed AAP. (Yes _____ No _____)

DIRECTOR FOR FINANCIAL MANAGEMENT _____

Note: An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

Enclosure (j). Program Summary Assessment

DD MM YYYY

MEMORANDUM FOR THE RECORD

Subj: TIER-0 INTEGRATED PRODUCT TEAM (IPT) ASSESSMENT OF THE MILESTONE ASSESSMENT TEAM (MAT) MEETING FOR **(insert program name)** MILESTONE (MS) **(insert MS)** DECISION

Ref: (a) MCSC Acquisition Guidebook
(b) Tier-0 Integrated Product Team Concept of Operations (Tier-0 IPT CONOPS)
(c) ***[Insert supporting references, such as program designation memorandum, prior ADMs, approved requirements documents, etc.]***

1. Tier-0 IPT Recommendation. ***[In this paragraph, summarize what the MAT is asking the Milestone Decision Authority (MDA) to do, such as sign an Acquisition Decision Memorandum (ADM) or provide approval and/or authorization for a document or action. Be very succinct here as the body of the memorandum will provide the details.]***

2. ***[This paragraph explains the requirement for and function of the MAT. You may copy the verbiage here or create your own.]***

Reference (a) establishes the requirement for the MAT to provide a recommendation to the Decision Authority regarding the readiness of a program to proceed to the next milestone or decision meeting. In accordance with reference (b), the Assistant Program Managers (APMs) serve as the core MAT for programs where the Commander, Marine Corps Systems Command is the MDA.

3. ***[This paragraph briefly describes the approved program, such as its Acquisition Category (ACAT), the capabilities it provides, a description of the upgrade/modification, the program's current phase within the Acquisition Cycle, etc. Cite appropriate references such as ADMs, (Urgent) Statements of Need, Capabilities Development or Production Documents, etc.]***

Reference ***(insert reference)*** designated the ***(insert program name)*** as an Acquisition Category (ACAT) ***(insert ACAT level)*** program and authorized the execution of the program in accordance with reference ***(insert reference)*** in response to the urgent capability need defined in reference ***(insert reference)***. The ***(insert program name)*** provides ***(insert program description)***.

Enclosure (j). MDA Program Summary Assessment

Subj: TIER-0 INTEGRATED PRODUCT TEAM (IPT) ASSESSMENT OF THE MILESTONE ASSESSMENT TEAM (MAT) MEETING FOR **(insert program name)** MILESTONE (MS) **(insert MS)** DECISION

4. *[Use up to a page to summarize major events, Milestone entry and exit criteria, etc. which support a favorable decision from the MDA. Include items such as successfully completed testing events, technical reviews, full funding, etc.]*

5. *[In order to make a decision that sets a program up for success and not failure, the MDA must be fully informed. Do not forget to include key risks and issues identified by the MAT during the program review, such as funding shortfalls, key documentation not yet approved, less than desirable test results, aggressive schedules, etc. Include plans that will address the issues and mitigate risks, as well as the rating of each issue and/or risk.]*

6. *[In the final paragraph, the MAT recommendation is reiterated. Additionally, the Tier-0 IPT certifies that each respective Competency Director is aware of the program situation and MAT recommendation and concurs with the APMS recommendation.]* We, the APMS, as representatives of our respective competencies, respectfully recommend the MDA sign the ADM for the **(insert program name)** authorizing **(insert actions seeking authorization for, particularly if not completely aligned with Milestone)**. By our signatures below, the APMS are certifying that their respective Competency Directors have been briefed on this decision and are in concurrence with our recommendation.

Name
APM, Program Management

Date

Name
APM, Life Cycle Logistics

Date

Enclosure (j). MDA Program Summary Assessment

Subj: TIER-0 INTEGRATED PRODUCT TEAM (IPT) ASSESSMENT OF THE
MILESTONE ASSESSMENT TEAM (MAT) MEETING FOR **(insert
program name)** MILESTONE (MS) **(insert MS)** DECISION

Name
APM, Engineering

Date

Name
APM, Financial Management

Date

Name
APM, Contracts

Date

Note: An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

Enclosure (k). Decision Review Scheduling Process

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

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

The APM-PM shall ensure:

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

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

Enclosure (1). Example of Document List for all ACAT III & IV Programs

No.	Document/ Tasker	Reference	Final Approval (Chain)	Prepared By	Status (See Legend)	Origin of Requirement/ Comments/ Rationale/ Actions to Complete
1	[STATUTORY] Benefit Analysis and Determination	DAG Enclosure 4 Table 2-2	MDA	PdM		Applies only when the Acquisition is bundled. (This means that you have combined two or more requirements; at least one of which was previously set aside for small business. Code as N/A for all nonbundled acquisitions).
2	[STATUTORY] Certification of Compliance with the requirements of the Defense Business System (DBS) Management Committee (DBSMC) Applies to all IT programs which have been designated a DBS. Appropriate certification must be obtained.	DAG Chapter 12	HQMC C4/ DoN CIO Certified by IRB/DBSMC	PM to include DITPR-DON entry		Certification must be obtained prior to obligating any development/modernization funding > \$1 million. Please check with your APM-PM for additional guidance.
3	[STATUTORY] Clinger Cohen Act Compliance (CCA)	DAG Chapter 7, Section 7.8	HQMC C4 DON CIO	PdM		Applies to ALL IT programs OR programs with IT components. MARCORSSYSCOM guidance can be obtained at: http://www.marcorsyscom.usmc.mil/sites/cca_compliance/ Note: Draft ISP and IA Strategy must be included in CCA package provided to HQMC CIO. NOTE: If an IA Certification is required then an IA Strategy, ISP, and CCA are also required.
4	[STATUTORY] Competition Analysis	DAG Chapter 5, Section 5.2.1.3	MDA	PdM		Depot-Level maintenance \$3M rule. Applies only when an alternative methodology is being considered for depot maintenance workloads previously accomplished at organic facilities with a value of at least \$3M. See your ILA chair for guidance. Addressed in Acquisition Strategy/Acquisition Plan (AS/AP). Not a stand alone document. Note: Depot maintenance workloads previously accomplished at organic facilities, with a value of at least \$3M, must also be subjected to merit-based selection procedures when deciding between alternative organic sources of repair. Additional information including exceptions to the requirement can be found in DoDD 4151.18 and DoDI 4151.20).
5	[STATUTORY] Cooperative Opportunities	DAG Chapter 2	MDA	PdM		In accordance with Title 10 U.S.C. § 2350a, the MDA must ensure that opportunities to conduct international cooperative projects are considered early during DoD's formal review process. The MDA decision and supporting analytical process is summarized in the AS/AP.
6	[STATUTORY] Core Logistics Analysis/Source of Repair	DAG Chapter 5, Section 5.2.1.3	MDA	PdM		Reviewed during ILA.
7	[STATUTORY] Industrial Capabilities	DoDI 5000.60	MDA	PdM		Addressed in AS/AP. Not a stand alone document. Applicable if Industrial Capabilities Assessment is required per DoDI 5000.60.
8	[STATUTORY] Information Assurance Strategy (IAS)	DAG Chapter 7, Section 7.5	HQMC C4 DON CIO	PdM		Applies to ALL IT programs OR programs with IT components. NOTE: If an IA Certification is required then an IA Strategy, ISP, and CCA are also required. Check with your IA Manager or APM-E to determine applicability.

Enclosure (1). Example of Document List for all ACAT III & IV Programs

No.	Document/ Tasker	Reference	Final Approval (Chain)	Prepared By	Status (See Legend)	Origin of Requirement/ Comments/ Rationale/ Actions to Complete
9	[STATUTORY] Market Research	DAG Chapter 12, Section 2.3.3 and Appendix D	MDA	PdM		Addressed in AS/AP. Not a stand alone document.
10	[STATUTORY] Programmatic Environment Safety and Occupational Health Evaluation (PESHE) with National Environmental Policy Act (NEPA)	DAG Chapter 6, Section 6.3.5.3	MDA/PM	PdM		PM approves PESHE; MDA approves AS/AP that includes or summarizes PESHE.
11	[STATUTORY] Registration of Mission - critical and mission essential information systems	SECNAVINST 5000.2E	PM	PdM		Applies to ALL IT programs OR programs with IT components. Requires update on a quarterly basis after initial registration. Check with your IA Manager or APM-E to determine applicability. NOTE: If an IA Certification is required then an IA Strategy, ISP, and CCA are also required.
12	[STATUTORY] Spectrum Certification Compliance (DD Form 1494)	DAG Chapter 7, Section 7.3.5.5	NTIA / MCEB	PdM		Applicable to all systems/equipment that require use of the electromagnetic spectrum. National Telecommunications and Information Administration/Military Communications-Electronics Board (NTIA/MCEB).
13	Acquisition Decision Memorandum (ADM) with exit criteria. The ADM should also address LRIP quantities (if applicable).	DAG Chapter 10, Section 10.2.1 and DAG Chapter 10, Section 10.4	MDA	MAT Chair/ Tier-0 IPT		Prepared by MAT Chair or Tier-0 IPT for those programs delegated by COMMARCORSYSCOM to the PM.
14	Acquisition Program Baseline (APB)	DAG Chapter 10, Section 10.9	MDA	PdM		Must be signed by MDA, Capabilities/Requirements Organization and Advocate. For ACAT III and IV programs, a copy of the signed APBA must be provided to AC PROG Assessments for loading to ASN Dashboard.
15	Acquisition Strategy (AS)/Acquisition Plan (AP)	DAG Chapter 2, Section 2.7	MDA	PdM		The AS/AP has replaced the MCSAMP for MARCORSYSCOM programs. A template and instructions are posted on the MAP SharePoint site. Note that the transition from the MCSAMP to the AS/AP was approved on 20 Sept 2011. Programs with a pending Milestone decision after 20 March 2011 are required to use the AS/AP in lieu of the MCSAMP. For exceptions to this transition date PdM should seek MDA approval. Please use the AS/AP template located under "Policy" on the MAP SharePoint: https://mcscviper.usmc.mil/sites/mcscimdp/default.aspx .
16	Affordability Assessment	DAG Chapter 3, Section 3.2.2	PM	HQMC, P&R (PA&E)		May be prepared by Tier-0 IPT, MAT, AC PROG, or HQMC P&R. Check with your C&AB analyst for specific guidance for liaison with HQMC P&R (PA&E).
17	Analysis of Alternatives (AoA)	DAG Chapter 3, Section 3.3	MDA	Independent Activity		Check with your AC PROG C&AB analyst or APM-PM to determine if an AoA update is required. An AoA is statutory for IT programs. For IT programs ensure that you check with your Tier-0 IPT or ACPROG C&AB analyst to determine an AoA update or fulfillment is appropriate. This determination will be made by the MARCORSYSCOM AoA IPT; the MDA shall be the final approval authority.

