

Army Regulation 70–1

**Research, Development, and
Acquisition**

Army Acquisition Policy

**Headquarters
Department of the Army
Washington, DC
10 August 2018**

UNCLASSIFIED

SUMMARY of CHANGE

AR 70-1
Army Acquisition Policy

This mandated revision, dated 10 August 2018—

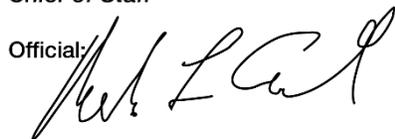
- o Incorporates Army Directive 2017-22, Implementation of Acquisition Reform Initiatives 1 and 2 (paras 1-7, 15-8a(1), and 15-8b).
- o Incorporates Army Directive 2017-31, Acquisition Reform Initiative #5: Aligning Sustainment Policy to Foster Cost Efficiency and Improved Readiness (paras 7-1, 7-2, and 7-3).
- o Incorporates Army Directive 2017-34, Acquisition Reform Initiative #7: Improving Cost Estimation and Resourcing (para 11-2 and app B).
- o Supersedes Army Directive 2017-30, Acquisition Reform Initiative #4: Streamlining Test and Evaluation and Minimizing Redundant Testing (paras 11-4 and 14-3).
- o Adds a new chapter describing cybersecurity in the Defense Acquisition System (chap 14).
- o Supersedes Army Directive 2017-29, Acquisition Reform Initiative #3: Improving the Integration and Synchronization of Science and Technology (paras 15-8a(2) through 15-8a(9)).
- o Incorporates changes from the latest update to DODI 5000.02 (throughout).
- o Incorporates changes resulting from Secretary of the Army direction to realign elements of the Capabilities Integration Directorate within the Deputy Chief of Staff, G-3/5/7 (DAMO-CI) and merge them into the Force Development Directorate within the Deputy Chief of Staff, G-8 (DAPR-FD) (throughout).

Research, Development, and Acquisition
Army Acquisition Policy

By Order of the Secretary of the Army:

MARK A. MILLEY
General, United States Army
Chief of Staff

Official:



MARK F. AVERILL
Acting Administrative Assistant
to the Secretary of the Army

History. This publication is a mandated revision.

Summary. This publication implements DODD 5000.01 and revisions to DODI 5000.02. It governs research, development, acquisition, and life cycle management of Army materiel solutions to satisfy approved Army requirements for warfighting capabilities. This regulation takes precedence over other Army regulations with respect to the management of Army acquisition programs. Statutes, the Federal Acquisition Regulation, Defense Federal Acquisition Regulation Supplement, and mandatory DOD policies take precedence over this regulation with respect to contracting matters.

Applicability. This regulation applies to the Regular Army, the Army National Guard/Army National Guard of the United

States, and the U.S. Army Reserve unless otherwise stated.

Proponent and exception authority. The proponent of this regulation is the Assistant Secretary of the Army (Acquisition, Logistics and Technology). The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

Army internal control process. This regulation contains internal control provisions in accordance with AR 11–2 and identifies key internal controls that must be evaluated (see appendixes E and F).

Supplementation. Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Assistant Secretary of the Army (Acquisition, Logistics

and Technology) (SAAL–PA), 2800 Crystal Drive, Arlington, VA 22202–2800.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Assistant Secretary of the Army (Acquisition, Logistics and Technology) (SAAL–PA), 2800 Crystal Drive, Arlington, VA 22202–2800.

Committee management. AR 15–39 requires the proponent to justify establishing/continuing committee(s), coordinate draft publications, and coordinate changes in committee status with the Office of the Administrative Assistant to the Secretary of the Army, Department of the Army Committee Management Office (AARP–ZA), 9301 Chapek Road, Building 1458, Fort Belvoir, VA 22060–5527. Further, if it is determined that an established “group” identified within this regulation later takes on the characteristics of a committee, as found in the AR 15–39, then the proponent will follow all AR 15–39 requirements for establishing and continuing the group as a committee.

Distribution. This regulation is available in electronic media only and is intended for the Regular Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

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*This regulation supersedes AR 70–1, dated 16 June 2017; AD 2017–29, dated 15 November 2017; and AD 2017–30, dated 15 November 2017.

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Glossary

Chapter 1 Introduction

1–1. Purpose

This regulation establishes policy, assigns responsibilities, and reflects the Army’s implementation of Department of Defense directive (DODD) 5000.01 and Department of Defense instruction (DODI) 5000.02 for Army-managed acquisition programs. This includes Major Defense Acquisition Programs (MDAPs) that have been identified as Defense Business Systems (DBS) by the chief management officer (CMO) in accordance with DODI 5000.75. If requirements contained in this publication conflict with later issuances or revisions of statutes and mandatory Department of Defense (DOD) policies, the proponent will direct expeditious development and implementation of interim policy that will be incorporated in this publication’s next revision in accordance with AR 25–30 and DA Pam 25–40.

1–2. References

See appendix A.

1–3. Explanation of abbreviations and terms

See the glossary.

1–4. Responsibilities

This paragraph is intended primarily to identify positions the Army has assigned a responsibility identified in DODI 5000.02 as “Component” or “Service” without specific identification to a person or organization. It also provides a high-level summary of Army-assigned responsibilities associated with acquisition that is neither intended to be exhaustive, nor repetitive of responsibilities identified in other current Army administrative publications.

a. The Secretary of the Army.

(1) Pursuant to Section 3013 of Title 10, United States Code (10 USC 3013), the SECARMY is responsible for, among other matters, the equipping function (including research and development) of the Department of the Army (DA).

(2) Specific responsibilities in connection with major defense acquisition programs include:

(a) Balancing resources against priorities on the acquisition program and ensuring that appropriate trade-offs are made among cost, schedule, technical feasibility, and performance on a continuing basis throughout the life of the acquisition program in accordance with 10 USC 2546a.

(b) Considering cost, schedule, technical feasibility, and performance tradeoffs prior to Milestone A and B decisions in accordance with 10 USC 2366a and 10 USC 2366b.

(c) In each Selected Acquisition Report required under 10 USC 2432 certify that program requirements are stable and funding is adequate to meeting cost, schedule, and performance objectives for the program and identify and report to the congressional defense committees on any increased risk to the program since the last report.

b. Chief of Staff, Army. The CSA will—

(1) Assist the SECARMY in the performance of the following acquisition-related functions:

(a) The development of requirements for equipping the Army (subject, where appropriate, to validation by the Joint Requirements Oversight Council (JROC) pursuant to 10 USC 181).

(b) Decisions regarding the balancing of resources and priorities and associated trade-offs among cost, schedule, technical feasibility, and performance on MDAPs.

(c) The coordination of measures to control requirements that creep into the Defense Acquisition System.

(d) The recommendation of trade-offs among life cycle cost, schedule, and performance objectives, and procurement (PROC) quantity objectives, to ensure acquisition programs deliver best value in meeting the approved military requirements.

(e) Termination of development or PROC programs for which life cycle cost, schedule, and performance expectations are no longer consistent with approved military requirements and levels of priority, or which no longer have approved military requirements.

(f) The development and management of career paths in acquisition for military personnel, as required by 10 USC 1722a.

(g) The assignment and training of contracting officer representatives when such representatives are required to be members of the Armed Forces because of the nature of the contract concerned.

(2) Apart from the assistance rendered to the SECARMY in paragraph 1–4b(1), the CSA also authorizes and ensures the Commanding General (CG), Army Test and Evaluation Command (ATEC), on behalf of the CSA—

(a) Supports the system acquisition, force development, and experimentation processes through overall management of the Army's test and evaluation (T&E) programs.

(b) Conducts and chairs operational test readiness reviews (OTRRs) and integrated/combined developmental test readiness reviews, as appropriate.

(c) Oversees the activities of ATEC, the Army's lead developmental test and evaluation (DT&E) organization, lead test organization for operational test and evaluation (OT&E), including live fire test and evaluation (LFT&E), and the Army's independent operational test activity.

(d) Reports directly to the Vice Chief of Staff, Army (VCSA) through the Director of the Army Staff (ARSTAF).

c. *Assistant Secretary of the Army (Acquisition, Logistics and Technology)*. The ASA (ALT) is responsible for the overall supervision of the ALT matters of the DA and has sole responsibility for performing the acquisition function within Headquarters, Department of the Army (HQDA). The ASA (ALT) will—

(1) As designated by the SECARMY, serve as the Army acquisition executive (AAE), senior procurement executive, and senior official responsible for the management of acquisition of contract services, science advisor to the SECARMY, and senior research and development official for DA.

(2) Set the strategic direction for ensuring DA policies, plans, and programs related to ALT, PROC, the industrial base, and materiel related security cooperation (including security assistance and armaments cooperation) are executed consistent with law, regulation, and policy.

(3) Oversee the Office of the ASA (ALT) which is designated the single office for the acquisition function in HQDA and provide the CSA such staff support for acquisition matters considered necessary to perform the duties and responsibilities.

(4) Authorize and ensure program executive officers (PEOs) and direct reporting program managers (DRPMs), on behalf of the ASA (ALT)—

(a) Oversee the program portfolios assigned by the AAE.

(b) Supervise and evaluate their assigned program, project, and product managers (PMs) and materiel developers (MATDEVs).

(c) Confirm compliance with statutory and regulatory requirements consistent with designated acquisition categories (ACATs).

(d) Ensure their assigned PMs and MATDEVs appropriately tailor regulatory requirements and obtain the milestone decision authority (MDA) approval when either the AAE or Defense Acquisition Executive (DAE) retains MDA for a DRPM's program or a program in a PEO's assigned portfolio.

(e) Act as the approval authority for tailoring program information requirements detailed in DODI 5000.02 and this regulation, exercise materiel development decision (MDD) authority, and serve as MDA when the AAE delegates those authorities.

(f) Ensure MDAs for MDAPs as part of the MDA's Written Determination before Milestone A and Certification and Determination before Milestone B, determine that the SECARMY and the CSA concur with the cost, schedule, technical feasibility, and performance trade-offs that have been made.

d. *Assistant Secretary of the Army (Financial Management and Comptroller)*. The ASA (FM&C) oversees the Army's planning, programming, budgeting, and execution (PPBE) process; develops and issues Armywide PPBE policy; and oversees the Office of the ASA (FM&C) which performs the equivalent cost estimating functions to those performed by the Director, Cost Assessment and Program Evaluation at the Office of the Secretary of Defense (OSD) level. The ASA (FM&C) also oversees the activities of the Deputy Assistant Secretary of the Army for Cost and Economics (DASA-CE) who, on behalf of the ASA (FM&C), will—

(1) Approve the component cost estimate (Army cost position) for MDAPs and other programs where the AAE is the MDA.

(2) Provide cost and economic analysis support to the Army planning, PPBE, affordability goals and caps, and other Army decision-making processes.

(3) Develop statutory independent cost estimates (ICEs) and component cost analyses in accordance with DODI 5000.02, and chair the Army Cost Review Board.

(4) Serve as the Army's focal point for cost reporting policies, concepts, methods, and procedures.

(5) Oversee and manage historical operations and support (O&S) cost data input to the Army's tool to support the Visibility and Management of Operating and Support Costs initiative in accordance with DODI 5000.73.

e. *Deputy Under Secretary of the Army*. The DUSA will oversee the T&E executive who—

(1) Oversees all Army T&E missions and functions, to include formulating overarching Army T&E strategy, policy, and program direction, providing policy oversight and managing resources.

(2) Approves test-related documentation (that is, test and evaluation master plans (TEMPs)) for HQDA and forwards them to the OSD for approval, if required.

(3) Coordinates and facilitates communication with OSD on all T&E matters.

(4) Serves as HQDA coordination agent for all T&E policy, resource programming, and related programmatic.

f. Assistant Secretary of the Army (Installations, Energy and Environment). The ASA (IE&E) has the principal responsibility for all DA matters related to installations; real estate; and environment, safety and occupational health (ESOH). The ASA (IE&E) will—

(1) Provide ESOH and installation recommendations during the MDD review process.

(2) Provide technical support to ASA (FM&C) for the development and validation of environmental quality life cycle cost estimates as part of the Army cost review process.

(3) Provide technical support to the ASA (ALT) in implementing green PROC programs.

(4) Ensure that ESOH considerations are incorporated into warfighting analyses and provide recommendations to the ASA (ALT); the Deputy Chief of Staff (DCS), G-3/5/7; the DCS, G-4; and the DCS, G-8 regarding environmental security and force protection issues.

g. Chief Information Officer/G-6. The CIO/G-6 is responsible for setting the strategic direction for and supervising the execution of Army policies and programs for information management (IM) and information technology (IT) for the Army, monitoring the effect of IM and IT on warfighting capabilities, creating network architecture and information sharing policy, modernizing Army resource management processes, and ensuring the synchronization of the Army's network activities. The CIO/G-6 oversees the Army's Office of the CIO, which is designated the single office in HQDA responsible for IM, performs the Army G-6 functions, and provides the CSA such staff support they consider necessary to perform their duties and responsibilities. The Office of the CIO/G-6, as the CIO/G-6, will—

(1) Confirm 40 USC and Clinger-Cohen Act (CCA) compliance of all programs that acquire IT, including National Security Systems (NSS).

(2) Maintain configuration control authority for the certified baseline for command, control, communications, computers, and intelligence (C4I) systems.

(3) Review and approve the Cybersecurity Strategy prior to milestone decisions or contract awards.

(4) Serve as the Army's interoperability certification authority.

(5) Make interoperability determinations for all Army IT and NSS in all mission areas.

(6) Require any information system (IS) using the Army Enterprise Infrastructure to obtain interoperability and net worthiness certifications before the system or capability can be connected to the Army's network.

h. Deputy Chief of Staff, G-1. The DCS, G-1 will develop, coordinate, and disseminate Army human systems integration (HSI) program policy and guidance and has primary staff responsibility for HSI assessments and HSI domain assessments.

i. Deputy Chief of Staff, G-2. The DCS, G-2 will support the systems acquisition process for intelligence. (Refer to AR 381-11 and AR 70-77).

j. Deputy Chief of Staff, G-3/5/7. The DCS, G-3/5/7 develops Army policy and procedural guidance for force management and integration, as well the development of non-materiel capabilities. The DCS, G-3/5/7 will—

(1) Conduct force integration analyses to assess supportability and affordability for structure, manpower, equipment, fiscal resources, facilities, and training.

(2) Establish Army procedures for documenting the urgent operational need (UON) for a nonstandard and/or unprogrammed capability to correct a deficiency or improve a capability that enhances mission accomplishment.

(3) Be the Army's decision authority for validating and prioritizing UONs.

k. Deputy Chief of Staff, G-4. The DCS, G-4 is the principal military advisor for logistics to the ASA (ALT) and the principal ARSTAF advisor to the CSA on logistics and assists in acting as the agent of the SECARMY to carry into effect approved plans and recommendations. Under the supervision of ASA (ALT), for Army logistics and sustainment issues, the DCS, G-4 develops and executes Army strategy, policy, plans, and programs for logistics and sustainment; ensures the execution of policies, plans, and programs consistent with law, regulation, and policy by other DA officials and organizations; and reviews and assesses the execution of Army logistics policies, plans, and programs. Additional specific responsibilities are as assigned in DA General Orders 2017-01 and AR 700-127.

l. Deputy Chief of Staff, G-8. The DCS, G-8 is the Army's lead for matching available resources to the defense strategy and the Army plan by leading the Army's planning, development, and resourcing of programs in order to balance current force needs with future force capabilities. The DCS, G-8 will—

(1) Provide governance of the Army Requirements Oversight Council (AROC) process, responsible for validation and approval of capability requirements documentation of warfighting capabilities to include IS categorized as NSS.

(2) Co-establish Army-level policy and guidance with the ASA (ALT) for conducting the analysis of alternatives (AOA).

(3) Determine the Army's approaches for streamlining the process for determining warfighting capabilities, to include procedures for documenting and approving Directed Requirement solutions to UONs.

(4) Provide the Army's affordability analysis and proposed affordability goals, and demonstrate the program will be fully funded within the Future Years Defense Plan (FYDP).

(5) Present tentative affordability goals at MDD reviews, an affordability analysis and proposed affordability goals at Milestone A, and affordability caps for unit production and sustainment costs at program initiation (normally, Milestone B).

(6) Establish cost targets in support of the AOA for all ACATs.

m. The Surgeon General/Commanding General, U.S. Army Medical Command. TSG and CG, MEDCOM provides technical advice and assistance to the ASA (ALT) on medical matters and health hazard issues during systems acquisition. TSG/CG, MEDCOM will—

(1) Tailor the acquisition process for health and medical programs.

(2) Perform the medical acquisition functions detailed in AR 40–5, AR 40–10, AR 40–60, and AR 385–10.

(3) Appoint the CG, Army Medical Research and Materiel Command (AMRMC) to serve as the Deputy for Medical Systems for the ASA (ALT).

n. Capability developers. Army capability developers (CAPDEVs) develop operational and support concepts; doctrine, organization, and force structures; and determine materiel, non-materiel, and software capability requirements for equipping these force structures. As user representatives, CAPDEVs ensure that materiel, non-materiel, and software developmental efforts address user requirements. To ensure that acquisition programs fulfill the needs of the user, CAPDEVs will—

(1) Perform duties, responsibilities, and relationships applicable to the Army Force Modernization Proponent System, to include determining doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy (DOTMLPF–P) requirements in accordance with AR 5–22.

(2) Prepare, staff, review, validate, and approve Army capability requirement documents in accordance with Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 3170.01I, the Manual for the Operation of the Joint Capabilities Integration and Development System (JCIDS), and AR 71–9.

(3) Present alternative sources of analysis where there is no AOA.

(4) In conformance with requirements detailed in AR 700–127, develop an initial life cycle sustainment plan (LCSP) to be transferred to the MATDEV at program initiation.

(5) The U.S. Army Intelligence and Security Command performs the role of CAPDEV for intelligence, biometric, signals intelligence, offensive cyberspace operations, and electronic warfare systems and will provide counterintelligence support to Army acquisition programs, and MATDEVs.

o. Materiel developers. Army MATDEVs will acquire or develop materiel solutions to meet capability requirements. Army MATDEVs follow DOD and Army acquisition procedures and direction from the Army acquisition chain of command, unless otherwise directed by the AAE or DAE. This direction applies to the AMRMC when acquiring medical materiel under a delegation of MDA.

p. Materiel commands. Materiel commands will provide functional support and assist MATDEVs in planning, developing, acquiring, and sustaining well-defined, affordable, performance-based product support strategies that meet requirements for Army materiel and software throughout the life cycle of all acquisition programs. Materiel commands include the U.S. Army Materiel Command (USAMC), the U.S. Army Corps of Engineers, and AMRMC.

(1) Materiel commands will provide the ASA (ALT), and its PEOs and PMs, science and technology (S&T) development support, support during all phases of the system's life cycle, and integrated system sustainment execution. Support will include technology research, development, and engineering; logistics; contracting; PROC analysis; production; materiel release; workforce; and other support services as required.

(2) Refer to AR 700–127, AR 700–142, and AR 10–87 for additional policy requirements and specified responsibilities to be used in conjunction with this regulation.

1–5. Application to Army programs

This publication applies to Army-managed acquisition programs, including NSS and acquisition special access programs (unless specifically excepted per program charter). The ASA (ALT) Systems Special Programs Directorate (SAAL–SSP) serves as the Army focal point for all highly sensitive, classified program acquisition matters. The following items are excluded from the purview of this regulation:

a. Materiel requirements for the U.S. Army Civil Works Program, except for IT;

b. Functional medical clothing and equipment listed in the common tables of allowances (CTA) 8–100;

c. Distinctive articles of clothing and insignia worn and used by the U.S. Corps of Cadets at the U.S. Military Academy;

d. Centrally procured heraldic items in the initial and supplemental clothing allowances in CTA 50–900;

e. Other items excluded as directed by the proponent of this publication after proper Army Secretariat and ARSTAF coordination;

f. Medical materiel and IS that support fixed facility tables of distribution and allowances and health care missions within the Defense Health Program, which are managed under AR 40–60, AR 40–61, and AR 25–1.

1–6. Policy

Army personnel involved in the acquisition process will apply the overarching management principles and mandatory policies that govern the Defense Acquisition System described in DODD 5000.01 and DODI 5000.02 to all Army-managed acquisition programs. This direction also applies to MDAPs identified by the CMO as DBS or when it conflicts with later issuances or revisions of statutes, mandatory DOD policies, or by other higher-level authority. Army personnel involved in the acquisition process will also maintain awareness of, and are responsible for complying with, new statutes and higher-level direction related to acquisition program management even if not incorporated into DOD issuances (see para 1–1). Streamlining and tailoring, consistent with statutory requirements, are authorized and encouraged in order to facilitate policies and approaches that enhance the Army’s ability to achieve program objectives, eliminate bureaucracy, and address the unique aspects of the Army acquisition structure, organizations, functions, roles, and missions.

1–7. Procedures

Except as noted above, Army personnel involved in research, development, acquisition, and support of Army-managed materiel and systems will be governed by the policies and procedures enumerated in DODI 5000.02. Army MDAs may tailor regulatory requirements and acquisition procedures to achieve program objectives, consistent with statutory requirements. Army acquisitions will comply with tailored regulatory requirements and statutory requirements, unless statutory requirements are waived in accordance with relevant provisions contained in the statute. The Secretary of Defense may waive acquisition law or regulation to acquire a capability that would not otherwise be available to the DoD Components in accordance with Section 806 of Public Law (PL) 114–92. This waiver authority may not be delegated. The AAE determines the MDA for all Army-managed acquisition programs. Each Army acquisition program (to include clothing and individual equipment (CIE)) will have only one designated MDA. All MDAs must be at the general officer (GO) or senior executive service (SES) level and meet statutory and regulatory requirements for education, training, and experience (refer to 10 USC 1735 and DODI 5000.66). The MDA is the final authority for acquisition program decisions. Staff members and staff organizations support and facilitate the MDA's execution of that authority.

a. *Program reviews.* In addition to the review forums detailed in DODI 5000.02, the Army has established six Army-level acquisition decision review forums. These six forums are described in paragraphs 1–7b through 1–7f. They either meet requirements for MDAP component-level reviews when the AAE is MDA, or they serve as pre-Defense Acquisition Board review forums when the DAE is MDA. These six forums have established membership and composition which is depicted in table 1–1. To support program decisions, streamline the requirements and acquisition milestone approval processes, and reduce resourcing requirements—

(1) For ACAT IC programs, to ensure the AROC and Army System Acquisition Review Council (ASARC) are combined/streamlined where possible, a combined AROC/ASARC milestone concurrence forum will be convened for:

(a) The initial capabilities document (ICD) AROC, and MDD ASARC.

1. The CSA approves the ICD.
2. The AAE approves the MDD for Service-level programs.

(b) At Milestones A and B to:

1. Provide information to the MDA to facilitate the approval of the milestone.
2. Provide information to the SECARMY and CSA, or designee, to facilitate their decision regarding whether to concur with the cost, schedule, technical feasibility, and performance tradeoffs for the acquisition program before milestone approval.

(2) This policy applies to ACAT IC, IB, and lower ACAT programs, when feasible.

b. *Materiel development decision review.* The MDD is the formal entry into the Defense Acquisition System and is mandatory for all Army acquisition programs.

(1) The basis for requesting a new program start is an approved ICD or other approved capability requirement. When a need for a materiel solution is identified, the DCS, G–8 will recommend the AAE consider potential materiel approaches. These potential approaches will provide a baseline for selection of alternatives for the program AOA. The DCS G–8 will request Deputy for Acquisition and Systems Management (DASM) consideration of an MDD upon AROC determination that a new-start acquisition program is being proposed to provide a required capability. An approved capability derived request for a materiel solution is the basis for initiating an Army-level MDD review; the Office of the Under Secretary of Defense (Acquisition, Technology and Logistics) (OUSD (AT&L)) directs potential ACAT ID new-start OSD level MDD procedures.

(2) The AAE chairs Army MDD review forums except when MDA is delegated. All potential ACAT I programs will undergo an Army review (pre-MDD Army overarching integrated product team (OIPT) and AAE MDD review) before a DAE-level MDD review.

(3) For potential Army ACAT II and III programs, the ASA (ALT) DASM assesses the CAPDEV’s MDD request, and recommends to the AAE whether or not (and if so, to what organization) to assign office of primary responsibility (OPR) for materiel development, and whether or not to delegate MDA.

(4) The AAE may delegate responsibility for program execution, including responsibility for the MDD. Upon delegation, the designated MDA is responsible for executing and managing the program in accordance with applicable statutory and regulatory policy requirements. When the AAE delegates authority to conduct the MDD review, its composition and membership are tailored by and to meet the needs of the delegated MDD authority.

c. Pre-materiel development decision Army overarching integrated product team. The pre-MDD Army OIPT is a small group meeting tailored to the situation and conducted on a periodic, as-needed basis. Except for programs where the AAE delegates MDA, the DASM (SAAL–ZS) conducts the pre-MDD Army OIPT, to determine if statutory and regulatory requirements have been sufficiently addressed, and if the potential acquisition program is ready to proceed to an MDD review.

d. Army Systems Acquisition Review Council. The Army Systems Acquisition Review Council (ASARC) is the Army's senior-level review body for Army acquisition programs when the DAE, DOD CIO, or AAE is the MDA. The ASA (ALT) chairs the ASARC. When the AAE delegates MDA, an ASARC is not required and the delegated MDA determines requirements for program reviews. The ASARC members make recommendations to the AAE. Normally, ASARCs convene at formal milestones to determine a program's readiness to enter the next phase in the materiel acquisition cycle; however, an ASARC may convene at any time the AAE directs it to review the status of a program. ACAT ID programs are subsequently reviewed by the Defense Acquisition Board. The DA Systems Coordinator coordinates Army participation. The ASARC Executive Secretariat (SAAL–ZSA) is responsible for the administrative aspects of the ASARC meeting.

e. Army overarching integrated product team. Army OIPT forums meet before ASARCs when the AAE or DAE is the MDA. The DASM (SAAL–ZS) chairs these OIPTs. The Army OIPT either—

(1) Determines that issues should be resolved at a lower level forum (for example, a working-level integrated product team (WIPT)).