Enclosure (1). Example of Document List for all ACAT III & IV Programs

No.	Document/ Tasker	Reference	Final Approval (Chain)	Prepared By	Status (See Legend)	Origin of Requirement/ Comments/ Rationale/ Actions to Complete
18	Capability Development Document (CDD)	CJCSI 3170	JROC/MROC	Capability/ Reqt Sponsor		The link provided is for CJCSI 3170 "Joint Capabilities Integration and Development System" and JCIDS Instruction Manual. *Note: You may substitute a validated capability/requirements document (and associated attributes) for the CDD, such as a SON, with the permission of your MDA.
19	Concept of Operations (CONOPS)	CJCSI 3170	Capability/ Reqt Sponsor	Capability/ Reqt Sponsor		In some cases the Capability/Reqt Sponsor may develop a Concept of Employment (COE) in addition or in lieu of a CONOPS.
20	Cost Analysis Requirements Document (CARD)	DoD 5000.4-M	AC PROG C&A Branch	PM		Check with your APM-PM for development guidance for your program and AC PROG C&AB analyst for approval process.
21	DT&E Report	DAG Chapter 9, Section 9.3	PM	PdM		Applies only when DT results are available prior to MS B, may be deleted if not applicable. An integrated planning execution cycle is absolutely necessary via the T&E WIPT. See the USMC Integrated T&E Handbook for specific guidance.
22	Earned Value Management Systems (EVMS)	DAG Chapter 11, Section 11.3.1	PCO	Contractor Implements/ PCO reviews		Required for Cost-Type Contracts over \$20M. Check with your PCO for applicability and additional guidance.
23	Information Support Plan (ISP)	DAG Chapter 7, Section 7.3.6.7	DC SIAT	PdM		The ISP is required for IT programs or programs with an IT component that connects to the Communications or Information Infrastructure. If CCA is required, an ISP must be prepared and submitted with the CCA package for HQMC C4 approval. If your Program has been designated OSD ISP oversight-add 120 days to Marine Corps staff cycle. Check with your APM-E to determine applicability.
24	Independent Logistics Assessment (ILA)	MARCORSYSCOM ILA Guidance	AC ALPS	PdM		Check with your APM-LCL to determine timing of the ILA and to determine if a Pre-ILA is required.
25	Integrated Master Plan & Schedule (IMP / IMS)	DAG Chapter 4, Section 4.5.2	PM	PM/PdM		Check with your APM-PM relative to tailoring. For additional guidance see the USD AT&L IMP and IMS Preparation and Use Guide http://www.acq.osd.mil/se/docs/IMP_IMS_Guide_v9.pdf
26	Item Unique Identification Implementation Plan	DAG Chapter 4, Section 4.4.21	AC ALPS	PdM		This shall be reviewed as part of the ILA. See ILA chair for additional guidance and instruction if required.
27	Life Cycle Cost Estimate (LCCE)	DAG Chapter 5, Section 5.2.2 and MARCORSYSCOM Cost Analysis Guidebook	ACPROG Cost & Analysis Branch	ACPROG Cost & Analysis Branch		Check with your AC PROG C&AB analyst for development and approval process. In limited instances, the PM may request a POE/ROM be used in lieu of a LCCE. (The POE/ROM is prepared under the direction of the PM, and a LCCE is a more formal document prepared under the ACPROG C&A branch). The PM must obtain MDA approval to use POE/ROM and this shall be annotated within the respective PoPS briefing charts and associated ADM.

Enclosure (1). Example of Document List for all ACAT III & IV Programs

No.	Document/ Tasker	Reference	Final Approval (Chain)	Prepared By	Status (See Legend)	Origin of Requirement/ Comments/ Rationale/ Actions to Complete
28	Life Cycle Signature Support Plan (LSSP)	LSSP Instructions and Templates	Part of AS/AP	PdM		DoDD 5250.01 requires that a Life Cycle Signature Support Plan (LCSSP) be established for signature dependent programs. A program is signature dependent if its sensor, platform, or information system relies on signatures or signature data for design, development, testing, training or operations of sensors, models, or algorithms for the purpose of: combat identification; blue force tracking; targeting, or; detecting & identifying activities, events, persons, materials or equipment. The LSSP defines specific signature requirements for a program, and becomes more detailed as the system progresses toward IOC. Templates and instructions may be accessed at the reference. Please contact your APM-E for additional guidance or if you have any questions regarding applicability of a LSSP to your program.
29	Life Cycle Sustainment Plan (LCSP)	DAG Chapter 5, Section 1.2.2	PM	PdM		Check with your ILA Chair or APM-LCL for additional guidance. A sample LCSP outline is provided at the below link: https://acc.dau.mil/adl/en-US/473039/file/60445/PDUSD-Approved%20LCSP%20Outline%2009-14-2011.docx
30	Logistics Requirements Funding Summary (LRFS)	SECNAVINST 5000.2E	PM	PdM		The LRFS serves as the program's basis for relating LCSP execution to programmatic resources. For additional guidance, please see your ILA chair.
31	Manpower Personnel and Training Plan	MARCORSYSCOM ILA Guidance SECNAVINST 5000.2E	TECOM G-3 / Dir TFSD	PdM		Reviewed and approved during ILA. Check with your ILA Chair for specific guidance and applicability. Meets requirement for Manpower Estimate and Training Plan.
32	Net-Centric Data Strategy	DAG Chapter 7, Section 7.4	Part of ISP	PdM		Not a stand-alone document. This approach is outlined in the ISP. Required if an ISP is required. See DoDD 8320.02 for additional information.
33	PDR Report	DAG Chapter 10, Section 10.5.3	MDA	PdM		Applicable only when the PDR is conducted prior to MS B.
34	PoPS Gate 5 Briefing Package (validated by MAT or Tier-0 IPT)	MAP SharePoint (MS B)	MAT/ Tier-0 IPT	PM/PdM		Validated by MAT, or Tier-0 IPT for those programs delegated by COMMARCORSYSCOM to the PM.
35	Program Protection Plan (PPP)	DAG Chapter 13, Section 13.2	MAT/PM	PdM		For programs where the COMMARCORSYSCOM is the MDA, DC SIAT will review the PPP as part of the MAT process. For delegated programs where a PM is the MDA, check with your Tier-0 IPT for additional guidance. A streamlined PPP template is available at the Better Buying Power Gateway along with a copy of the 18 July 2011 Memo - "Document Streamlining - Program Protection Plan (PPP)" at https://dap.dau.mil/leadership/Pages/bbp.aspx .
36	Requirements Traceability Matrix (RTM)	Systems Engineering Knowledge Center	APM-E	PdM		Check with your Tier-0 IPT for specific guidance.

MCSC ACAT III & IV Milestone B (MS B) Documentation (4 of 5)

Enclosure (1). Example of Document List for all ACAT III & IV Programs

No.	Document/ Tasker	Reference	Final Approval (Chain)	Prepared By	Status (See Legend)	Origin of Requirement/ Comments/ Rationale/ Actions to Complete
37	Risk Assessment (RA)	DAG Chapter 13, Section 13.6	MDA	PdM		Addressed in AS/AP. Should also be included, and updated as appropriate, in the Risk Management Plan.
38	System Design Specification (SDS)	SDS Guidance	DC SIAT	PdM		Check with your Tier-0 IPT for specific guidance. SDS shall be completed at least 60 days prior to RFP release.
39	System Threat Assessment Report (STAR)	DAG Chapter 8, Section 8.1.2	Intel Activity - MCIA	MCIA		Requirements Organization or PdM will provide Marine Corps Intelligence Activity (MCIA) with sufficient information to enable MCIA to prepare the report.
40	Systems Engineering Plan (SEP)	DAG Chapter 4, Section 4.5.1	MDA	PdM		Check with your APM-E for specific guidance & the Systems Engineering Plan (SEP) Outline of 20 April 2011: https://dap.dau.mil/policy/Lists/Policy%20Documents/Attachments/3283/PDUSD-Approved.SEP%20Outline.docx
41	Technology Readiness Assessment (TRA)	SECNAVINST 5000.2E - 2.3 Technical Maturity	DC SIAT	APM-E or Independent Activity		Description Technology Readiness Assessments (TRAs) are required for milestones B and C. The TRA Deskbook located at (https://acc.dau.mil/CommunityBrowser.aspx?id=154268) provides suggested methods for conducting the TRA. Check with your APM-E for additional guidance.
42	Test and Evaluation Master Plan (TEMP)	DAG Chapter 9, Section 9.6.2	MDA	PdM/MCOTEA		See the USMC Integrated Test and Evaluation Handbook, 6 May 2010 for guidance. The T&E WIPT should be chartered as early as possible to enable incorporation of test considerations into program planning.