(2) Recommends a tailored ASARC with limited attendees or convening a full formal ASARC.

(3) Decides that unresolved issues require high-level review and recommends a Configuration Steering Board (CSB) or ASARC, as appropriate.

**Table 1–1
Acquisition Program Reviews**

Members and Attendees	Pre-MDD OIPT1	MDD Review2	Army OIPT1	ASARC2	CSB AOIPT1	CSB2
Assistant Secretary of the Army (Acquisition, Logistics and Technology)		Chair		Chair		Chair
Principal Deputy Assistant Secretary of the Army				X		X
Principal Military Deputy				X		X
Deputy Assistant Secretary of the Army (Acquisition Policy and Logistics)	X	X	X	X	X	
Deputy Assistant Secretary of the Army (Procurement)	X	X	X	X	X	X
Deputy Assistant Secretary of the Army (Plans Programs and Resources)	X	X	X	X	X	X
Deputy Assistant Secretary of the Army (Research and Technology)	X	X		X	X	X
Deputy Assistant Secretary of the Army (Defense Exports and Cooperation)	X	X		X	X	X
Office of General Counsel	X	X	X	X	X	X
Deputy for Acquisition and Systems Management	Chair	X	Chair	X	Chair	X
Program Executive Officer or Direct Reporting Program Manager	X	X		X		X

**Table 1–1
Acquisition Program Reviews—Continued**

Members and Attendees	Pre-MDD OIPT1	MDD Review2	Army OIPT1	ASARC2	CSB AOIPT1	CSB2
Program, Project, or Product Manager	X	X		X		X
Under Secretary of the Army ³						
Deputy Chief Management Officer	X	X			X	X
Office of Business Transformation	X	X			X	X
Functional Lead	X	X			X	X
Vice Chief of Staff, Army				X		X
Assistant Secretary of the Army (Financial Management and Comptroller)		X		X		X
Deputy Assistant Secretary of the Army (Cost and Economics)			X		X	
Army Budget Office			X		X	
Assistant Secretary of the Army (Installations Energy and Environment)			X	X		
Assistant Secretary of the Army (Manpower and Reserve Affairs)			X	X		
Deputy Under Secretary of the Army						
Director, Test and Evaluation Office			X	X	X	X
Chief Information Officer/Deputy Chief of Staff, G–6	X	X		X		X
Principal Director for Governance, Acquisition, and Chief Knowledge Office			X		X	
Chief, National Guard Bureau	X	X	X		X	X
Deputy Chief of Staff, G–1				X		X
Director, Human Systems Integration			X		X	
Deputy Chief of Staff, G–2				X	X	X
Deputy Chief of Staff, G–3/5/7				X		X
Director, Capability Integration, Prioritization, and Analysis			X		X	
Deputy Chief of Staff, G–4			X	X	X	X
Deputy Chief of Staff, G–8		X		X		X
Director, Force Development	X	X	X		X	
Program, Evaluation, and Analysis	X	X	X		X	
Commander, Army Materiel Command	X	X	X	X	X	X
Commander, Training and Doctrine Command (TRADOC)	X	X	X	X	X	X
TRADOC Center of Excellence						
TRADOC Capabilities Manager						
Chief, Army Reserve	X	X	X		X	X
Commander, Army Test and Evaluation Command	X	X	X		X	X
Additional Attendees may be invited and/or approved by the Chair (see Note 2)						
Example "As-required" Attendees (determined by the chair)						
Army General Counsel						
Director, Small Business Programs						

**Table 1–1
Acquisition Program Reviews—Continued**

Members and Attendees	Pre-MDD OIPT1	MDD Review2	Army OIPT1	ASARC2	CSB AOIPT1	CSB2
Chief of Engineers						
The Surgeon General						
Assistant Chief of Staff for Installation Management						
The Judge Advocate General						
Chief of Chaplains						
Provost Marshall General						
Commander, U.S. Army Combat Readiness Center						
Others as determined by the Chair						
Example Attendees Invited and/or approved by the Chair						
Office of the Secretary of Defense						
Department of Defense Chief Information Officer ³						
The Joint Staff						
Others as determined by the Chair						

Notes:

¹ Members are normally GO/SES level representatives of the listed Principals. Principals may delegate authority to alternates in the grade of colonel or the civilian equivalent. Representatives of subordinate organizations listed under the principal are normally attendees, participate in the forums, and may, if their principal authorizes it, serve as the principal's delegated alternate representative.

² For CSBs for ACAT I programs, the CSB includes broad executive membership including senior representatives from the OUSD (AT&L) (including the Assistant Secretary of Defense for Acquisition), the Joint Staff (Director of Force Structure, Resources, and Assessments, J–8), Director, Operational Test and Evaluation (or designated representative), and the DOD CIO; empowered representatives from Army organizations (as indicated in the table) and other senior representatives from OSD and the Army, as appropriate, in accordance with Section 814, PL 110–417. Members are normally the principal or GO/SES level alternate representatives when delegated authority by the principal. Subordinate organizations listed under the principal normally attend, participate in the forums, and may, if their principal authorizes it, serve as the principal's delegated alternate representative. Principals may delegate authority to alternates in the grade of colonel or the civilian equivalent. Representatives of subordinate organizations listed under the principal are normally attendees, participate in the forums, and may, if their principal authorizes it, serve as the principal's delegated alternate representative.

³ Normally, only for DBS.

f. Army Configuration Steering Board. DODI 5000.02 requires that the AAE form and chair a CSB for ACAT I programs following capability development document (CDD) or equivalent capabilities requirements document (CRD) validation in accordance with Section 814, PL 110–417. Per DODI 5000.02, this requirement also applies to a DBS designated an ACAT I MDAP. Army CSB policy applies to all ACAT I programs. ACAT I programs in full-rate production (FRP) or full deployment (for software developments) may be reviewed by the Army CSB because of a potential significant deviation from or recommended change to the approved acquisition program baseline (APB) cost, schedule, or performance parameters. Army MDAs for lower ACAT programs are encouraged, but not required, to form and chair appropriate level and composition CSBs. An in-process review (IPR) can be used as a CSB-like review for Army ACAT II and III programs at the MDA's discretion (refer to para 1–7g).

(1) The Army OIPT meets before CSBs when the AAE chairs a CSB for ACAT I programs. The DASM chairs and provides recommendations to the AAE.

(2) In accordance with Section 814, PL 110–417, as amended (see 10 USC 2430, note) the CSB for an MDAP will be responsible for monitoring changes in program requirements and ensuring the CSA, in consultation with the SECARMY, approves of any proposed changes that could have an adverse effect on program cost or schedule.

(3) CSBs are responsible for:

(a) Preventing unnecessary changes to program requirements and system configuration that could have an adverse impact on program cost or schedule.

(b) Mitigating the adverse cost and schedule impact of any changes to program requirements or system configuration that may be required.

(c) Ensuring that the program delivers as much planned capability as possible at, or below, the relevant program baseline.

(4) There are two types of Army CSB meetings, the “trigger event” CSB meeting and the annual descoping CSB meeting.

(a) A trigger event CSB convenes when an event occurs, or a change is proposed that significantly impacts a program’s APB approved cost, schedule, or performance parameters, and must be reviewed by the Army CSB before implementation. Army MATDEVs will not implement changes that affect requirements (for example, performance, quantities, or delivery timelines) before obtaining concurrence from the affected CAPDEV approval authority until funds are identified and the MDA determines cost, performance, or schedule impacts cannot be mitigated.

(b) Annual descoping CSBs are held for programs that do not undergo a trigger event CSB meeting during the calendar year. The MATDEVs will coordinate with both the affected CAPDEV and resource approval authorities before making final decisions on implementing descoping options.

g. *Additional review forums.* The Army employs additional review forums on an ad hoc basis to assist the AAE and MDAs that have AAE-delegated authority manage the Army’s acquisition program portfolios. These forums do not have established membership and composition. Rather, their composition and membership are tailored by and to meet the needs of the AAE, DRPMs, and PEOs as follows:

(1) *Acquisition in-process review.* An IPR is the review forum after the AAE delegates MDA. Army MDAs determine the IPR requirements, content, and attendees. MDAs will conduct IPRs at acquisition milestones and may conduct additional IPRs they deem necessary.

(2) *Knowledge point review.* All PEOs will ensure that acquisition strategies for all ACAT I and non-delegated ACAT II programs that have not passed Milestone C include knowledge point reviews (KPRs). Application of KPRs to all other ACAT programs is at the MDA’s discretion. The MATDEVs will tailor specific knowledge points to the program, leverage existing meetings to accomplish KPR activities, and avoid creating additional work or documentation to the maximum extent possible. At a minimum, MATDEVs will include the requirements for the capability development validation and request for proposal (RFP) release decision points specified in DODI 5000.02. When the MDA requires KPRs for ACAT II and III programs, the program manager (PM) will address the results at ACAT II program status reviews (PSRs) and ACAT II and III annual PSRs.

(3) *Program status review.* The AAE conducts annual program reviews of the status of all Regular Army acquisition programs.

(a) Acquisition category I Army program status reviews. The Army PSR provides the forum for each PEO and selected ASA (ALT) staff to provide the AAE with a high-level overview of ACAT I, ACAT II, and selected ACAT III programs. The ASA (ALT) chairs this quarterly forum.

(b) Acquisition category II and III annual Army program status reviews. The AAE may review any Army acquisition program at any time. On a case-by-case basis, the AAE is likely to review ACAT II or III programs providing a quick reaction capability (QRC), in which the AAE has special interest, S&T initiatives, or that meet any of the AAE’s criteria that are published in a PSR letter of instruction.

(4) *Sustainment reviews.* The Army requires formal sustainment reviews (SRs) to ensure that the product support strategy and its implementation meets the established sustainment objectives and thresholds for coordinating the transition to post-production sustainment funding. AR 700–127 identifies the Army SR forums and provides Army SR policy.

h. *Relationship between Army acquisition, capability requirements, and budgeting processes.* Validated capability requirements provide the basis for defining the products that will be acquired through the Army acquisition system, and the Army budgeting process determines Army fiscal priorities and resource allocations and provides the funds necessary to execute planned programs.

(1) *Army warfighting capability requirements.* The Army approval authority for all Army warfighting capability requirements is the CSA.

(a) AR 71–9 establishes Army policies and assigns responsibilities for the identification, determination, and integration of required Army warfighting capabilities, implements JCIDS within the DA, and the associated guidance in the DODD 5000.01 and DODI 5000.02.

(b) Refer to the most current version of CJCSI 3170.01I, JCIDS, and AR 71–9 for details and additional information on warfighting capability requirements.

(2) *Army budgeting process.* The ASA (FM&C) oversees the Army PPBE process and develops and issues Armywide PPBE policy. The Army PPBE process is a component of the DOD PPBE process governed by DODD 7045.14 and is prescribed in AR 1–1. Refer to these references for details on PPBE process requirements and additional information.

(3) *Army acquisition program models, decision points, and phase activities.*

(a) *Acquisition program models.* DODI 5000.02 describes the materiel acquisition process and provides illustrative generic and hybrid acquisition program models. These models are not required templates. Unless constrained by statute, Army MDAs have full latitude to tailor programs in the most effective and efficient structure possible, to include eliminating phases and combining or eliminating milestones and decision points.

(b) *Acquisition decision points and phase activities.* Each acquisition decision point and phase have information requirements and other criteria that are identified in DODI 5000.02 and DODI 5000.75 for DBS not designated as MDAPs. Army processes and procedures will comply with these requirements. The MATDEVs in all Army programs in all ACATs will use analogous decision processes to those contained in DODI 5000.02 and DODI 5000.75 for DBS not designated as MDAPs. Army MDAs have full latitude to approve tailoring of information requirements and other criteria unless constrained by statute. Paragraph 2–3 contains additional guidance.

(c) *Materiel development decision.* For Army programs that are expected to enter the acquisition system after Milestone A and there is no existing AOA, the CAPDEV will present alternative sources of analysis, and the MDA will determine their sufficiency. The MDA will document the MDD in an acquisition decision memorandum (ADM).

(d) *Materiel solution analysis phase.* If not accomplished previously for Army-managed programs, the AAE will establish program, project, or product management during the materiel solution analysis phase or, for acquisition programs entering the acquisition system later in the life cycle, as soon as possible after the MDD.

(e) *Milestone A.* Army MATDEVs will comply with DOD component requirements for Milestone A detailed in DODI 5000.02.