MCSC ACAT III & IV Milestone B (MS B) Documentation (5 of 5)

This is an example of a document list for MS B. Document lists for each milestone and key acquisition event are provided at the [MAP SharePoint](#) site. An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

Enclosure (m). Example of Notional Timeline

MARCORSYSCOM ACAT III & IV MS B Notional Timeline

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

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

MCSC PoPS Milestone B (MS B) Notional Timeline

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

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

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

SUBJECT: LIGHTWEIGHT 155MM TOWED HOWITZER (LW155)

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

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

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

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

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

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

4. Responsibilities.

a. Joint Responsibilities:

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

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

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

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

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

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

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

d. **The JPM shall:**

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

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

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

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

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

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

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

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

5. MOA Administration.

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

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

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

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

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

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

PROGRAM NAME

(Indicate what Milestone this APB is prepared for, or identify the Revision # as a result of breach)



Date

Prepared by:

Program Manager/Product Manager

Program Name

Program Management Office Name

For Official Use Only

Enclosure (o). Sample Acquisition Program Baseline (APB)

ACQUISITION PROGRAM BASELINE

We intend to manage the program within programmatic, scheduling, and budgetary constraints identified in this baseline. The Government agrees to support the program within material and personnel resources within the context of the Planning, Programming, Budgeting, and Execution (PPBE) cycle.

This baseline document is a summary and does not provide detailed information on cost, performance, or schedule. However, it does provide a baseline of key performance, schedule, and cost parameters that form the basis for meeting specific mission needs.

Program Manager
Marine Corps Systems Command

Date

Capabilities Development Directorate
Marine Corps Combat Development Command

Date

MDA Approval

Commander
Marine Corps Systems Command

Date

Note: An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

Enclosure (o). Sample Acquisition Program Baseline (APB)

Executive Summary:

In this section the Program Manager (PM)/Product Manager (PdM) will provide a description of the program. Program description should include a detailed description of the program in terms of capability the system(s) are providing. Description should also include an overview of the program strategy to include addressing any Incremental or Evolutionary approaches. As such, the enclosed Sections A, B, and C must reflect, if applicable, the incremental approach by providing Cost/Schedule/Performance metrics for each Incremental release. The same is true for any changes to the APB resulting from a program breach.

If a change is required to the APB, all changes need to be identified and included as part of the Section A, B, and C exhibits as a separate column. Each column should be properly identified to reflect the Incremental/Evolutionary approach, or any changes made throughout the lifecycle of the program.

Furthermore, this section should include a brief description of any changes to the APB, or reasons the enclosed document is being staffed for revision/approval (e.g. Milestone decision, program deviation, re-defined/increased AAO, etc.)

Enclosure (o). Sample Acquisition Program Baseline (APB)

Section A: Performance

MS B
Proposed Baseline

<u>Attribute:</u>	<u>Objective</u>	<u>Threshold</u>
Length	20ft	25ft
Weight	50,000lbs	65,000lbs
Range	2500k	1800k
MTBF	100hrs	110hrs

Performance. The total number of performance parameters should be the minimum number needed to characterize the major drivers of operational performance. Performance parameters should include the key performance parameters identified in the capability needs document(s) (i.e., CDD and CPD), and the values and meanings of thresholds and objectives should be consistent. (See also CJCS Instruction 3170.01G.) The number and specificity of performance parameters may change over time. Early in a program, the APB should reflect broadly defined, operational-level measures of effectiveness or measures of performance to describe needed capabilities. As a program matures, system-level requirements become better defined.

Enclosure (o). Sample Acquisition Program Baseline (APB)

Section B: Schedule

MS B
Proposed Baseline

<u>Event:</u>	<u>Objective</u>	<u>Threshold</u>
Milestone B	Jun 2011	Dec 2011
PDR	Feb 2012	Apr 2012
CDR	Apr 2012	Aug 2012
IOT&E	Oct 2012	Feb 2013
MS C/LRIP	Jun 2013	Dec 2013
FRP	Dec 2013	Jun 2014
Fielding	Feb 2014	Aug 2014
IOC	Dec 2014	Feb 2015
FOC	Jul 2015	Oct 2015

The above events are notional and can be combined at the discretion of the MDA. Furthermore, the MDA can direct the PM/PdM to include additional program events if program risk warrants additional oversight.

Note: Objective and Threshold dates are to be provided only in the format identified above and should reflect the Month and Calendar Year the event will be accomplished. Standard time allowance between Threshold and Objective is six (6) months. However, the time can be increased at the discretion of the MDA if program risks justify the increased duration. Also, revisions to the APB should be reflected in a new column to the right of the Proposed Baseline and identified as a revision.

Enclosure (o). Sample Acquisition Program Baseline (APB)

Section C: Cost

NOTE: The APB Section C should not be utilized for ACAT level determination. However, if Base Year (BY) values are converted to Constant FY 2000 dollars, this could inform of ACAT level criteria.

Then Year (\$K)	ORIGINAL APB (Date)		UPDATED APB (Date)	
	Objective		Objective	
Item	Objective		Objective	
Acquisition Cost, RDT&E				
Procurement Cost (Acquisition), (e.g., PMC)				
Acquisition Cost, MILCON				
Acquisition Cost, O&M				
Acquisition Cost, (other Appn as required)				
Acquisition Cost Sub-total				
Other Cost, RDT&E				
Other Cost, Procurement				
Other Cost, MILCON				
Other Cost, O&M				
Other Cost, (other Appn as required)				
Other Cost Sub-total				
Total				
Base Year (BY\$K)				
Item	Objective	Threshold	Objective	Threshold
Acquisition Cost, RDT&E				
Procurement Cost (Acquisition), (e.g., PMC)				
Acquisition Cost, MILCON				
Acquisition Cost, O&M				
Acquisition Cost, (other Appn as required)				
Acquisition Cost Sub-total				
Other Cost, RDT&E				
Other Cost, Procurement				
Other Cost, MILCON				
Other Cost, O&M				
Other Cost, (other Appn as required)				
Other Cost Sub-total				
Total				
Unit Cost (BY20XX \$K)				
Item	Objective	Threshold	Objective	Threshold
Average Procurement Unit Cost (APUC)				
Program Acquisition Unit Cost (PAUC)				
Quantities				
Procurement Quantity				
Program Acquisition Quantity				

Please see next page for notes.

Enclosure (o). Sample Acquisition Program Baseline (APB)

APB Section C Notes:
This template should be used for both weapon and IT/AIS systems, reflect the LCCE, and populated per these notes.
The base year of the APB should be in the year of "program initiation" (normally MS B) and any subsequent APB should also be converted to that same base year as the original APB for comparison. Sunk costs should be included from "program initiation" and further should be defined within the ADM.
Acquisition Cost (RDT&E, MILCON, O&M and other appropriations based on LCCE, excluding procurement (see below)) is equal to the sum of the development cost for prime mission equipment, the development cost for support items; and the system-specific facilities cost. These are only costs associated with program initiation through FOC.
Procurement Cost (Acquisition) equals the sum of the procurement cost for prime mission equipment, the procurement cost for support items, and the procurement cost for initial spares. These are only costs associated with program initiation through FOC.
Other Cost (RDT&E, Procurement, MILCON, O&M and other appropriations based on LCCE) is all other costs associated with the respective appropriation beyond FOC and those other costs not associated with any of the Acquisition costs.
Total rows for the objective values, which are in Then Year (TY) adjusted for inflation and Base Year (BY), should reflect the LCCE.
Objective values for each appropriation are derived from the highest total cost of the unadjusted point estimate, median, or mean.
Threshold values for each appropriation are 10% higher than the objective value.
Procurement Quantity is the quantity associated with the procurement costs. This is typically "N/A" for IT/AIS.
Program Acquisition Quantity is the total number of fully configured end items (to include research and development (R&D) units) a DOD component intends to buy through the life of the program, as approved by USD(AT&L). This quantity may extend beyond the FYDP years but shall be consistent with the current approved program. This is typically "N/A" for IT/AIS.
APUC is calculated by dividing the Procurement Costs (Base Year) by the Procurement Quantity row (this item is sometimes referred to Average Unit Procurement Cost (AUPC) and is calculated the same). If the Procurement Quantity is "N/A", then this category is also "N/A".
PAUC is calculated by dividing the Acquisition Costs (Base Year) by the Program Acquisition Quantity row. If the Program Acquisition Quantity is "N/A", then this category is also "N/A".

Enclosure (o). Sample Acquisition Program Baseline (APB)

Section C: Cost (continued)

Cost. Cost figures should reflect realistic cost estimates of the total program and/or increment. Budgeted amounts should never exceed the total cost thresholds (i.e., maximum costs) in the APB. As the program progresses, the PM/PdM can refine procurement costs based on contractor actual (return) costs from Technology Development, Integrated System Design, System Capability and Manufacturing Process Demonstration, and Low-Rate Initial Production.

The APB should contain cost parameters (objectives and thresholds) for major elements of program life cycle costs (or total ownership costs). These elements include:

1. Research, development, test, and evaluation costs
2. Procurement costs (including the logistics cost elements required to implement the approved sustainment strategy)
3. Military construction costs
4. Operations and maintenance (O&M) costs (that support the production and deployment phase, as well as acquisition related (O&M)) if any
5. Total system quantity (to include both fully configured development and production units)
6. Average Procurement Unit Cost defined as total procurement cost divided by total procurement quantity (Note: This item and item 7 below do not usually apply to business information technology systems or other software-intensive systems with no production components)
7. Program Acquisition Unit Cost defined as the total of all acquisition-related appropriations divided by the total quantity of fully configured end items
8. Any other cost objectives established by the Milestone Decision Authority (e.g. Ownership cost)

The cost parameters are presented in both base year and then year dollars. The threshold parameters for cost are only presented in base year dollars.