1. The DCS, G–8 provides the Army’s affordability analysis and proposed affordability goals, and demonstrates that the program will be fully funded within the FYDP. The DASA–CE approves the component cost estimate (Army cost position) for MDAPs, and other programs where the AAE is the MDA. For programs where the AAE delegates MDA, MATDEVs in the program, project, or product management office (PMO) will develop the Army cost position in accordance with 10 USC 2434, DODI 5000.02, and AR 11–18.

2. The CSA will advise the MDA for an MDAP of his or her views on cost, schedule, technical feasibility, and performance trade-offs that have been made with regard to the program, as provided in section 10 USC 2366a, prior to a Milestone A decision on the program. This section requires the MDA to ensure that the SECARMY and CSA concur in the cost, schedule, technical feasibility, and performance tradeoffs that have been made with regard to the program.

3. The MDA will document Milestone A decisions in an ADM.

(f) *Technology maturation and risk reduction phase.* DODI 5000.02 describes technology maturation and risk reduction (TMRR) phase activities and requirements including those for competitive prototyping and its associated waiver provisions.

(g) *Capability development document validation and Configuration Steering Boards.* During the TMRR phase, the JROC validates the CDD (or an equivalent requirements document) for MDAPs. When the JROC delegates validation authority for capability documents to the Army, the AROC validates the requirements document for materiel solutions. Preparation, staffing, review, validation, and approval of Army CRD is accomplished in accordance with the latest version of CJCSI 3170.01, JCIDS, and AR 71–9. Refer to paragraph 1–7f for requirements for Army CSBs.

(h) *Development request for proposal release decision point.* The requirements for the RFP Release Decision Point are detailed in DODI 5000.02. Army non-MDAPs will tailor information requirements and other criteria and use analogous decision processes to those contained in DODI 5000.02.

(i) *Preliminary design review.* Per DODI 5000.02, during the TMRR phase, and unless waived by the MDA, a preliminary design review (PDR) will be conducted before Milestone B and prior to contract award for engineering and manufacturing development (EMD). For Army-managed programs, the timing of the PDR relative to the Development RFP Release Decision Point is at the Army MDA’s discretion.

(j) *Milestone B.* Normally, Milestone B is the formal initiation of an acquisition program with the MDA’s approval of the APB. For Army programs that enter the acquisition system post-Milestone B, program initiation occurs at the initial milestone specified by the Army MDA as part of the MDD.

1. The CSA will advise the MDA for an MDAP of views on cost, schedule, technical feasibility, and performance trade-offs that have been made with regard to the program, as provided in 10 USC 2366b prior to a Milestone B decision on the program. This section requires the MDA to determine in writing that the SECARMY and CSA concur in the cost, schedule, technical feasibility, and performance tradeoffs that have been made to ensure that the program is affordable when considering the per unit cost and the total life-cycle cost.

2. The MDA will document Milestone B decisions in an ADM.

(k) *Engineering and manufacturing development phase.* Army programs will follow the phase activities and requirements detailed in DODI 5000.02, subject to MDA-approved tailoring.

(l) *Milestone C and the limited deployment decision.* DODI 5000.02 states that Milestone C approval depends in part on specific criteria defined at Milestone B that is included in the Milestone B ADM, and describes some general criteria that will normally be applied. The MDA will document Milestone C or limited deployment (for software developments) decisions in an ADM.

(m) *Production and deployment phase.* The activities and events in this phase are described in DODI 5000.02.

(n) *Full-rate production decision or full deployment decision.* DODI 5000.02 describes what the MDA assesses at a review prior to this decision point, states that the decision will be documented in an ADM, and identifies the statutory and regulatory requirements associated with this decision.

(o) *Full-rate production or full deployment.* During this part of the production and deployment phase, the remaining production or deployment of the product is completed, leading to full operational capability or full deployment (for software developments).

(p) *Operations and support phase.* The O&S phase begins after the MDA makes the production or deployment decision and is based on an MDA-approved LCSP.

Chapter 2

Acquisition Program Categories and Compliance Requirements

2–1. Relationship to Department of Defense instruction 5000.02, Enclosure 1

This chapter addresses Army-unique implementation of acquisition program categories and compliance requirements in DODI 5000.02, Enclosure 1.

2–2. Acquisition categories

Army MATDEVs will comply with statutory and regulatory requirements that correspond to the program’s designated ACAT. Army MATDEVs may request, and the MDA may approve, tailoring of regulatory requirements. When the MDA approves tailoring of a regulatory requirement, they must also determine how the MATDEVs demonstrate compliance.

a. *Determining acquisition categories for Army programs.* Refer to DODI 5000.02, Enclosure 1 for descriptions and decision authorities for ACAT I through ACAT III acquisition programs. The dollar values used to determine ACAT status for acquisition programs as defined in DODD 5000.02 are based in statute and represent estimates of expected total program expenditures.

(1) Total expenditure calculations for Army acquisition programs begin when ASA (ALT) receives an approved, documented capability requirement. They must include, for example, Overseas Contingency Operations funding (identified by an applicable “color of money”); changes resulting from battle damage replacement; consumption, development efforts, and quantities obtained as QRCs in response to UONs that become enduring capabilities (provided the expenditures are directly traceable to and are accounted for in the total program cost and affordability estimates approved as part of the MDD); DCS, G–8 approved increases in quantity; and funding received from other organizations via a military interdepartmental purchase request or similar means for development efforts or production quantities that are part of an Army-managed acquisition program.

(2) The following are not included in total expenditure calculations for Army acquisition programs: expenditures for urgent needs in response to, for example, Joint Urgent Operational Needs Statement (JUONS), Operational Needs Statements, Directed Requirements, and similar actions (for example, items obtained by the Rapid Equipping Force (REF)), or as otherwise described in AR 71–9, which occurs before an MDD and are not approved by the AROC as enduring capabilities; or expenditures that are not supported by appropriate capability requirements documentation prepared by a CAPDEV and validated and approved by the appropriate approval authority (through the AROC process for non-automated information systems (AIS), or Director, Office of Business Transformation for DBS).

(a) Only research, development, test and evaluation (RDT&E) and PROC funding sources are used in total expenditure calculations for Army non-AIS acquisition programs. For Army non-AIS acquisition programs, total expenditure calculations will reflect the sum of expected RDT&E and PROC expenditures across the program objective memorandum (POM) timeframe and extended planning period for all defined previous, current, and planned increments. Army non-system training aids, devices, simulators, and simulations (TADSS) will be managed as non-AIS materiel systems in accordance with AR 350–38.

(b) For AIS programs, all expenditures, for all increments, regardless of the appropriation or funding source, directly related to the AIS definition, design, development, deployment, operations, and maintenance, are included in the total expenditures calculations. Refer to table 1 of DODI 5000.02, Enclosure 1 for a definition of AIS.

(3) When determined by the Under Secretary of Defense (USD) (AT&L), or designee, IT services acquisition programs that achieve the MDAP threshold will follow the procedures applicable to MDAPs specified in DODI 5000.02. All other acquisitions of services will comply with DODI 5000.74 and AR 70–13. The AAE will determine whether IT services below the MDAP threshold will comply with the provisions of DODI 5000.02 applicable to AIS acquisition programs or with DODI 5000.74 and AR 70–13 provisions applicable to services acquisition.

b. *Milestone decision authority for acquisition categories II and III Army programs.* The AAE or the individual designated by the AAE will review potential ACAT II and ACAT III materiel solutions. The AAE may retain MDA (for example, for any program designated special interest), or delegate MDA, beginning with the MDD. Upon delegation, designated

MDAs will execute and manage their programs in accordance with applicable statutory and regulatory policy requirements. New delegations, revisions to existing delegations, or withdrawal of delegations for Army programs must be made in writing and signed by the AAE.

c. Program reclassification. All potential ACAT changes to Army-managed programs in all ACATs will be reported through the acquisition chain of command to the AAE.

(1) The AAE will notify the DAE when an increase or estimated increase in program cost or a change in acquisition strategy (AS) will result in a possible reclassification of a formerly lower ACAT program to an ACAT I program. The notification will be in accordance with DODI 5000.02, Enclosure 1. Reclassification of a formerly lower ACAT program to an ACAT I program or from a formerly ACAT I program to a lower ACAT occurs upon designation by the DAE.

(2) Potential ACAT changes to Army-managed programs in all ACATs will be reported through the acquisition chain of command to the AAE when the program's cost is within 10 percent of the minimum cost threshold of the next ACAT level for non-DBS programs, or 20 percent for DBS programs.

2–3. Acquisition program information requirements at milestones and other decision points

The DODI 5000.02 Milestone and Phase Information Requirements table lists the statutory and regulatory requirements for the milestone and other decision points during the acquisition process that apply to Army acquisition programs.

a. *Compliance with information requirements.* Army-managed programs will comply with tailored regulatory requirements and statutory requirements, unless statutory requirements are waived in accordance with relevant provisions contained in the statute, or the Secretary of Defense waives acquisition law or regulation in accordance with Section 806 of PL 114–92. Army PMs will propose appropriate waivers of statutory requirements and tailoring of or exemption from regulatory program documentation and compliance requirements listed in the Milestone and Phase Information Requirements tables in DODI 5000.02, or by an Army or OSD proponent.

b. *Tailoring documentation.* Army MDAs will require only the minimal amount of documentation and regulatory compliance necessary to define and execute the program. Documents prepared in support of management reviews and decisions are not to be prepared solely for staff review and approval. Documents are intended for use primarily within the program as planning and management tools that are highly specific to the program and tailored to meet program needs. They will typically be coordinated and staffed with essential individuals only, evolve in parallel with other acquisition activities as information becomes available, and be reviewed and approved by the appropriate authority.

c. *Minimum essential documentation for Army acquisition program execution.* The Army considers the following essential for non-DBS program execution regardless of ACAT—

- (1) A validated, approved, and documented capability requirement.
- (2) A documented AS.
- (3) A documented estimate of life cycle cost and affordability.
- (4) A documented plan for T&E.
- (5) A documented plan for sustainment.
- (6) Documented program cost objectives.

d. *Acceptable format and content.* Program documentation may take any appropriate, written form determined sufficient by the MDA. Many of the information requirements in the DODI 5000.02 Milestone and Phase Information Requirements table can be incorporated into other documents. As an example, the AS is identified as a standalone document in the tabular information requirements, but several strategies may be included or summarized therein (for example, the Total Life Cycle Competition Strategy required by AR 715–31, and the Intellectual Property Strategy). Other examples include incorporating the Cybersecurity Strategy in the documented Program Protection Plan (PPP), or the Net Centric Data Strategy in the Information Support Plan.

e. *Approvals.* The MDA is the final authority for determining the adequacy of program documentation and compliance requirements not required by statute. The AAE is the Army's approval authority for waivers, tailoring recommendations, and exemptions for ACAT IC, and any ACAT II and III or special interest programs for which MDA is not delegated by the AAE. The MDA is the approval authority for waivers, tailoring recommendations, and exemptions when the AAE delegates MDA. The Army Office of the General Counsel, Acquisition Law Group must review any request for waiver, tailoring, or exemption of a statutory requirement, or any regulatory requirement that implements statutory guidance (for example, post-implementation review, termination liability estimate). Army MDAs will document all decisions resulting from acquisition program reviews, including tailoring decisions, in an ADM.

2–4. Acquisition program baselines and baseline breaches

DODI 5000.02, Enclosure 1, APB tables identify the APB requirements and statutory program breach and change definitions that apply to Army programs. All Army-managed acquisition programs will have a current, digitally-signed APB in

the ASA (ALT)-approved APB repository. In addition, MDAPs must establish APB information in the Defense Acquisition Management Information Retrieval (DAMIR) system (available online at <http://www.acq.osd.mil/damir/>). Milestone decision authorities will certify the APBs for the programs they oversee annually via digital signature, unless the MDA determines the APB is inactive. While annual certification of inactive APBs is not required, the reporting of APB information for MDAPs via the DAMIR system continues until no longer required by OSD (see DODI 5000.02 for reporting requirements). The ASARC Executive Secretariat (SAAL–ZSA) is the AAE-designated organization assigned authority for determining when APBs should be declared inactive for programs where the AAE is the MDA. When the AAE delegates MDA, the MDA may determine that all parameters in an APB have been met or are no longer relevant, and declare the APB inactive.

2–5. Reporting requirements

Tables 5–9 in DODI 5000.02, Enclosure 1, summarize statutory and regulatory reporting requirements for programs and specify when the reports are due. Table 5 summarizes statutory and regulatory recurring reporting requirements. Table 6 lists the statutory and regulatory reporting requirements established for exceptions, waivers, and alternative reporting. Table 7 summarizes Cost and Software Data Reporting System requirements. Tables 8 and 9 summarize Earned Value Management reporting requirements. Army programs will comply with these requirements.

2–6. Clinger-Cohen Act compliance

Refer to DODI 5000.02, Enclosure 1, for a summary of requirements levied on all programs that acquire IT, including NSS, at any ACAT level. Amplifying guidance for CCA compliance is detailed in DODI 5000.02, Enclosure 11. Paragraph 12–3 of this regulation contains requirements applicable to Army programs that acquire IT.