Enclosure (p). Example of Request to Participate



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

IN REPLY REFER TO
4215
GTES
APR 07 2011

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

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

Ref: (a) SECNAVINST 5000.2E

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

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

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

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

Request to Participate (1 of 4)

Enclosure (p). Example of Request to Participate

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

3. Prospective funding:

a. Appropriation (APPN): Procurement (PMC)

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

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

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

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

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

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

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

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

Enclosure (p). Example of Request to Participate

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

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

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

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

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

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

8. Delegation of authority is requested based upon:

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

Enclosure (p). Example of Request to Participate

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

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


JACK E. CAVE

Copy to:
PMM 152

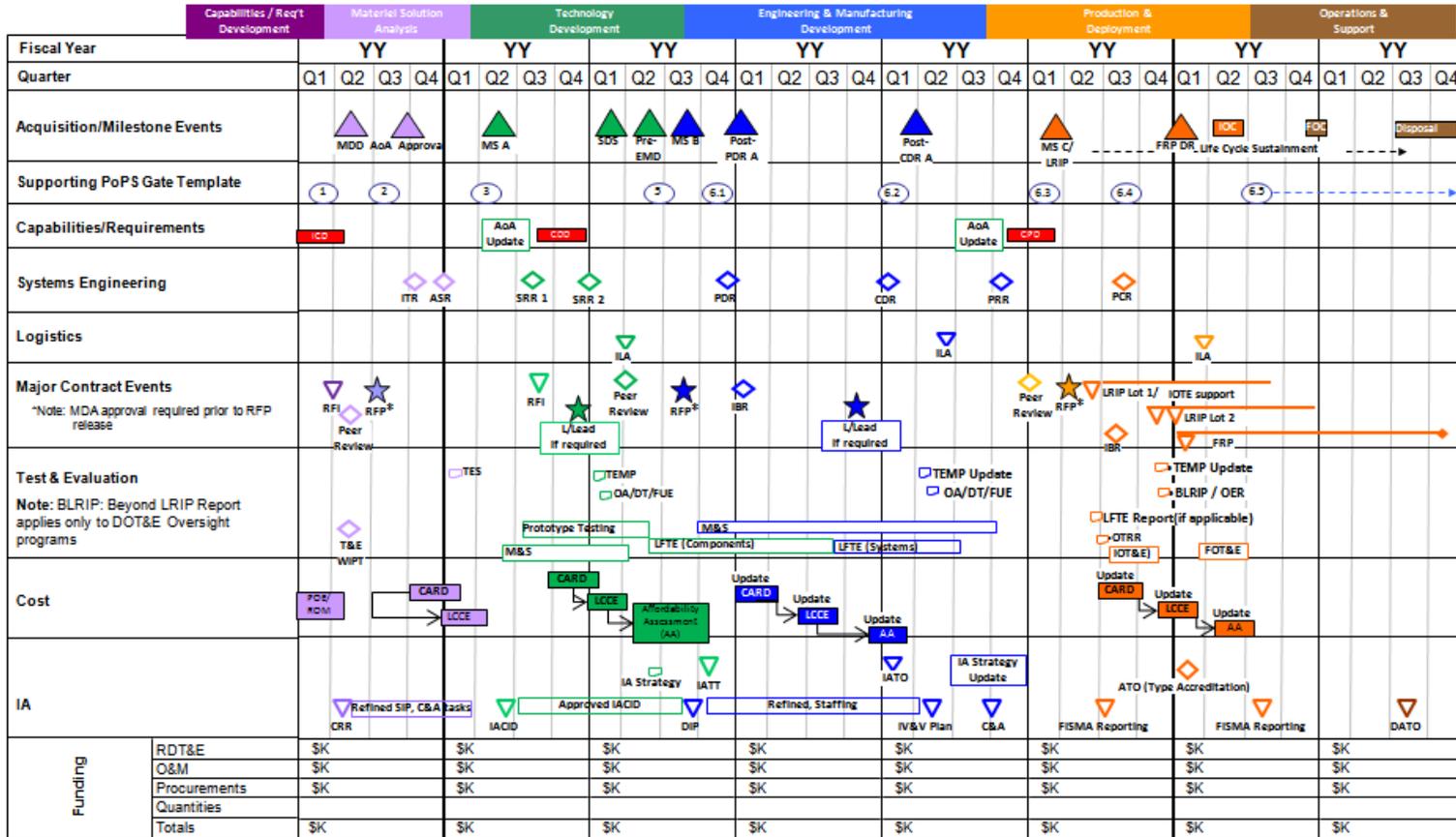
Request to Participate (4 of 4)

Note: An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

Enclosure (q). Sample Schedule Chart

Program Schedule

The PM/PdM should tailor this chart as appropriate and obtain Tier-0 IPT or MAT review. Show as much detail as possible at this point: such as milestones, T&E and ENG reviews. This schedule should align with the IMS. Bring a hard or soft copy of the IMS with Critical Path view and be prepared to provide a critical path summary at the MDA briefing as required.



Legend

- ★ MDA Decision Approval (non-MS)
- ◆ Review
- Documentation
- ▲ Milestone / Key Acquisition Event
- ▼ Assessments, Proposals

Note: For IT systems, limited deployment and full deployment are used in lieu of LRIP & FRP. You may add a vertical red line to denote current date.

Note: An editable template is available on the [MAP SharePoint](#) site under the "Enclosures & Templates" folder.

Enclosure (r). Initial MDA Deviation Notification

5000
[*INSERT REFERENCE #*]

MEMORANDUM

From: Program Manager, [*INSERT PROGRAM NAME*]
To: Commander, Marine Corps Systems Command
Via: Assistant Commander for Programs

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [*INSERT PROGRAM NAME*]

Ref: (a) MCSC Acquisition Guidebook (MAG)
(b) DoN Acquisition and Capabilities Guidebook of 9 May 12
(c) SECNAVINST 5000.2E
(d) [*INSERT PROGRAM NAME AND DATE OF LATEST ADM*]
(e) [*INSERT PROGRAM NAME AND DATE OF LATEST APB*]

Encl: (1) [*INSERT PROGRAM NAME*] Probability of Program Success (PoPS) Core Briefing Charts of [*INSERT DATE*]

1. **Purpose.** Per references (a) through (c), this memorandum provides initial notification to the Milestone Decision Authority (MDA) of a program deviation. It summarizes the following for MDA consideration:

- a. Nature and magnitude of the deviation.
- b. The initial planned mitigation strategy and associated products.
- c. Recommendation (with supporting rationale) that the Program Manager (PM) conduct a detailed assessment of the cause(s) of the deviation or stand up of a formal deviation review board.
- d. Next steps and timelines.

This template includes suggested content and instructions/hints for the preparer. When a formal deviation review board is not recommended the PM may tailor the content as appropriate.

Enclosure (r). Initial MDA Deviation Notification

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

Leverage the enclosed PoPS core briefing charts to the maximum extent feasible. Specifically, the PoPS "Program Overview", "APB Status", "PM Recommended C/S/P Trades", and "Design Trade Off Results" charts may be referenced in lieu of duplicating content.

2. **Scope.** Upon MDA approval of the strategy and timelines herein, the PM or a deviation review board will conduct a root cause analysis of the deviation and recommend corrective actions. The MDA shall consider the recommendations and determine the program path forward which may include:
 - a. Program cancellation.
 - b. Program restructure (substantive change to schedule, quantity, affordability targets, or performance parameters).
 - c. Modified status quo (non-substantive change to program).
3. **Background - Program Description.** Briefly describe the program to include:
 - a. Acquisition Category level and MDA.
 - b. Last major milestone decision, next planned milestone decision.
 - c. Program sponsor.
 - d. Date of last PoPS assessment, performing organization, and overall Level 1 rating [INSERT RED-YELLOW-GREEN].
 - e. Summary of all previous Acquisition Program Baseline (APB) deviations.
 - f. Highlights from the latest Acquisition Decision Memorandum (reference (d)) and status of exit criteria where appropriate.
 - g. Other critical information the PM wishes to highlight for MDA consideration.

Enclosure (r). Initial MDA Deviation Notification

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

4. **Description of Deviation.** Below is the PM's initial estimate of the impact of the deviation. The MDA will be provided with information of additional fidelity upon completion of the deviation review board or PM analyses.

a. Summarize the nature of the program deviation (e.g., cost, schedule, or performance (C/S/P)) and the anticipated impact (e.g., schedule delay of 10 months, cost increase of \$10M, inability to meet Key Performance Parameters, etc., with regard to the current APB (reference (e))).

b. List the threshold and objective values of the C/S/P parameters shown in the program's current APB (reference (e)).

c. Current estimate of the breached APB parameter(s).

d. Total Ownership Cost / Program Acquisition Unit Cost (PAUC)/Average Procurement Unit Cost (APUC) percent cost growth with regard to current and original APB baselines. Note: APUC and PAUC are not applicable to many Information Technology programs - see the [Chapter 8](#) for guidance.

e. The projected cost and schedule for completing the program if current requirements are not modified.

f. Identify impact on other programs as well as program dependencies.

5. **Root Cause(s) of Deviation.** Summarize the PM's initial assessment of the root cause(s) of deviation and specify if each root cause was a one time or recurring event. Specify that the above is a notional analysis, the MDA will be provided with mature results and findings upon completion of the program deviation report.

6. **Corrective Actions.** Summarize the following:

a. Corrective actions which have already been initiated to address/mitigate the breach.

Enclosure (r). Initial MDA Deviation Notification

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

b. New/additional corrective actions to minimize the extent of the deviation pending completion of the program deviation report to the MDA. This should include limitations on obligation of funds, award of contract(s), stop work order(s), or other tools to limit the government's risk exposure.

7. Alternatives to be Considered. The following areas will be explored to mitigate the deviation:

- a. Performance, quantity, and schedule trades.
- b. The projected cost and schedule for completing the program based on reasonable modification of requirements.
- c. The rough order of magnitude of the cost and schedule for any reasonable alternative system or capability.
- d. Expanded application of should cost and development of affordability targets per [Better Buying Power 2.0](#) where applicable. This may include development of affordability courses of action per [Chapter 7.3](#).

8. Deviation Review Board OR PM advisors - Proposed Membership. List the PM's recommended participants by name and organization. Highlight the recommended Chair and list them first. The PM may propose that he/she leads the analysis with the support of advisors (Tier-0 Integrated Product Team (IPT), Combat Development and Integration (CD&I), & key stakeholders) or standup of a formal deviation review board.