Chapter 3 Program Management

3–1. Relationship to Department of Defense Instruction 5000.02, Enclosure 2

This chapter augments the DODI 5000.02, Enclosure 2, description of the policies and procedures applicable to management of Army acquisition programs and describes the Army’s implementation.

3–2. Acquisition chain of command

The chain of command for Army acquisition programs runs upward from the PM, through the PEO, to the AAE. For ACAT I and other designated acquisition programs (for example, those designated special interest), the chain of command continues upward to the DAE.

a. Army acquisition workforce. The AAE appoints the Director, Acquisition Career Management (DACM), to manage the accession, training, education, and career development of the entire Army acquisition workforce. The Army Acquisition Corps (AAC) is a subset of the Army acquisition workforce to which DODI 5000.66 guidelines apply.

b. Critical positions. The AAE designates critical acquisition positions of which key leadership positions (KLPs) are a subset. Army critical acquisition positions and KLPs require specific education, training, and experience requirements and reflect a significant level of authority, responsibility, and accountability for acquisition program success (examples include PEOs, Deputy PEOs, Senior Contracting Officials, and program management and lead staff positions—especially those in ACAT I programs—and PMs of ACAT II and III programs). The AAE also approves centralized selection list (CSL) management of Army acquisition programs. The title “PM” is used by the Army only to identify those persons who are CSL PMs. A project/product director (PD) may manage efforts that the AAE does not designate for CSL management. The Army DACM will centrally select and manage PD positions in coordination with PEOs, similar to the management approach applied to CSL PM positions.

3–3. Assignment of program executive officers

DODI 5000.02, Enclosure 2, addresses requirements for assigning PEOs and DRPMs that report directly to an acquisition executive without being assigned to a PEO. The Army’s PEO and DRPM assignment processes and procedures will comply with these requirements. All of the Army’s PEO and DRPM positions are considered KLPs.

3–4. Assignment of program management

DODI 5000.02, Enclosure 2, addresses requirements for assigning program managers (PMs). Army PM assignment processes and procedures will comply with these requirements. All Army CSL PM positions for ACAT I and II programs

filled by O–6 military personnel, general schedule (GS) 14/15 (or equivalent) civilian personnel, or higher are considered KLPs. The AAE approves CSL management of Army acquisition programs.

3–5. Program office structure and organizations

DODI 5000.02, Enclosure 2, addresses program office structure and organizations, their KLPs, and qualification criteria. Army processes and procedures will be in accordance with these requirements; however, Army MATDEVs will tailor acquisition program organizations to achieve the most effective and efficient structure possible to reflect the skills and capacity required for successful program execution. Joint programs will be managed in accordance with the provisions of a memorandum of agreement (MOA), and will follow DOD and Army acquisition procedures and acquisition chain of command, unless directed otherwise by the AAE or DAE. When OSD designates the Army as the lead component for a Joint program, the Army Joint PMO will develop and staff an MOA that is approved by the MDA. The Defense Acquisition University (DAU) Joint Program Management Handbook provides excellent, in-depth information on Joint Program MOAs and is available at <http://www.dtic.mil/docs/citations/ada437767>.

3–6. Program management responsibilities

Army PMs have overall responsibility and accountability for their systems over the entire life cycle. DODI 5000.02, Enclosure 2, highlights tools PMs will use to facilitate effective program planning and execution.

3–7. International acquisition and exportability

DODI 5000.02, Enclosure 2, addresses international acquisition and exportability considerations, international cooperative program management, and waiver requirements for foreign military sales or direct commercial sales prior to successful completion of OT&E.

a. International acquisition and exportability considerations. Army PMs will integrate international acquisition and exportability considerations throughout the life cycle, and Army processes and procedures will comply with applicable statutory requirements and regulatory requirements that the MDA deems appropriate after approving the requisite tailoring. The ASA (ALT) serves as the SECARMY's single executive for providing export policy oversight; providing policy direction and oversight to the DCS, G–2 on technology transfer. The ASA (ALT) also executes international agreements as delegated signature authority on behalf of the U.S. Government, the DOD, and/or DA for S&T, RDT&E, acquisitions, and/or life cycle logistics cooperation, and serves as the single Army point of contact for endorsing the delegation of disclosure authority for technical controlled unclassified information required by AR 380–10 to proponents or originators of the technical controlled unclassified information.

b. International cooperative programs. An international cooperative program is a technology development or acquisition program that includes participation at any time by one or more allied, coalition, or friendly foreign nations through an international cooperative research, development, and acquisition (ICRDA) agreement. International cooperative programs may use the streamlined procedures for review and approval for appropriate ICRDA agreements in AR 550–51 and AR 70–41. Each ICRDA agreement should be tailored to allow maximum program flexibility.

3–8. Industrial base analysis and considerations

Army PMs will incorporate industrial base analysis, to include capacity and capability considerations, into acquisition planning and execution to support the industrial base objectives enumerated in DODI 5000.02, Enclosure 2. AR 700–90 establishes HQDA basic policies and responsibilities governing management and operation of the Army industrial base, both commercial and Government-owned (organic), including production and depot maintenance operations. It provides a framework for integrating industrial base considerations into Army planning. AR 700–90 also includes Army policy for the following activities: market research; industrial capability assessments; Defense Priorities and Allocations System; Defense Production Act, Title I and Title III; strategic and critical materials; managing Army industrial equipment, plant equipment packages and Army Reserve plants; production base support; selected production engineering; public-private partnerships; and related programs.

3–9. Life cycle management of information and data protection

Army PMs will ensure that all program office documents and records, regardless of media or security classification, are created, maintained, used, and disposed of or preserved in accordance with DOD 5015.02–STD.

Chapter 4 Systems Engineering

4–1. Relationship to Department of Defense instruction 5000.02, Enclosure 3

This chapter corresponds to DODI 5000.02, Enclosure 3, which addresses systems engineering policies and procedures applicable to all programs. It also contains considerations and assigns responsibilities applicable only to Army acquisition programs. The ASA (ALT) Office of the Director, System of Systems Engineering and Integration (SoSE&I) (SAAL–SSI) is the OPR for implementing systems engineering, and where applicable, system of systems (SoS) and family of systems integration and synchronization, common operating environment (COE) architecture, and modeling and simulation planning support across Army acquisition programs.

4–2. Systems engineering plan

The systems engineering plan (SEP) provides the basis for design activities. The SEP will be submitted to the MDA for approval prior to each milestone review, beginning with Milestone A. The Deputy Assistant Secretary of Defense for Systems Engineering (DASD (SE)) will review the documented SEP for all MDAPs. Timelines for submission are specified in DODI 5000.02, Enclosure 2. Before submitting the documented SEP to DASD (SE), the MDAP MATDEV will submit it to the ASA (ALT), Office of the Director, SoSE&I (SAAL–SSI) for review. The Director, SoSE&I also reviews the documented SEP for ACAT II and III programs when the AAE is the MDA. When the AAE delegates MDA to a PEO, the PEO's lead systems engineer reviews the SEP, and the PEO is the approval authority.

4–3. Technical reviews

Refer to DODI 5000.02, Enclosure 3.

a. Preliminary design review. The ASA (ALT) Office of the Director, SoSE&I (SAAL–SSI) will assess PDRs conducted by Army-managed ACAT IC programs and provide the assessment results to the AAE in order to inform him or her of technical risks and the program's readiness to proceed into detailed design.

(1) Army PMs will invite the Office of the Director, SoSE&I to participate in their PDRs and will provide all the program information needed for the completion of the post-PDR assessment.

(2) Army PMs of ACAT ID programs will facilitate Office of the Director, SoSE&I participation in their PDRs and will make available the same information as that provided to DASD (SE).

(3) For Army-managed ACAT II and III programs, the MDA will determine whether to, and if so who will, conduct the post-PDR assessment.

b. Critical design review. The ASA (ALT) Office of the Director, SoSE&I (SAAL–SSI) will assess critical design reviews (CDRs) conducted by Army-managed ACAT IC programs and provide the assessment results to the AAE in order to inform him or her of the status of the system design and whether it is ready to begin developmental prototype hardware fabrication or software coding with acceptable risk.

(1) Army PMs will invite the Office of the Director, SoSE&I to participate in their CDRs and will provide all the program information needed for the completion of the post-CDR assessment.

(2) Army PMs of ACAT ID programs will facilitate Office of the Director, SoSE&I participation in their CDRs and will make available the same information as that provided to DASD (SE).

(3) For Army-managed ACAT II and III programs, the MDA will determine whether to, and if so who will, conduct the post-CDR assessment.

4–4. Configuration management

Refer to DODI 5000.02, Enclosure 3. Army PMs are responsible for materiel solution, IT, and NSS overall system configuration management. The Army CIO/G–6 serves as the configuration control authority for the certified baseline for C4I systems.

4–5. Software

Refer to DODI 5000.02, Enclosure 3. An Army PEO's or DRPM's chief software architect is responsible for overseeing software development, providing guidance, and ensuring consistent implementation of best practices and standards within the PEO's portfolio or program. Army MATDEVs are responsible overall for all software support throughout the life cycle of the system for mission critical computer resources. Army PMs may obtain product support integration and/or software support activity services from a sustainment command to maintain software of systems in sustainment—

a. When a transition plan is negotiated among the MATDEV, the prospective sustaining command, and the assigned software engineering center (when different than the sustaining command).

- b. The first full fiscal year (FY) after the hardware production line closes.
- c. The first full FY after completion of software fielding for systems using the Common Hardware System.

4–6. Reliability and maintainability

Refer to DODI 5000.02, Enclosure 3. The Army adds “availability” and uses the acronym reliability, availability, and maintainability (RAM). The Army’s RAM program is detailed in AR 702–19.

4–7. Program protection

Refer to DODI 5000.02, Enclosure 3. AR 70–77 assigns responsibilities and prescribes additional Army policies for developing plans to protect critical program information (CPI), conducting supply chain risk management, and performing damage assessment activities resulting from a compromise of unclassified program information.

4–8. Modular open systems architectures

Refer to DODI 5000.02, Enclosures 2 and 3.

4–9. Corrosion prevention and control

Refer to DODI 5000.02, Enclosure 3. Section 903, PL 110–417, requires the Assistant Secretary of the Military Department responsible for ALT to appoint a corrosion control and prevention executive with responsibility for corrosion on military equipment, facilities, and infrastructure. The AAE has appointed the Deputy Assistant Secretary of the Army for Acquisition Policy and Logistics (DASA–APL) the Army Corrosion Control and Prevention Executive. Corrosion prevention and control planning for ACAT I programs will be coordinated with the DASA–APL.

4–10. Environment, safety, and occupational health

Refer to DODI 5000.02, Enclosure 3.

a. *Green procurement.* The MATDEVs in all Army acquisition programs will implement green PROC when selecting consumable materials to be used in production and maintenance. Refer to Federal Acquisition Regulation (FAR) subparts 23.4 and 23.7 for policies and procedures for acquiring energy-efficient, water conserving, and environmentally preferable products and services.

b. *National Environmental Policy Act Compliance.* MATDEVs will comply with the procedural requirements for National Environmental Policy Act (NEPA) outlined in Title 32, of Code of Federal Regulations 651 (32 CFR 651). Guidance for preparing programmatic environment, safety and occupational health evaluations (PESHEs), NEPA documentation, and other ESOH requirements is contained in DA Pam 70–3.

c. *Programmatic environment, safety and occupational health evaluation approval authority.* The PEO or DRPM is the approval authority within their respective portfolios or programs for programmatic ESOH evaluations for Army-managed programs in all ACATs. Approval of a PESHE does not eliminate the requirement to obtain AAE acceptance of ESOH high risks. Only the AAE may accept high ESOH risks. Refer to the Defense Acquisition Guidebook, AR 385–10, DA Pam 70–3, and DA Pam 385–16 for further guidance.

d. *Hazardous waste estimates at disposal.* Army MATDEVs will develop and maintain an estimate of hazardous waste generated at the time of disposal (see DOD 7000.14–R, Volume 4, chapter 13, for additional information).

e. *System Safety Management.* Army PMs will establish and manage system safety programs to minimize risks throughout the system life cycle. They will provide the MDA an independent safety assessment from U.S. Army Combat Readiness Center at all program milestones reviews, and use the Army Weapons Systems Safety Review Board to coordinate the Joint process for Army led Joint programs. Refer to DODI 5000.02, Enclosure 3; DODI 5000.69; AR 385–10; and DA Pam 385–16.

f. *Health hazards.* Army MATDEVs will request a health hazard assessment from the Army Public Health Center (Provisional). The Army Public Health Center (Provisional) will provide a toxicity assessment for any new chemical or material entering the Army inventory. Refer to AR 40–5 and AR 40–10.