Enclosure (r). Initial MDA Deviation Notification

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

Recommended Membership [INSERT PROGRAM NAME]		
Deviation Review Board/PM Advisors		
Organization	Name	Title
List Chair Person first		
PM (Mandatory)		
CD&I (Mandatory)		
Tier-0 IPT (Mandatory)		
AC PROG (Mandatory)		
Program Sponsor (Mandatory)		
MCOTEA		
Key Stakeholders		

9. Next Steps and Timelines

a. Program Deviation Report. The report will be prepared by the PM or deviation review board and provided to the MDA by [INSERT DATE*]. It shall include specific recommendations for MDA review/approval.

** NOTE: If this date is more than 30 days after occurrence of the deviation, include a statement similar to the following: "Per DoDI 5000.02, submittal of this report is required within 30 days of the occurrence of the deviation. However, this is a regulatory requirement and may be revised by the MDA. The PM requests that submittal of the program deviation report be extended to [INSERT DATE] to enable [INSERT RATIONALE such as update Life Cycle Cost Estimate (LCCE), review requirements trades, etc.]."*

Enclosure (r). Initial MDA Deviation Notification

Subj: INITIAL NOTIFICATION OF PROGRAM DEVIATION [INSERT PROGRAM NAME]

b. Revised APB. The MDA will be provided with an updated APB that reflects the results of the program deviation board and MDA approved corrective actions by [INSERT DATE**].

*** NOTE: If this date is more than 90 days after occurrence of the deviation, include a statement similar to the following: "Per DoDI 5000.02, submittal of the revised APB for MDA signature is required within 90 days of the occurrence of the deviation. However, this is a regulatory requirement and the timeline may be revised by the MDA. The PM requests that submittal of the updated APB be extended to [INSERT DATE] to enable [INSERT RATIONALE such as pending completion of an updated LCCE, approval of revised CDD, etc]."*

10. **Recommendation.** MDA approval of the strategy and timelines outlined in this memorandum to include stand up of the deviation review board described in paragraph eight.

11. **Point of Contact.** Insert POC name and contact information.

[INSERT NAME AND TITLE OF APPROPRIATE OFFICIAL]
(Typically the PM)

Copy to: (see next page)

Copy to: You may add organizations to the below as appropriate
ASN (RDA)

HQMC (DC, I&L; DC, PP&O; DC, P&R; DC, CD&I; DIR, C4)

COMMARCORSSYSCOM (RMGT; ACCT; ACPROG; ACPROG TOPIC; ACALPS; SIAT; PMMXXX; OPS CELL), Dir, MCOTEA

Enclosure (s). Program Deviation Report

When a formal deviation review board was not convened modify the narrative as appropriate

5000
[INSERT REFERENCE #]

MEMORANDUM

From: Chair Deviation Review Board, [INSERT PROGRAM NAME]
To: Commander, Marine Corps Systems Command
Via: Assistant Commander for Programs

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

Ref: (a) MCSC Acquisition Guidebook (MAG)
(b) DoN Acquisition and Capabilities Guidebook of 9 May 12
(c) [INSERT PROGRAM NAME] and date of initial notification of program deviation to MDA
(d) [INSERT PROGRAM NAME AND DATE OF LATEST ADM]
(e) [INSERT PROGRAM NAME AND DATE OF CURRENTLY APPROVED APB]

Encl: (1) [INSERT PROGRAM NAME] PoPS Core Briefing Charts of [INSERT DATE] Note: PoPS core briefing charts should be updated to reflect the impact of the deviation.

Encl: (2) [INSERT PROGRAM NAME] Deviation Review Board Record of Concurrence of [INSERT DATE]

Encl 2 template provided at end of this memo

1. **Purpose.** Per references (a) and (b), this report provides an assessment of the root causes and suggested mitigation strategies with regard to the program deviation initially reported to you via reference (c).

2. **Background - Program Description.** Briefly describe the program to include:

a. Acquisition Category (ACAT) level and Milestone Decision Authority (MDA).

b. Last major Milestone (MS) decision, next planned MS.

c. Program sponsor.

Enclosure (s). Program Deviation Report

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

d. Date of last Probability of Program Success (PoPS) assessment, performing organization, and overall Level 1 rating [INSERT RED-YELLOW-GREEN].

e. Summary of all previous Acquisition Program Baseline (APB) deviations.

f. Highlights from the latest Acquisition Decision Memorandum (ADM) (reference (d)) and status of exit criteria.

This template includes suggested content and instructions/hints for the preparer. The PM may tailor the content as appropriate. At a minimum, the intent of the analysis described herein should be followed to ensure a fully informed MDA decision.

The report should leverage the enclosed PoPS core briefing charts to the maximum extent feasible. Specifically, the PoPS "Program Overview", "APB Status", "PM Recommended C/S/P Trades", and "Design Trade Off Results" charts may be referenced in lieu of duplicating content.

3. **Description of Deviation.** Summarize the following:

a. The nature of the program deviation (e.g., cost, schedule, or performance (C/S/P)) and impact (e.g., schedule delay of 10 months, cost increase of \$10M, inability to meet Key Performance Parameters (KPPs), etc., with regard to the current APB (reference (e))).

b. The threshold and objective values of the C/S/P parameters shown in the program's current APB (reference (e)).

c. Current estimate of the breached APB parameter(s).

d. Total Ownership Cost / Program Acquisition Unit Cost (PAUC) / Average Procurement Unit Cost (APUC) percent cost growth with regard to current and original APB baselines. *Note: APUC and PAUC are not applicable to many Information Technology programs - see [Chapter 8](#) for guidance.*

Enclosure (s). Program Deviation Report

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

e. The projected cost and schedule for completing the program if current requirements are not modified.

f. Identify impact on other programs as well as program dependencies.

4. Status of Deviation Management Activities

a. Via reference (d) the MDA directed:

(1) Stand up of the deviation review board described in paragraph five or that the Program Manager (PM) conduct an analysis of the deviation and develop corrective actions.

(2) The following interim actions, exit criteria, and target dates to mitigate the deviation impact pending completion of the deviation review board or PM assessment. [INSERT appropriate information from the ADM and status of each such as met target, complete, did not meet target].

b. Describe other key activities initiated to support validation or execution of the program deviation report recommendations. This may include updated Life Cycle Cost Estimate (LCCE), requirements update, etc.

5. Deviation Review Board or PM Advisors. The deviation review board or PM advisory team was convened on [INSERT DATE]. Populate the table below to display the board or PM team members and their respective organizations.

Deviation Review Board or PM Advisors for [INSERT PROGRAM NAME]		
*Organization	Name	Title

Enclosure (s). Program Deviation Report

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

6. **Root Causes of Deviation.** Populate the table below to summarize the root cause(s) of the deviation and specify if each root cause was a one time or recurring event. Link each root cause to a corresponding corrective action in paragraph seven below.

Root Cause of Deviation for [INSERT PROGRAM NAME]			
Root cause	One Time or Recurring	Corresponding Corrective Action	Corrective Action Complete or Pending MDA Approval
		<div style="background-color: red; color: white; padding: 5px; text-align: center;"> Insert the # of corresponding corrective action from paragraph 7 </div>	

7. **Corrective Actions.** Address impact to other programs and program dependencies as appropriate.

a. Corrective actions already initiated to address/mitigate the breach.

b. New/additional corrective actions to minimize the extent of the breach and reduce risk of further breach. This should include recommended C/S/P trades and associated updates to KPPs & Joint Capabilities Integration and Development System (JCIDS) documentation.

c. Management actions instituted to raise the visibility of the breach, including award fee/Contractor Performance Assessment Reporting System implications.

d. Recommended frequency and content of progress reports to the MDA with regard to the effectiveness of corrective actions (include proposed metrics to assess progress).

8. **Alternatives Considered**

Enclosure (s). Program Deviation Report

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

a. Performance, quantity, and schedule trades considered to mitigate the deviation. A sample table is provided below.

b. The projected cost and schedule for completing the program based on reasonable modification of such requirements.

c. The rough order of magnitude of the cost and schedule for any reasonable alternative system or capability.

d. Expanded application of should cost and development of affordability targets per [Better Buying Power 2.0](#) where applicable. This may include development of affordability courses of action per [MAG Chapter 2](#).

Enclosure (s). Program Deviation Report

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

Sample Table of Alternatives Considered					
#	Option	Capability to Warfighter/Performance Impact	Schedule Impact	Cost Impact	Risk (Low/Med/High)
1	Modify KPPs	Less capability delivered	Neutral	Decrease cost	High - Critical capability gap not met
2	Incremental Delivery	Same capability delivered over longer time period	Delay IOC/FOC	Deferred cost	Med - Assumes each increment meets economic order quantity
3	Decrease AAO	Less capability delivered	Neutral	Decrease program cost/increase cost to sustain legacy system	Med - Assumes ability and funding to extend legacy systems life and revise CONOPS
4	Establish Affordability Target	Less capability delivered. Meet KPPs. Several KSAs not met	Neutral	Decrease program cost	Med - Requires change to test strategy

Populated Sample Provided for Illustrative Puposos Only. Must be tailored for each program.

9. Next Steps/Recommendations

a. Summarize recommendations and rationale with regard to continuation of the program (typically one of the following categories):

(1) Program cancellation.

(2) Program restructure (substantive change to schedule, quantity, or performance parameters).

(3) Modified status quo (no substantive change to program structure).

Enclosure (s). Program Deviation Report

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

b. Describe impact of and risks/issues associated with recommendation in 9a.

c. Describe required actions to implement the recommendation in 9a. This may include update to LCCE, JCIDS documentation, Program Objective Memorandum submission, budget and funding profiles, etc.

d. Target date for submitting the updated APB for MDA signature.

10. **Assessment.** The deviation review board has assessed the [INSERT PROGRAM NAME] to include root causes of the deviation, overall program status, and proposed corrective actions. The board collectively concurs with updated PoPS core briefing charts (enclosure 1), the contents of this report (enclosure 2), and the following:

a. The capabilities or products to be acquired under the program are essential to the national security or to the efficient management of the Department of Defense.

b. There is no alternative to the system or information technology investment which will provide equal or greater capability at less cost.

c. The new estimates of the C/S/P parameters are reasonable.

d. The management structure for the program is adequate to manage and control program costs.

Notes:

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

(b) DAG Chapter 10.11.5.5.3 outlines ACAT I criteria ISO each MDA determination. This will require interpretation/tailoring for MCSC programs, but provides a valuable benchmark.

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

Enclosure (s). Program Deviation Report

Subj: PROGRAM DEVIATION REPORT [INSERT PROGRAM NAME]

11. **Point of Contact.** Insert POC name and contact information.

[INSERT NAME AND TITLE OF
DEVIATION REVIEW BOARD CHAIR]

Copy to: You may add organizations to the below as appropriate

ASN (RDA)

HQMC (DC, I&L; DC, PP&O; DC, P&R;DIR, C4)

DC, CD&I

COMMARCORSYSCOM (RMGT; ACCT; ACPROG; ACPROG TOPIC; ACALPS; SIAT;

PMMXXX; OPS CELL)

Dir, MCOTEA

Enclosure (s). Program Deviation Report

Template For Record Of Deviation Review Board Concurrence

Record of Deviation Review Board Concurrence with the [INSERT PROGRAM NAME & DATE OF PROGRAM DEVIATION REPORT]			
*Organization	Name	Concur/Non-Concur	Signature

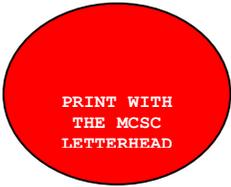
Enclosure (t). ADM Template

MCSC ADM Template Key Features

- Establishes a disciplined and repeatable process across MCSC.
- Provides mandatory guidance relative to content and structure of MCSC Acquisition Decision Memorandums (ADMs). This ensures compliance with DoDI 5000.02, as well as ASN and USD AT&L policy to include Better Buying Power (BBP).
- Applies to all MCSC ACAT programs and pre-ACAT efforts including those delegated to the Program Manager as well as efforts where COMMARCORSYSCOM has retained Milestone Decision Authority (MDA).
- Consists of two parts:
 - The "basic" ADM template with instructions applicable to all Milestone (MS)/Key Acquisition Events (KAEs).
 - A mandatory ADM checklist which includes additional required content for each specific MS/KAE.
- Enables program specific tailoring. The specific content of each ADM will vary based upon the decision requested, and the unique aspects of each individual program. However, all ADMs must comply with the overarching content and structure guidelines established by the ADM template. In the case of ACAT designation or MDA delegation, the template may be tailored appropriately.
- A separate template for AAP designation is provided in the MAG.
- Ensures integrated participation of all competencies in the development and review of ADM content. (Note: The Tier-0 IPT is required to review all ADMs before forwarding to MDA.)

Note: A draft ADM may be presented at the MDA review, the final version should be submitted for MDA signature within five working days of the MDA review.

The ADM template is NOT a format guide. Consult your OPS Officer and the Naval Correspondence Manual for formatting guidance.



[*INSERT REFERENCE #*]

MEMORANDUM FOR [*INSERT TITLE OF RECEIVING OFFICIAL. If text continues to the second line, the second line must be flush with word that comes after "FOR."*]

Subj: ACQUISITION DECISION MEMORANDUM FOR THE [*INSERT PROGRAM NAME*]

Ref: [*INSERT APPLICABLE REFERENCES; EXAMPLES PROVIDED BELOW*]

- (a) SECNAVINST 5000.2E
- (b) MCSC Acquisition Guidebook (MAG)
- (c) [*List prior ADMs*]ACPROG Memo XXXX of XX Jul XX
- (d) [*Reference MDA meeting if applicable*] MDA Mtg XXXX of XX Jul XX
- (e) [Reference PoPS core briefing charts or additional program documentation which supports the decision] PoPS core briefing charts of XX Jul XX

Encl: (1) Title of material enclosed with letter

1. **Purpose and Decisions.** Briefly describe the following.

a. Decision granted such as Milestone (MS) decision, Acquisition Category (ACAT) designation, delegation of Milestone Decision Authority (MDA), etc.

b. Next MS/Key Acquisition Event (KAE) and the applicable Probability of Program Success (PoPS) gate.

c. Next MDA review point if this will occur prior to the next MS/KAE. For example, specify if the MDA will conduct an interim PoPS program review before the next MS review.

d. Target timeframe for the next MS/KAE or MDA review. Note that these decisions/reviews are event driven. However, it is important to specify notional desired timelines to ensure MDA visibility into any substantial delays and that the effort is being executed within a reasonable timeframe.

Enclosure (t). ADM Template

Subj: ACQUISITION DECISION MEMORANDUM FOR THE [*INSERT PROGRAM NAME*]

e. Reference previous Acquisition Decision Memorandums (ADMs) and MDA guidance and indicate if they are still applicable, partially updated, or cancelled/superseded.

f. The "get well" plan to restructure a program that is not in compliance with Cost, Schedule and Performance (C/S/P) targets/Acquisition Program Baseline (APB) thresholds with associated metrics if applicable.

g. Any revisions to program strategy to address critical risks or issues as required.

2. **Exit Criteria.** List the MDA assigned exit criteria which shall be met prior to the next MS/KAE. See [Chapter 2.6](#) for guidance relative to exit criteria.

3. **Tailoring Strategy.** Summarize the program tailoring strategy per [Chapter 7.4](#). The documentation, reviews, and events for each program should be the minimum necessary to ensure effective and disciplined program execution. Once the MDA has approved the tailoring strategy, it does not need to be repeated in subsequent ADMs; you may reference the ADM in which the MDA approved the strategy. The tailoring strategy typically includes the following:

a. Required Documentation/Functional Reviews. Functional reviews include engineering, test, logistics, etc. Include rationale for tailoring out or streamlining specific program documents and reviews. Document tailoring may include delegation of signatory authority, reduction of content, as well as the elimination of certain documents. Attach the MDA approved list of tailored documents and reviews to the ADM.

b. MS/Acquisition Approach. Summarize the recommended program milestones and rationale for tailoring out specific MS/KAEs.

Enclosure (t). ADM Template

Subj: ACQUISITION DECISION MEMORANDUM FOR THE [*INSERT PROGRAM NAME*]

c. Point of Program Initiation. Identify the point of program initiation e.g., the MS at which the effort formally enters the DoDI 5000.02 acquisition framework. See MAG Chapter 2.6 for guidance.

4. Action Items

a. List all actions assigned by the MDA. Include target resolution date and responsible parties. These may be included as an enclosure to the ADM.

b. Note: The Assistant Program Manager for Program Management (APM-PM) shall monitor the status of all assigned action items and provide the MDA with updated status at each MDA review.

5. Discussion and Additional Guidance

a. Summarize relevant background or key MDA guidance not captured elsewhere in the ADM.

b. Identify and provide rationale for those cases where the MDA is waiving entrance criteria or exit criteria from the previous ADM. See [Chapter 2.6](#) for guidance.

c. Insert Command required narrative. Check with Assistant Commander, Programs (ACPROG) Assessments for assistance with this section if required. Current Command level required narratives are shown below.

(1) Return to me immediately for guidance if any substantive program issues arise, to include delays in the program's ability to comply with the guidance, timelines, and exit criteria specified within this memorandum.

(2) Ensure all program information in The Online Project Information Center (TOPIC) is current and accurate.

(3) Coordinate with the Assistant Commander, Acquisition Logistics & Product Support (AC ALPS) to record and maintain

Enclosure (t). ADM Template

Subj: ACQUISITION DECISION MEMORANDUM FOR THE [*INSERT PROGRAM NAME*]

program life cycle data, to include schedules and documentation, in TOPIC and the Total Force Structure Management System (TFSMS) per MCO 5311.1D, Appendix H. Complete these actions and provide the products for review by AC ALPS within 30 days of this memorandum. Conduct semi-annual status reviews for applicable Table of Authorized Materiel Control Numbers in TFSMS.

6. **Point of Contact.** Insert the name and contact information of the individual that is responsible for the ADM. This is typically a member of the MDA staff (e.g., APM-PM or ACPROG Assessments).

[*INSERT NAME AND IF APPROPRIATE TITLE OF MDA*]

Copy to: *You may add organizations to the below as appropriate*
ASN (RDA)
HQMC (DC, I&L; DC, PP&O; DC, P&R; DIR, C4)
DC, CD&I
COMMARCORSSYSCOM (RMGT; ACCT; ACPROG; ACPROG TOPIC; ACALPS; SIAT; PMMXXX; OPS CELL)
Dir, MCOTEA

Event	MCSC ADM CHECKLIST
MDD	<ul style="list-style-type: none"> Establish limit on expenditures during Materiel Solution Analysis Phase Approve AoA study guidance or fulfillment Establish notional program initiation point (e.g., MS B/MS C) Establish affordability goals per Better Buying Power (BBP)
AoA	<ul style="list-style-type: none"> Approve AoA preferred alternative Establish point of program initiation (e.g., MS B/MS C) Update affordability goals per BBP
MS A	<ul style="list-style-type: none"> Approve entry into Technology Development (TD) Phase Establish point of program initiation (e.g., MS B/MS C) Confirm/Update affordability goals per BBP
RFP release*	<ul style="list-style-type: none"> Approve RFP release
MS B*	<ul style="list-style-type: none"> Approve RFP release and entry into EMD Phase Authorize Program Initiation & establish LRIP quantities or Limited Deployment (LD) strategy if applicable
PDR-A*	<ul style="list-style-type: none"> Approve PDR report & direct C/S/P trades required to meet APB objectives
MS C* MS C/LRIP* MS C/LD*	<ul style="list-style-type: none"> Authorize Program Initiation, LRIP quantities/LD strategy, & criteria & timing for FRP/Full Deployment (FD) if applicable Authorize entry into P&D Phase Establish Post Implementation Review (PIR) & fielding strategies
MS C/FRP* MS C/FD*	<ul style="list-style-type: none"> Approve PIR Strategy Authorize FRP or FD Establish and approve fielding strategy
FRP* FD*	<ul style="list-style-type: none"> Authorize FRP or FD and Fielding Establish PIR Frequency
Sustainment*	<ul style="list-style-type: none"> Establish PIR report date and disposal strategy Determine frequency of MDA reviews and transition of MDA as applicable
PMR	<ul style="list-style-type: none"> Document date of next PMR and other MDA direction

*The following is required for all ADMs from RFP Release through Sustainment.