4–11. Insensitive munitions

Refer to DODI 5000.02, Enclosure 3. The Army lead agent for insensitive munitions is ASA (ALT) (SAAL–ZS). For Army programs, the Army Public Health Center (Provisional) must approve a toxicity clearance before implementing any changes in chemicals and materials used in energetic formulations. A toxicity clearance is a toxicological evaluation of materials prior to their introduction into the Army supply system in order to ensure the safety of Army personnel. Refer to AR 40–5 and the Public Health Center (Provisional) website at <http://phc.amedd.army.mil/topics/lab-sciences/tox/pages/toxclearances.aspx> for more information.

4–12. Item unique identification

Refer to DODI 5000.02, Enclosure 3. Army programs provide the Army standard data key, the unique item identifier (UII) to enable serialized item management; integrate with the DOD unique identification policy that aligns acquisition, maintenance, financial, and logistics processes and ISs; and provide a cornerstone for life cycle traceability. Refer to AR 700–145 for additional details on item unique identification policy for Army programs.

4–13. Spectrum supportability

Refer to DODI 5000.02, Enclosure 3. Also refer to AR 5–12 for Army spectrum certification, supportability, risk assessment, and host nation spectrum regulations. Army MATDEVs must submit a preliminary request for projected frequency use to the Army Spectrum Management Office that adheres to the capabilities in the ICD. The request should be updated before Milestone B.

Chapter 5 Developmental Test and Evaluation

5–1. Relationship to Department of Defense Instruction 5000.02, Enclosure 4

This chapter augments the DODI 5000.02, Enclosure 4, by providing a description of the policies and procedures applicable to developmental testing for Army acquisition programs.

5–2. Overview

Refer to DODI 5000.02, Enclosure 4, for an overview of DT&E.

5–3. Developmental test and evaluation management

Refer to DODI 5000.02, Enclosure 4. Army-specific T&E responsibilities, organizations, policies, and procedures are identified in AR 73–1 and DA Pam 73–1. The senior Army official providing oversight on all Army T&E policy and procedural issues is the Army T&E executive within the Office of the DUSA. The Army T&E executive is the documented TEMP approval authority for ACAT IC and II programs. The Army T&E executive is the component-level signature authority for Army programs on OSD T&E oversight, and DOD-level C4I and IT OIPT programs. The MDA is the documented TEMP approval authority for all programs not under OSD T&E oversight. The T&E WIPT resolves issues and assists Army MATDEVs in developing and coordinating the documented TEMP. The CG, ATEC supports the system acquisition, force development, and experimentation processes through overall management of the Army's T&E programs. Army PMs are responsible for developmental test planning, resourcing, and execution. ATEC is the Army's lead DT&E organization responsible for providing independent developmental testing and evaluation in support of MDAPs.

Chapter 6 Operational and Live Fire Test and Evaluation

6–1. Relationship to Department of Defense instruction 5000.02, Enclosure 5

This chapter augments the DODI 5000.02, Enclosures 5 and 13, by providing descriptions of the policies and procedures applicable to OT&E of Army acquisition programs.

6–2. Application to operational and live fire test and evaluation

DODI 5000.02, Enclosure 5, addresses defense acquisition programs under OSD OT&E or LFT&E oversight. Enclosure 13 of DODI 5000.02 addresses the requirement for an assessment approach, a statutory requirement that is only required for programs responding to urgent needs. The Army's implementation, including Army-specific T&E responsibilities, organizations, policies, and procedures are identified in AR 73–1, DA Pam 73–1, and AR 381–11.

6–3. Operational test and evaluation management

Refer to DODI 5000.02, Enclosure 5. The senior Army official providing oversight on all Army T&E policy and procedural issues is the Army T&E executive within the Office of the DUSA. The Army T&E executive is the documented TEMP approval authority for ACAT IC and II programs. The Army T&E executive is the component-level signature authority for Army programs under OSD T&E oversight, and DOD-level C4I/IT OIPT programs. The MDA is the designated approval authority for the documented TEMP for all programs not under OSD T&E oversight. The T&E WIPT resolves issues and assists Army MATDEVs in developing and coordinating the documented TEMP. The CG, ATEC supports the system acquisition, force development and experimentation processes through overall management of the Army's T&E

programs. In accordance with DODD 5000.01 and AR 73–1, ATEC is the Army’s independent operational test activity, reporting directly to the Vice Chief of Staff, U.S. Army through the Director of the ARSTAF.

6–4. Resources and schedule

Refer to DODI 5000.02, Enclosure 5. The Army’s Test Schedule and Review Committee (TSARC) provides the Army’s centralized management of resources for operational test, force development test or experimentation, and resource support for developmental test not otherwise available. Refer to AR 73–1 for details about the TSARC and 5-Year Test Program.

6–5. Operational and live fire test and evaluation execution

Refer to DODI 5000.02, Enclosures 5 and 13, and chapter 13 of this publication. The ATEC is the Army’s lead test organization for OT&E, including LFT&E.

6–6. Operational test readiness

Refer to DODI 5000.02, Enclosure 5. The Army has established OTRRs in compliance with DODI 5000.02, and designates the chair based upon the ACAT. Refer to AR 73–1 and DA Pam 73–1.

6–7. Test and evaluation master plan evolution through the acquisition milestones

Refer to DODI 5000.02, Enclosure 5; AR 73–1; and DA Pam 73–1.

Chapter 7

Life Cycle Sustainment

7–1. Relationship to Department of Defense Instruction 5000.02, Enclosure 6

This chapter augments DODI 5000.02, Enclosure 6, by providing a description of the policies and procedures applicable to life cycle sustainment planning for Army acquisition programs. AR 700–127 defines transition to sustainment as the deliberate and predictable conditions-based transition of responsibility to execute sustainment from the program manager to USAMC, including operation and maintenance funding for equipment hardware and software life-cycle sustainment. The time period is bounded by initiating transition to sustainment at the FRP decision and is complete no later than initial operation capability plus 3 years. Transition to sustainment will be executed in a manner that is consistent with the requirement in DODD 5000.01 that the PM will be the single point of accountability for accomplishing program objectives for total lifecycle systems management, including sustainment.

7–2. Sustainment across the life cycle

Refer to DODI 5000.02, Enclosure 6. Army PMs have overall responsibility and accountability for their systems over the entire life cycle.

a. Integrated product support. Army MATDEVs will establish an integrated product support program, fully address system life cycle product support, and use a standard Failure Reporting and Corrective Action System software tool, as established by the USAMC, to inform independent logistics assessments, weapons system reviews, and operational sustainment reviews to ensure that reliable systems are produced for Soldiers. Contractors supporting the Government are not required to use the standard software tool, but the contractor’s tool should be compatible with the Government software. Refer to AR 700–127 for the details of Army policy for integrated product support.

b. Depot source of repair. Maintaining adequate organic core depot maintenance capabilities to provide effective and timely response to surge demands, ensuring competitive capabilities, and sustaining institutional expertise is required by 10 USC 2464; DODI 5000.02, Enclosure 6; and DODD 4151.20. Refer to DODI 4151.24 and AR 700–127 for the detailed Army policy and guidance on depot source of repair. A DOD and Army mandated logical decision process supports depot source of repair determinations. Refer to DODD 4151.20 and AR 750–1.

c. Type classification, materiel release, and unit set fielding. Army MATDEVs will employ type classification, materiel release, and unit set fielding in accordance with the requirements detailed in AR 700–142.

7–3. Life cycle sustainment plan

Refer to DODI 5000.02, Enclosure 6; AR 700–127; and DA Pam 700–127 which are to be used in conjunction with this regulation to ensure integral and critical cross-discipline sustainment planning, consideration, review, and execution throughout the life cycle. Army documented LCSPs are initially developed by the CAPDEV, are transferred to the MATDEV at program initiation, will be updated as the program progresses, and will include transition to sustainment conditions and timeline. The MDA approves the documented LCSP.

a. Replaced system sustainment. In conformance with 10 USC 2437 and in coordination with the CAPDEV, the MATDEVs for an MDAP with initial operational capability (IOC) after October 1, 2008, that replace a legacy system, will prepare a Replaced System Sustainment Plan annex to the documented LCSP. The MATDEV must ensure that there are sufficient resources to sustain the legacy system until the new materiel solution is fielded, and it assumes the legacy system's mission responsibility. For additional guidance, detailed requirements, and an outline, refer to 10 USC 2437, AR 700–127, and DA Pam 700–127.

b. Minimizing requirements for special tools, test equipment, unique items, and components. Army MATDEVs will make minimizing the development of special tools and test equipment and new or system-unique support equipment and components a primary objective. Refer to AR 700–127 for additional policy requirements and guidance.

7–4. Sustainment metrics

Refer to DODI 5000.02, Enclosure 6; AR 700–127; and DA Pam 700–127.

7–5. Product support reviews

Refer to DODI 5000.02, Enclosure 6; AR 700–127; and DA Pam 700–127.

Chapter 8

Human Systems Integration

8–1. Relationship to Department of Defense Instruction 5000.02, Enclosure 7

This chapter augments the DODI 5000.02, Enclosure 7, by providing a description of the policies and procedures applicable to HSI for Army acquisition programs.

8–2. General

Refer to DODI 5000.02, Enclosure 7, and AR 602–2. The DCS, G–1 develops, coordinates, and disseminates Army HSI program policy and guidance and has primary staff responsibility for HSI assessments and HSI domain assessments.

8–3. Human systems integration planning

Refer to DODI 5000.02, Enclosure 7, and AR 602–2.

Chapter 9

Affordability Analysis and Investment Constraints

9–1. Relationship to Department of Defense Instruction 5000.02, Enclosure 8

This chapter augments the DODI 5000.02, Enclosure 8, by providing a description of the fundamental concepts and approaches for developing and applying affordability constraints to Army acquisition programs.

9–2. Overview

Refer to DODI 5000.02, Enclosure 8. Army leadership—not the acquisition community or program management—conducts affordability analysis with support and inputs from the programming, resource planning, requirements, intelligence, and acquisition communities.

9–3. Life cycle affordability analysis

Refer to DODI 5000.02, Enclosure 8. The DASA–CE, as the principal advisor on all Army cost and economic analysis activities on behalf of the ASA (FM&C), provides cost and economic analysis support to the Army planning, PPBE, affordability goals and caps development efforts, and other Army decision-making processes. The DCS, G–3/5/7 conducts force integration analyses to assess supportability and affordability for structure, manpower, equipment, fiscal resources, facilities, and training. For all Army programs, the DCS, G–8 presents tentative affordability goals at the MDD, an affordability analysis and proposed affordability goals at Milestone A, and affordability caps for unit production and sustainment costs at program initiation (normally Milestone B).

a. At program initiation, Army MATDEVs will, in accordance with DODI 5000.02 direction, include affordability caps for unit production and sustainment costs in the APB. Affordability caps will be established as fixed cost requirements equivalent to key performance parameters (KPPs). Any programs that do not include a Milestone B decision will receive goals or caps commensurate with their position in the acquisition cycle and their level of maturity.

b. The life cycle affordability of all Army programs is determined within the portfolio where the program resides. The Army will normally make tradeoffs within a portfolio but, if necessary, can and should make tradeoffs across portfolios to provide adequate resources for high priority programs.

9–4. Lower acquisition category programs

Army MDAs will enforce affordability constraints throughout the life cycle of all Army programs in all ACATs.

a. *Affordability-related reporting requirements for Army programs.* Army programs will report the status of their affordability constraints. If a PM concludes, despite efforts to control costs and reduce requirements, an affordability constraint will be exceeded, then the PM will notify the AAE and the MDA to request assistance and resolution.

(1) Army PMs will report the current estimate against their affordability constraints to the ASA (ALT) in support of the annual Long-Range Investment and Requirements Analysis and the POM elements of the PPBE process.

(2) Army PMs for non-delegated ACAT II and ACAT III programs will report status against affordability constraints during PSRs described in paragraph 1–7.

(3) Army PMs for delegated ACAT II programs will report status against affordability constraints in the annual ACAT II review conducted with the DASM and the Deputy Assistant Secretary of the Army for Plans, Programs and Resources (DASA–PPR) described in paragraph 1–7.

(4) Army PMs for delegated ACAT III programs will report their status against average procurement unit cost, program acquisition unit cost, and life cycle cost estimates in the annual report their respective PEOs make to the AAE described in paragraph 1–7.

b. *Actions for programs that do not meet affordability constraints.* In the event that a PM determines the approved affordability constraints cannot be met—even with aggressive cost control and reduction approaches—then technical requirements, schedule, and required quantities must be revisited.

(1) For ACAT II and III programs where the AAE retains MDA, the CSB will support the effort along with any requirements reductions proposed to the requirements validation authority.

(2) For Army programs where the AAE delegates MDA, the MDA revisits technical requirements, schedule, and required quantities supported by appropriate level and composition CSBs established at the MDA’s discretion, along with any requirements reductions proposed to the requirements validation authority. An IPR can be used like a CSB (see para 1–7).

(3) If constraints still cannot be met and the Army cannot afford to raise the program’s affordability caps by lowering constraints elsewhere and obtaining MDA approval, then the program will be terminated.

Chapter 10 Analysis of Alternatives

10–1. Relationship to Department of Defense instruction 5000.02, Enclosure 9

This chapter augments the DODI 5000.02, Enclosure 9, by providing guidance on AOAs for Army acquisition programs.

10–2. Analysis of alternatives procedures

Refer to DODI 5000.02, Enclosures 9 and 13. The DCS, G–8 co-establishes Army-level policy and guidance with the ASA (ALT) for conducting the AOA. Refer to DODI 5000.02, Enclosure 13, and chapter 13 of this publication for alternatives to the AOA during urgent capability acquisitions. The DCS, G–8 establishes cost targets in support of the AOA for all ACATs. Normally, TRADOC performs AOAs; however, AOA study teams may be led by organizations other than TRADOC with the requisite analytic capabilities (for example, Army Materiel Systems Analysis Activity), as required. The G–8 coordinates with the MDA before approving AOA study guidance and study plans (or alternatives thereto). The DCS, G–8 provides oversight for Army conduct and support of the AOAs and other appropriate analyses. Army ACAT II and III programs may use existing or alternative analyses to satisfy the AOA requirement, particularly those offering materiel solutions that enter the acquisition system post-Milestone A. When a program enters the acquisition system post-Milestone A and there is no existing AOA, the CAPDEV may present alternative sources of analysis and the MDA determines their sufficiency.

10–3. Analysis of alternatives funding

The Army has established a separate Army program element (PE) funding line for proposed programs or projects not yet assigned to a PM. The ASA (ALT) and DCS, G–8, in coordination with the Army Budget Office, will ensure programs identified as the Army’s priorities are funded appropriately and accordingly.

Chapter 11 Cost Estimating and Reporting

11–1. Relationship to Department of Defense instruction 5000.02, Enclosure 10

This chapter augments DODI 5000.02, Enclosure 10, by providing a description of the policies and procedures applicable to cost estimating and reporting for Army acquisition programs.

11–2. Cost estimation

Refer to DODI 5000.02, Enclosure 10. The office of the ASA (FM&C) performs the equivalent cost estimating functions to those performed by the office of the Director, Cost Assessment and Program Evaluation at OSD level. AR 11–18 establishes the basis for the U.S. Army Cost and Economic Analysis Program and the DA Cost Analysis Manual (available at <https://www.asafm.army.mil/>) provides a basic framework for implementing the policies of cost and economic analysis concepts, methods, and procedures.

a. Army cost position. On behalf of the ASA (FM&C), the DASA–CE will develop statutory ICEs and component cost analyses in accordance with DODI 5000.02, chair the Army Cost Review Board, and approve the component cost estimate (Army cost position) for all ACAT I programs, other programs where the AAE is the MDA, and ACAT II and below programs approved by the ASA (ALT) to provide an Army Cost Position (ACP).

b. Cost estimates and Army cost position when the Army Acquisition Executive delegates milestone decision authority. For Army programs where the AAE delegates MDA, the PM organization will develop a program cost estimate in accordance with DODI 5000.02 and the DA Cost Analysis Manual. The estimate will be prepared or updated as necessary for milestone reviews and the FRP decision; and for IT programs, at any time an economic analysis is due. It will cover the entire life cycle of the program. Upon approval by the MDA, the program estimate becomes the Army cost position. The MDA may request that the DASA–CE, at the DASA–CE’s discretion, develop cost assessments for any program regardless of its ACAT.

(1) ASA (ALT), ASA (FM&C) or the DCS, G–8 can nominate ACAT II and below programs for ICE or sufficiency reviews by DASA–CE to inform the AROC and ASARC. If approved, DASA–CE, on behalf of the ASA (FM&C), will develop the ICE for Milestones A, B, and C, or FRP/full deployment decision (FDD) reviews for the AAE approved ACAT II and below programs. These costs estimates are intended to assist senior Army leaders in making cost-informed decisions.

(2) Nominations to request a HQDA ICE for ACAT II and below programs will be submitted in accordance with appendix B. Developing, staffing, and presenting an ACP to a Cost Review Board requires approximately 6 months to complete and should be submitted in advance of the desired decision. An alternative to the formal ACP is a DASA–CE sufficiency review which requires less time and provides additional confidence in the accuracy of cost estimates.

(3) ASA (ALT) retains the authority for approving ICE requirements for ACAT II and below programs and for policy and oversight of compliance.

c. Cost estimates for Initial Capabilities Documents. Cost estimates will be developed for ICDs for the AROC and MDD ASARC forums. The DASA–CE will review rough order magnitude (ROM) cost estimates to support each course of action for the ICD. Refer to appendix B for additional guidance on sources for developing ROM cost estimates.

d. Economic useful life. All PEOs and MATDEVs will use economic useful life estimates when developing life cycle cost estimates.

11–3. Cost analysis requirements description

Refer to DODI 5000.02, Enclosure 10, and the DA Cost Analysis Manual.

11–4. Cost reporting

Refer to DODI 5000.02, Enclosure 10, and the DA Cost Analysis Manual. The DASA–CE is the Army focal point for cost reporting policies, concepts, methods, and procedures.

a. Test cost increases. In addition to complying with the referenced publications, PMs will report through their PEOs to the DASM, any expected program total test cost increase greater than 10 percent. After verifying that an expected total program total test cost increase has occurred and that the increase exceeds 10 percent, the DASM will notify the AAE and ensure subsequent notification is provided to the VCSA. See DODI 5000.02, Enclosure 2 for implementation guidance.

b. Additional guidance on test cost increases.

(1) PMs will—

(a) Determine baseline test cost using budget described in approved TEMPs for all ACAT I, II, and III programs for all test-related activities including developmental tests, live fire testing, limited user tests, Initial Operational Test and Evaluation, and Follow-On Operational Test and Evaluation.

- (b) Establish future test cost within 30 days of TEMP approval.
 - (c) Inform the DASM through the PEO at least 90 days prior when the total test cost is expected to increase greater than 10 percent.
 - (d) Calculate cost increase based on TEMP, various program updates, and the test event Work Breakdown Structure as reported in the General Fund Enterprise Business System.
- (2) DASM, Test and Evaluation Coordination Director will—
 - (a) Submit notifications of program total test cost increase greater than 10 percent through the AAE to the VCSA.
 - (b) Coordinate notifications with PM, DA system coordinator, ATEC, and the Office of the DUSA T&E Executive.

Chapter 12

Requirements Applicable to All Programs Containing Information Technology

12-1. Relationship to Department of Defense instruction 5000.02, Enclosure 11

This chapter augments the DODI 5000.02, Enclosure 11, by providing a description of the policies and procedures applicable to Army acquisition programs containing IT.

12-2. Application to programs containing information technology

This chapter applies to Army IT as defined in 40 USC, IS as defined in 44 USC 3502, and NSS as defined in 44 USC 3552.

12-3. Clinger-Cohen Act compliance

Refer to table 10 of DODI 5000.02, Enclosure 1; DODI 5000.02, Enclosure 11; and AR 25-1. Army PMs report CCA compliance to the MDA and the Army CIO. Overall responsibility for recording 40 USC Subtitle III compliance of all Army programs that acquire IT, including NSS, resides with the Army CIO/G-6.

12-4. Cybersecurity

Refer to DODI 5000.02, Enclosures 11 and 14; chapter 14 of this publication; and AR 70-77. All Army IS must be certified and accredited in accordance with AR 25-2 and be categorized based on the National Institute of Standard's Federal Information Processing Standards publication 199, available at <https://csrc.nist.gov/publications/detail/fips/199/final>. For all ACATs, the Army CIO/G-6 will review the Cybersecurity Strategy (an appendix to the documented PPP) prior to milestone decisions or contract awards in accordance with table 2 of DODI 5000.02, Enclosure 1 and Enclosure 11. The Army CIO/G-6 also serves as the approval authority for Army ACAT II and III program Cybersecurity Strategies.

12-5. Trusted systems and networks

Refer to DODI 5000.02, Enclosures 11 and 14, and AR 70-77.

12-6. Department of Defense enterprise software initiative

Refer to DODI 5000.02, Enclosure 11. The primary source for Army commercial IT purchases is the Army Computer Hardware, Enterprise Software and Solutions (CHESS) program, under the management of the Program Executive Officer for Enterprise Information Systems (PEO EIS). Army MATDEVs purchasing commercial hardware and software must satisfy their IT requirements by using CHESS contracts and DOD Enterprise Software Initiative agreements first, regardless of dollar value. A complete list of CHESS contracts and the online statement of non-availability process can be found online at <https://chess.army.mil>.

12-7. Department of Defense data center consolidation

Refer to DODI 5000.02, Enclosure 11. Before obligating funds for data servers, data centers, or the IS technology used therein, Army MATDEVs must obtain prior approval from the Army CIO/G-6 and coordinate with PEO EIS (to ensure compliance with CHESS program requirements). The request must be signed by the Army CIO/G-6 and include a completed Authorization of Funds for Data Centers and Data Server Farms request in accordance with Section 2867, PL 112-81.

12-8. Information technology, including National Security Systems, interoperability

Refer to DODI 5000.02, Enclosure 11. The Army CIO/G-6 is the Army's interoperability certification authority. The CIO/G-6 makes interoperability determinations for all Army IT and NSS systems in all mission areas (Warfighter, business, enterprise, and Defense intelligence).

a. *Coordination.* Army MATDEVs coordinate with the CIO/G-6 to address all Joint interoperability requirements with the combatant commanders, Services, and agencies. An Army system is considered a baseline system when the CIO/G-6 certifies its interoperability. Army MATDEVs will adhere to the requirements of the Army Data Management and Standards Program as stated in AR 25-1.

b. *Army Chief Information Officer assessment process.* Army MATDEVs will provide information through the CIO/G-6 assessment process to support evaluations of systems. This assessment process applies to all ACATs, special interest programs, and other qualifying programs at PEO, DRPM, Army command staff, Army service component command staff, and direct reporting unit staff levels. The Army CIO/G-6 also requires any IS using the Army Enterprise Infrastructure to obtain interoperability and net worthiness certifications before the system or capability can be connected to the Army's network.

Chapter 13

Urgent Capability Acquisition

13-1. Relationship to Department of Defense instruction 5000.02, Enclosure 13

This chapter augments the DODI 5000.02, Enclosure 13 by providing policies and procedures applicable to Army-managed acquisition programs that provide capabilities to fulfill UONs and other QRCs that can be fielded in less than 2 years and are below the cost thresholds of ACAT I programs.

13-2. Urgent operational needs and other quick reaction capabilities

Refer to DODI 5000.02, Enclosure 13. The DCS, G-3/5/7 is the Army decision authority for validating and prioritizing UONs, and documenting the urgent need for a non-standard and/or unprogrammed capability to correct a deficiency or improve a capability that enhances mission accomplishment. The DCS, G-8; DCS, G-4; ASA (ALT); USAMC; or the REF provide the resourcing solution with sustaining and re-procurement guidance. The DCS G-8 will document and approve Directed Requirements for solutions to urgent needs when warranted.

a. *Alternative approaches to the Joint Capabilities Integration and Development System.* AR 71-9 details the Army's approaches to JCIDS, Army-unique policies and approaches to streamlining the process for determining warfighting capabilities, and documenting the urgent need for a non-standard and/or unprogrammed capability to correct a deficiency or improve a capability that enhances mission accomplishment by Army forces.

b. *Rapid Equipping Force.* The Army's REF works directly with Army operational commanders to find solutions to equipping requirements.

(1) To further accelerate requirements identification, the REF 10-Liner authorizes the REF, or other agencies in direct support of the REF, to rapidly equip, insert, and assess current and emerging capabilities.

(2) The REF responds to TRADOC for matters involving command and control functions. TRADOC may also forward recommendations to DCS, G-3/5/7; DCS, G-8; and ASA (ALT) to equip additional units (G-3) or establish an enduring capability and transition a materiel solution into an acquisition program (G-8) executed as part of the deliberate acquisition process.

(3) The Director, REF is delegated the authority from HQDA G-3/5/7 to generate and approve REF 10-Liners as valid CRDs that authorize the initiation of the rapid acquisition process and is responsible for providing the MDA with a recommendation to—

- (a) Terminate an effort.
- (b) Expand equipping to additional units.
- (c) Establish an enduring capability.

(4) The Army's PEO Soldier is the AAE-assigned REF MDA. The PM, REF is a fully-chartered PM reporting directly to PEO Soldier. The PM, REF has the authority to invest in efforts on behalf of the Director, REF that are estimated to have a total cost of less than \$1M of RDT&E or \$2M of other PROC, Army funds. The MDA will be briefed on any REF equipping efforts exceeding this level and determines, within the limits of their AAE-delegated authority, whether or not to approve initiation or refer the requirement to the AAE.

(5) If the AAE determines a requirement is better aligned with a portfolio outside of PEO Soldier's purview, they may transfer program responsibility to another PEO.