- Establish full funding strategy if not fully funded over the FYDP per Chapter 2.
- ACAT Designation and Delegation of MDA per MAG Chapter 5. Note: ADMs which include ACAT designations must be supported by the information specified in MAG Enclosures (f) and (g).
- Insert the program information into the ASN RDA DASHBOARD within 10 working days of the date of this memo for ACAT III and IV programs only.
- Specify affordability caps per [MAG Chapter 7.3](#), BBP 2.0, [5 Aug 13 USD AT&L Memorandum "Recording and Tracking Affordability Constraints..."](#) and [Defense Acquisition Guidebook \(DAG\) Chapter 3.2](#).
- Summarize actions required (if applicable) to achieve the program outcomes specified in the APB to include affordability caps.

All acronyms can be found in [DAU Glossary](#)

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

List of Program Affordability Tools (Selection and analyses are cooperative efforts and require teaming between the acquisition, requirements, and budgeting communities)	
Tool	Examples (for illustrative purposes only; not all inclusive)
Requirements Trade Space	<p>This analysis is conducted by the Requirements Authority (RA) to ensure alignment of individual programs with portfolio priorities (CPM) and affordability constraints</p> <ul style="list-style-type: none"> • Conduct on-going analysis throughout the program lifecycle to identify acceptable trade space (design, C/S/P). • Identify maximum acceptable trade space between threshold and objective for each individual requirement to include KPPs/KSAs • Identify minimum acceptable number of KPPs/KSAs and other requirements • Update appropriate requirements document to reflect results of the above
Should Cost Analysis	<ul style="list-style-type: none"> • Identify strategies to reduce cost per Chapter 7.2 and Should Cost Guidebook (Reference u)
Acquisition Approach and Strategy	<p>Ensure overarching acquisition approach addresses affordability throughout the program lifecycle. At a minimum, consider the following:</p> <ul style="list-style-type: none"> • Incremental delivery/release of capability in pre-planned affordable subsets • Reduce Approved Acquisition Objective (AAO) • Leverage other Service, joint solutions, or USMC enterprise approaches • Leverage non-developmental or commercial items • Mixed fleet (e.g. use legacy systems combined with a reduced number or delayed fielding of new systems to reduce cost) • Delay or defer scheduled deliveries based on budgetary constraints within a single increment • Conduct Analyses of Alternatives (AoA) and/or on-going market research to identify lower cost alternatives • Establish Configuration Control Board (CCB) early in program lifecycle to identify de-scoping opportunities, and continued assessment of cost impact, management, and prioritization of all proposed changes • Leverage multi-year funding and economies of scale such as economic order quantities (EOQ) where applicable • Establish Risk Management Strategy early in program lifecycle to enable MDA visibility into risk of C/S/P trades

List of Program Affordability Tools

(Selection and analyses are cooperative efforts and require teaming between the acquisition, requirements, and budgeting communities)

Tool	Examples (for illustrative purposes only; not all inclusive)
SE and Test and Evaluation Strategy	<ul style="list-style-type: none"> • Combine technical reviews and test events to maximum extent possible • Conduct SE trade-off analyses throughout the program lifecycle and provide specific support to inform Capability Development Document (CDD) validation per DoDI 5000.02 Encl 8 • Tailor lifecycle Open Systems Architecture and data rights strategy to ensure ability to effectively sustain or re-compete as appropriate • Consider modular design across multiple systems to reduce technical risk and TOC • Independent test organization may monitor DT instead of conducting separate testing • Leverage/combine test events (other programs and Services) and use less costly evaluation methods where appropriate such as demonstrate, inspect, or analyze • Technology Readiness Assessment • Value engineering
Logistics/Sustainment Strategy (CONOPS, Sustainment Strategy)	<p>Assess overarching sustainment approach to identify impact on TOC throughout the program lifecycle</p> <ul style="list-style-type: none"> • Assess Lifecycle Sustainment Plan (LCSP), CONOPS and affordability trade-offs to include legacy system disposal and maintenance, refresh cycles, maintenance strategy and levels, etc. • Assess support strategy to include Organic (USMC) vs. commercial • Conduct periodic assessments of sustainment costs and identification of cost drivers/trade-offs through Disposal
Cost Analysis	<ul style="list-style-type: none"> • Identify major cost drivers and assist the PM in identifying alternatives for MDA consideration throughout program lifecycle • Leverage independent government cost estimates • Update POE or LCCE periodically to ensure MDA is provided with fully informed and current affordability recommendations
Tailoring	<ul style="list-style-type: none"> • Eliminate non-value added processes and documents per Chapter 7.4

List of Program Affordability Tools

(Selection and analyses are cooperative efforts and require teaming between the acquisition, requirements, and budgeting communities)

Tool	Examples (for illustrative purposes only; not all inclusive)
Contracting Strategy	<ul style="list-style-type: none"> • Use Source Selection Criteria to maximize affordability focus • Assess business and competitive strategy to reduce cost • Assess proprietary data rights strategy to ensure ability to sustain or re-compete as appropriate throughout the lifecycle • Leverage other Services and enterprise contract vehicles • Consider hybrid contracts to include fixed price and cost type CLINS • Use Requests for Information (RFIs) and draft Request for Proposals (RFPs) to harvest input regarding cost and affordability • Use options to facilitate delivery of capability in affordable subsets given budget uncertainty • Use incentives to encourage contractor participation in managing cost; emphasize use of value engineering throughout the lifecycle (where appropriate)

List of MCSC & Stakeholder Affordability Roles and Responsibilities

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

List of MCSC & Stakeholder Affordability Roles and Responsibilities

Who	What
COMMARCORSYSCOM	<ul style="list-style-type: none"> • Ensure compliance with BBP affordability guidelines throughout MCSC to include implementing policy, business rules, and metrics • Communicate with external organizations to ensure enterprise level alignment of affordability policies and business rules • Periodically review MCSC enterprise affordability trends and issue Command - level guidance as appropriate
MDA (COMMARCORSYSCOM or delegated official)	<ul style="list-style-type: none"> • Assess affordability at each milestone (MS) and review point, and direct actions via ADM to ensure each program is affordable throughout its lifecycle (from Materiel Development Decision (MDD) through Disposal) • Consider program cancellation or restructure at every decision point if lifecycle affordability cannot be demonstrated • Establish/update program strategy/acquisition approach to ensure that each program is affordable and executable over its lifecycle <ul style="list-style-type: none"> ◦ Establish and monitor program specific affordability constraints and tools ◦ Ensure program documentation reflects approved affordability trade space, constraints, and use of appropriate affordability tools
PMs <i>Note: Where a PM serves as MDA then the PM may delegate appropriate responsibilities to the Tier-0 IPT or PdM as appropriate</i>	<ul style="list-style-type: none"> • Recommend affordability constraints and framework for MDA approval prior to each MS, PMR or MDA decision point in consultation with RA, Tier-0 IPT and all stakeholders • Immediately surface issues to MDA and appropriate Command leadership WRT program affordability • Document and monitor status of affordability for each assigned program and pre-ACAT effort and report results to MDA on a regular basis <ul style="list-style-type: none"> ◦ Recommend trade-offs to address affordability to include SE tradeoffs in support of CDD validation • Ensure Product Managers (PdMs) address affordability in all program execution plans • Team with all stakeholders to ensure updated affordability results are reflected in the budget/POM processes
Competency Directors (CDs)	<ul style="list-style-type: none"> • Support the conduct of affordability analyses within respective organization • Advise the PM/MDA/COMMARCORSYSCOM regarding program affordability and appropriate trade-offs at each MS, Program Manager Review (PMR) or MDA decision point <ul style="list-style-type: none"> ◦ DC SIAT will conduct trade-off analysis prior to CDD validation per DoDI 5000.02 Enclosure 8 ◦ DC SIAT will assist in generating affordability targets and should cost goals by analyzing and verifying technical assumptions used in the cost analyses and related cost goals

List of MCSC & Stakeholder Affordability Roles and Responsibilities

Who	What
AC PROG	<ul style="list-style-type: none"> • Establish and monitor/update MCSC affordability policy to include tools and metrics aligned with BBP and HHQ guidance • Provide COMMARCORSYSCOM regular risk-informed updates WRT affordability metrics and enterprise trends • Communicate with CDs and stakeholders to ensure alignment of organizational policies and procedures • Communicate with external organizations WRT affordability matters on behalf of COMMARCORSYSCOM • Surface unresolved issues to COMMARCORSYSCOM
RTO/RTT	<ul style="list-style-type: none"> • Ensure affordability is addressed within Requirement Transition Process (RTP) policy and procedures • Work with external organizations to ensure requirements packages and subsequent updates address affordability per Chapter 2.1
Tier-0 IPT/MAT	<ul style="list-style-type: none"> • Participate in Requirement Transition Team (RTT), Milestone Assessment Team (MAT) and other affordability reviews • Ensure respective CDs are fully informed WRT to affordability for each specific program and pre-ACAT effort to include trade-offs, mitigation strategies, and associated risks • Support the PM and MDA in execution of all assigned responsibilities to include timely review and update of affordability constraints and framework • Propose affordability tools and strategies for PM/MDA consideration and ensure they are documented appropriately

Event	<p style="text-align: center;">List of Example ADM Exit Criteria (for illustrative purposes only) Specific exit criteria will be tailored to each unique program or pre-ACAT effort (Use this table together with the ADM Template when preparing ADMs)</p>
All Milestones or MDA Decision Points	<ul style="list-style-type: none"> • Establish/update affordability analytical framework to include follow on affordability reviews and analyses. This may include: <ul style="list-style-type: none"> o Key trades between C/S/P and associated risks required to meet projected affordability goals o Key cost drivers and mitigation strategies o Consideration of alternative approaches to include appropriate affordability tools per Table 7A • <i>Reminder: The framework will be tailored to program unique characteristics and based on consideration of all affordability tools per Table 7A</i> • Establish/update affordability constraints (goals and/or caps) • Return to the MDA (by a specific date/event) to present results of affordability framework analyses, recommended actions and associated risks • Inform the MDA immediately when the PM has reason to believe the materiel solution cannot be delivered within established affordability constraints. Provide recommended affordability C/S/P trades and associated risks to include potential cancellation. • Ensure program documentation is updated to reflect current MDA approved affordability strategy • Work with RA to ensure that POM submission narrative and content align with MDA approved affordability strategy • <i>Note: In some cases a legacy effort will enter the acquisition process directly at EMD, production or sustainment phase. In these cases, exit criteria shall be tailored to the specific level of program maturity and knowledge. At a minimum, consider and leverage relevant exit criteria from all previous milestones to establish an appropriate analytical framework and affordability constraints.</i>

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

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

Enclosure (v). IMD Dependency Screening Questions

If the PM provides a 'yes' response to any of the below questions further evaluation is needed to determine if a program is IMD dependent. In this case, contact the Intelligence Mission Data Center (IMDC) (imdc_lmdp_support@dodiiis.mil) or the MCIA Future Threats Division (FTD) (HYPERLINK PENDING) for assistance.

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

Enclosure (w). Glossary

Please see the [DAU Glossary](#) for a more extensive listing of acronyms.

Acronym	Referenced Phrase
AAO	Approved Acquisition Objective
AAP	Abbreviated Acquisition Program
AC ALPS	Assistant Commander, Acquisition Logistics & Product Support
AC Contacts	Assistant Commander, Contracts
AC PROG	Assistant Commander, Programs
ACPROG	Assistant Commander, Programs (organization)
ACAT	Acquisition Category
ACC	Acquisition Community Connection
ADM	Acquisition Decision Memorandum
AoA	Analysis of Alternatives
AP	Acquisition Plan
APB	Acquisition Program Baseline
APH	Acquisition Procedures Handbook
APL	Acquisition Policy Letter
APM	Assistant Program Manager
APM-CT	Assistant Program Manager - Contracts
APM-E	Assistant Program Manager - Engineering
APM-FM	Assistant Program Manager - Financial Management
APM-LCL	Assistant Program Manager - Life Cycle Logistics
APM-PM	Assistant Program Manager - Program Management
APUC	Average Procurement Unit Cost
AS	Acquisition Strategy
ASN RDA	Assistant Secretary of the Navy for Research,

Acronym	Referenced Phrase
	Development, and Acquisition
ATO	Authority to Operate
BBP	Better Buying Power
BCL	Business Capability Lifecycle
BEA	Business Enterprise Architecture
BY	Base Year
C/S/P	Cost/Schedule/Performance
C4	Command, Control, Communications, and Computers
CA	Certification Authority
CAO	Competency Aligned Organization
CARD	Cost Analysis Requirements Description
CCA	Clinger-Cohen Act
CD	Competency Director
CD&I	Combat Development & Integration
CDD	Capability Development Document
CDR-A	Critical Design Review Assessment
CJCSI	Chairman of the Joint Chiefs of Staff Instruction
CM	Configuration Management
CMC	Commandant of the Marine Corps
COA	Course of Action
COE	Concept of Employment
COMMARCORSYSCOM	Commander, Marine Corps Systems Command
CONOPS	Concept of Operations
CPD	Capability Production Document
CRM	Comment Resolution Matrix
CSPS	Command, Staffing, Planning, and Strategies
DAA	Designating Accrediting Authority
DAG	Defense Acquisition Guidebook

Acronym	Referenced Phrase
DAP	Defense Acquisition Portal
DAU	Defense Acquisition University
DBS	Defense Business Systems
DBSMC	Defense Business Systems Management Council
DC CD&I	Deputy Commandant, Combat Development & Integration
DC RM	Deputy Commander, Resource Management
DC SIAT	Deputy Commander, Systems Engineering, Interoperability, Architectures, & Technology
DFM	Director, Financial Management
DM	Decision Memorandum
DoD	Department of Defense
DoDD	Department of Defense Directive
DoDI	Department of Defense Instruction
DON	Department of the Navy
DOT&E	Director, Operational Test and Evaluation
DT	Developmental Testing
DTM	Directive-Type Memorandum
EA	Evolutionary Acquisition
ECP	Engineering Change Proposal
ED	Executive Director
EMD	Engineering and Manufacturing Development
ESOH	Environment, Safety & Occupational Health
EVM	Earned Value Management
FAQ	Frequently Asked Question
FD	Full Deployment
FDD	Full Deployment Decision
FOC	Full Operational Capability
FRP DR	Full Rate Production Decision Review
FYDP	Future Years Defense Program

Acronym	Referenced Phrase
GO	General Officer
HQMC	Headquarters, Marine Corps
HW	Hardware
I&L	Installations and Logistics
IBR	Integrated Baseline Review
ICD	Initial Capabilities Document
ILA	Independent Logistics Assessment
IMP	Integrated Master Plan
IMS	Integrated Master Schedule
IOC	Initial Operational Capability
IPA	Independent Program Assessment
IPPD	Integrated Product and Process Development
IPT	Integrated Product Team
IRB	Investment Review Board
ISP	Information Support Plan
IT	Information Technology
JCIDS	Joint Capabilities Integration and Development System
JITC	Joint Interoperability Test Command
KAE	Key Acquisition Event
KBA	Knowledge Based Acquisition
KPP	Key Performance Parameter
LCCE	Life Cycle Cost Estimate
LD	Limited Deployment
LDD	Limited Deployment Decision
LOA	Letter of Agreement
LOC	Letter of Clarification
LOGCOM	Logistics Command
LRIP	Low Rate Initial Production

Acronym	Referenced Phrase
M	Monitor
M&RA	Manpower and Reserve Affairs
MAG	MCSC Acquisition Guidebook
MAGTF	Marine Air Ground Task Force
MAP	MCSC Acquisition Portal
MCSC	Marine Corps Systems Command
MARCORSYSCOMO	Marine Corps Systems Command Order
MAT	Milestone Assessment Team
MC	Mission-Critical
MCBEO	Marine Corps Business Enterprise Office
MCEIP	Marine Corps Enterprise Integration Plan
MCO	Marine Corps Order
MCOTEA	Marine Corps Operational Test & Evaluation Activity
MCTSSA	Marine Corps Tactical Systems Support Activity
MDA	Milestone Decision Authority
MDD	Materiel Development Decision
MDP	Milestone Decision Process
ME	Mission-Essential
MFR	Memorandum for the Record
MILCON	Military Construction
MIL-STD	Military Standard
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MPT	Manpower, Personnel and Training
MS	Milestone
NR-KPP	Net Ready Key Performance Parameter
NSS	National Security System
O&M	Operations & Maintenance

Acronym	Referenced Phrase
O&O	Operational and Organizational
O&S	Operations and Support
OA	Operating Agreement
OMB	Office of Management and Budget
OPS	Operations
ORD	Operational Requirements Document
OSD	Office of Secretary of Defense
OT	Operational Test
OT&E	Operational Test & Evaluation
OTA	Operational Test Agency
P3I	Pre-Planned Product Improvement
P&D	Production and Deployment
P&R	Programs and Resources
PAUC	Program Acquisition Unit Cost
PCA	Pre-Certification Authority
PCG	POM Coordinating Group
PCO	Procurement Contracting Officer
PDA	Program Decision Authority
PdM	Product Manager
PDR-A	Preliminary Design Review Assessment
PEO LS	Program Executive Officer Land Systems
PID	Project Initiating Directive
PIR	Post Implementation Review
PLCCE	Program Life-Cycle Cost Estimate
PM	Program Manager
PMB	Performance Measurement Baseline
PMC	Procurement Marine Corps
PMO	Program Management Office

Acronym	Referenced Phrase
PMR	Program Management Review
POA&M	Plan of Action and Milestones
POM	Program Objective Memorandum
PoPS	Probability of Program Success
POR	Program of Record (Limit usage to refer to budgetary status only)
PP&O	Plans, Policies and Operations
PTL	Project Team Leaders
RA	Requirements Authority
R&D	Research & Development
RDT&E	Research, Development, Test and Evaluation
RFP	Request for Proposal
RMB	Risk Management Board
RTO	Requirements Transition Officer
RTP	Request to Participate
RTP	Requirements Transition Process
RTT	Requirements Transition Team
SDS	System Design Specification
SECNAVINST	Secretary of the Navy Instruction
SEP	Systems Engineering Plan
SES	Senior Executive Service
SETR	Systems Engineering Technical Review
SIAT	Systems Engineering, Interoperability, Architectures, and Technology
SME	Subject Matter Expert
SON	Statement of Need
SOW	Statement of Work
SRB	Solution Recommendation Brief
SW	Software

Acronym	Referenced Phrase
SYSCOM	Systems Command
T	Test
T&E	Test and Evaluation
TD	Technology Development
TECOM	Training and Education Command
TEMP	Test and Evaluation Master Plan
TOPIC	The Online Project Information Center
T-POM	Tentative POM
TRL	Technology Readiness Level
TY	Then Year
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, Logistics
UNP	Urgent Needs Process
USMC	United States Marine Corps
USON	Urgent Statement of Need
UUNS	Urgent Universal Needs Statement
WBS	Work Breakdown Structure
WIPT	Working Integrated Product Team
WMD	Workforce Management and Development
WRT	With Respect To