13-3. Procedures

Refer to DODI 5000.02, Enclosure 13. Army urgent capability acquisition activities reflect the processes outlined there. Army MDAs will determine procedures for fulfilling urgent needs for a non-standard and/or unprogrammed capability to correct a deficiency or improve a capability that enhances mission accomplishment by Army forces. When there is a strong

threat-based or operationally-driven need to rapidly field a capability solution, MDAs are authorized to implement streamlined procedures designed to accelerate acquisition system responsiveness, consistent with statutory requirements.

Chapter 14

Cybersecurity in the Defense Acquisition System

14–1. Relationship to Department of Defense instruction 5000.02, Enclosure 14

This chapter augments DODI 5000.02, Enclosure 14 by describing the policies and procedures applicable to Army-managed acquisition programs.

14–2. Cybersecurity in Army Programs

Refer to DODI 5000.02, Enclosure 14, and AR 70–77. Cybersecurity is a requirement for all DOD programs and must be fully considered and implemented in all aspects of acquisition programs across the life cycle. PMs have overall responsibility and accountability for cybersecurity and program protection for their systems over the entire life cycle.

a. Cybersecurity is a program management responsibility. PMs, assisted by supporting organizations to the acquisition community, are responsible for the cybersecurity of their programs, systems, and information. This responsibility starts from the earliest exploratory phases of a program, with supporting technology maturation, through all phases of the acquisition. Refer to DODI 5000.02, AR 25–2, and AR 70–77 for additional details.

b. Activities to mitigate cybersecurity risks. PMs will rely on existing cybersecurity standards tailored to reflect analysis of specific program risks and opportunities to determine the level of cyber protections needed for their program information, the system, enabling and support systems, and information types that reside in or transit the fielded system. Appropriate cyber threat protection measures include information safeguarding, designed in system protections, supply chain risk management, software assurance, hardware assurance, anti-counterfeit practices, anti-tamper, and program security related activities such as information security, operations security, personnel security, physical security, and industrial security. Refer to DODI 5000.02 and AR 70–77 for additional details.

c. Protection planning. Refer to DODI 5000.02, Enclosures 3 and 12, and AR 70–77.

d. Actions to implement cybersecurity and related program security across the materiel life cycle. Refer to DODI 5000.2, Enclosure 14, and AR 70–77 for additional details on implementing cybersecurity and related program security before the MDD and during the materiel acquisition life cycle phases and activities.

e. Additional resources for executing cybersecurity and related program security activities. DODI 5000.02, Enclosure 14, provides cybersecurity and related program security resources and publications in tabular form. AR 70–77 includes additional resources and details applicable to Army-managed programs.

14–3. Cybersecurity test and evaluation

Refer to DODI 5000.02, Enclosure 14; the Department of Defense Cybersecurity Test and Evaluation Guidebook; Director of Operational Test and Evaluation Procedures for Operational Test and Evaluation of Cybersecurity in Acquisition Programs; and AR 70–77 for detailed guidance on cybersecurity T&E planning and execution. PEOs and PMs will comply with all phases of cybersecurity testing as outlined in the referenced publications to verify software and ensure secure cyber resilient systems are developed prior to operational testing.

a. Additional guidance.

(1) PMs, assisted by organizations supporting the acquisition community, are responsible for the cybersecurity of their programs, systems, and information. This responsibility starts from the earliest exploratory phases of a program, with supporting technology maturation, through all phases of the acquisition. Acquisition activities include system concept trades, design, development, test and evaluation (T&E), production, fielding, sustainment, and disposal. PMs will pay particular attention to the following areas where a cybersecurity breach or failure would jeopardize military technological advantage or functionality: program information; organizations and personnel; enabling networks; and systems, enabling systems, and supporting systems.

(2) In coordination with the Information Systems Security Manager (ISSM) and Systems Security Engineer (SSE), the system owner is responsible for the development, implementation, and maintenance of the security plan. The security plan provides an overview of the security requirements for the system, system boundary description, the system identification, common controls identification, security control selections, subsystems security documentation, and external services security documentation. The Chief Developmental Tester will ensure that appropriate test planning is performed for assessment of the controls.

(3) Cybersecurity Strategies will be prepared in coordination with the ISSM and SSE. The Cybersecurity Strategy includes cybersecurity requirements, approach, testing, shortfalls, and authorization for the system being acquired and the associated development, logistics, and other systems storing or transmitting information about that system.

(4) The ISSM on behalf of the PM will prepare a Plan of Action and Milestones (POA&M). The POA&M describes the specific measures planned to correct weaknesses or deficiencies noted in the security controls during assessments; and to address known vulnerabilities in the system.

b. Assistance.

(1) The T&E Coordination Director in the Office of the DASM—

(a) Is responsible for ensuring the Cybersecurity Security Plan and Strategy are incorporated in the TEMP.

(b) Coordinates with the PM, ATEC, and DUSA T&E Executive for cybersecurity T&E planning.

(2) The SoSE&I Cyber Focal—

(a) Provides additional cybersecurity assistance and guidance to PMs as appropriate.

(b) Assists the DASM T&E Coordination Director in reviewing TEMPs for cybersecurity T&E planning.

Chapter 15

Unique Conditions Applicable to Army Acquisition

15–1. Army-unique policies

This chapter details policies that are unique to the Army that do not receive similar treatment in DODD 5000.01 or DODI 5000.02. Additional guidance on how to implement the policies is contained in cited references.

15–2. Army acquisition workforce

The AAE appoints the DACM, who manages the accession, training, education, and career development of the Army acquisition workforce. The AAC is a subset of the Army acquisition workforce to which DODI 5000.66 guidelines apply.

15–3. Acquisition-related activities outside the acquisition framework

This general category consists of MATDEV efforts (often incorrectly described as “non-ACAT” and presented as “programs”) that are neither acquisition programs as defined in DODD 5000.01 nor established in accordance with DODI 5000.02. There may be associated funded activities being conducted by MATDEVs, but these are not, to use a common term, “programs of record” (that is, post-MDD acquisition efforts executed within the acquisition framework). While not intended as a complete list, the following, when executed below MDAP funding thresholds, are provided as examples of activities outside the acquisition framework: general S&T development and maturation projects (for example, technology demonstrations, network integration experiments, Joint warfighting experiments, and Joint capability technology demonstrations); Limited Production Instrumentation and Testing Programs; potential materiel solutions that may result in an acquisition program in response to a validated requirement, or requirements in the process of being validated, that have investment funding in the Army budget; an effort having “special interest” to the Congress, the DAE, and the Army’s senior leadership; and efforts of all types that require financial expenditures and resources that are not accounted for in the acquisition framework (for example, expenditures not directly traceable to a specific acquisition program, occurs pre-MDD, Directed Requirements, undertaken in response to a request from another organization that provides funds via military interdepartmental purchase request or similar process, actions based on “Congressional plus-ups,” and so forth).

15–4. Highly sensitive, classified programs

The ASA (ALT) Systems Special Programs Directorate (SAAL–SSP) serves as the Army focal point for all highly sensitive, classified program acquisition matters including programmatic, resourcing, technology integration, and policy. This directorate ensures highly sensitive, classified acquisition programs’ sensitive activities adhere to AR 380–381.

15–5. Program management organization transfers, mergers, disestablishments, or terminations

The AAE is the approval authority for transfer of management responsibility for acquisition programs between Army PEOs, DRPMs, and PMs and for mergers of Army PMOs between PEOs, DRPMs, and PMs. Disestablishment or termination of a PMO occurs after PM management responsibility for all assigned programs has been completed satisfactorily or when directed by the DAE or the AAE. The MATDEV prepares the termination plan. No Army acquisition program will be terminated without the AAE’s approval.

15-6. Re-procurement and restarting terminated acquisition programs

Procuring an additional quantity of items (re-procurement) from a terminated program that does not require additional development is not considered a restart, but rather requires that an amended termination plan be submitted to the DASA-PPR (SAAL-ZR) for ASA (ALT) staffing. A previously terminated program may be restarted when there is an enduring need that restarting the program can satisfy without changing its approved capability document. Updating the capability document to a more current format is acceptable as long as new requirements are not added. Program re-starts must have the required funding identified in the POM or available through reprogramming of current funds.

15-7. Modifications

a. Modification. Modification is defined in AR 750-10. Modifications that require AROC approval in accordance with AR 750-10 will also require MDA approval prior to implementation. For proposed modifications to programs where the AAE serves as MDA, PEOs will forward a request for approval to the DASM.

b. Recapitalization. The Army's recapitalization strategy follows two paths: rebuild and selected-upgrade-program increment.

(1) Rebuild is a near zero time/zero-mile maintenance process defined in AR 750-1 and results in a system with the same model and a new life.

(2) A selected-upgrade-program increment rebuilds the system, significantly increases operational capability (that is, adds capabilities that exceed previously-defined KPP and/or key system attribute objectives or are newly introduced capabilities to address capability shortcomings). A selected upgrade-program increment will follow the criteria set forth in DODI 5000.02 and this regulation. If the program is out of production, follow program restart policies.

c. Continuous technology refreshment. Continuous technology refreshment is the intentional insertion of newer technology into existing systems to improve reliability and maintainability or reduce cost—typically in conjunction with normal maintenance. Continuous technology refreshment cannot be Operation and Maintenance, Army funded when—

(1) It is classified as an investment under expense or investment threshold criteria in accordance with 10 USC 2245a, annual DOD appropriation acts, and DOD 7000.14-R.

(2) The spares or components used in refreshment are centrally managed.

(3) The end item to be refreshed has not been produced and fielded.

(4) The changes are part of a Service Life Extension Program.

(5) The changes are made to increase the performance envelope or mission capability.

(6) If any criteria in paragraph 15-7b(2) apply, then RDT&E funds or PROC funds, as appropriate, will be used in accordance with normal funding criteria.

15-8. Additional Army acquisition policies

The following requirements are applicable to acquisition at Army-level.

a. Integration and Synchronization of Science and Technology.

(1) Science and technology workforce support to cross functional teams (CFTs) and science and technology workgroups. The Deputy Assistant Secretary of the Army (Research and Technology) (DASA(R&T)) will establish S&T's role in supporting CFTs and Experimentation Workgroups to develop the future operational environment, explore new warfighting concepts, and ensure alignment of the S&T portfolio. DASA(R&T) S&T subject matter experts are readily available to review and evaluate emerging technologies relevant to achieving CFT and Experimentation Workgroup goals.

(2) Science and technology planning guidance. (DASA(R&T)) will develop S&T planning guidance for the S&T appendix to the Army Strategic Plan Modernization Annex in the Army Strategic Plan.

(3) Overarching Army Science and Technology Enterprise Strategy. DASA (R&T) will develop an overarching Army S&T Enterprise Strategy, informed by the DCS, G-3/5/7 Threat-Based Strategy. DASA(R&T) will—

(a) Use the DCS, G-3/5/7 Threat-Based Strategy to inform on high priority S&T areas.

(b) Develop and publish an overarching Army S&T Enterprise Strategy that provides guidance to ensure a cohesive and comprehensive approach to technical portfolio planning and oversight; technical workforce development; and S&T infrastructure modernization.

(c) Update the Army S&T Enterprise Strategy annually.

(4) Comprehensive portfolio reviews. The DASA(R&T) will conduct a comprehensive S&T portfolio and program review in support of the POM. DASA(R&T) will—

(a) Establish a Stage-Gate Process to assess the Army S&T Portfolio in support of the POM.

(b) As part of a comprehensive review, present results of the S&T Stage-Gate assessment to the Under Secretary of the Army (USA) and VCSA semiannually, or as directed.

(c) CFTs will recommend prioritization of tasks, and identify underperforming or redundant S&T tasks and recommend divestment, new tasks, or funding adjustments to the USA and VCSA, as well as submission to the ASA (FM&C) for potential realignment of resources.

(5) Army Science Conference. The DASA(R&T) will reestablish the Army Science Conference. The Conference will serve as a venue to promote the collaboration of S&T knowledge across the Army, the DOD, industry, academia, and international allies. The conference will occur every two years and will focus on S&T at the public-releasable level. DASA(R&T) will—

(a) Define the scope of interest to provide focus to the conference.

(b) Plan a multi-day conference involving parties from the Army, DOD, industry, academia, and international allies; the conference will serve as a venue to promote collaboration of S&T across the Army S&T Enterprise.

(c) Provide resources to support operation of the Army Science Conference.

(6) Government-only Technology Symposium. DASA(R&T) will establish an annual, Government-only Technology Symposium pursuant to AR 1–50, to promote threat-based, information exchange between Principal Investigators (PIs) and engagement with the Intelligence Community. DASA(R&T) will—

(a) Define the scope of interest to provide focus to the symposium.

(b) Plan the multi-day conference, involving PIs from across the Army S& T Enterprise. The scope of the symposium will be defined as to ensure information exchange between PIs in high relevance, threat informed S&T areas.

(7) Science and technology metrics. DASA(R&T) will coordinate the deliberate, phased implementation of S& T metrics across the S&T Executing Enterprise—USAMC; Army Research Institute (ARI); Space and Missile Defense Command (SMDC); AMRMC; and Engineering Research and Development Center (ERDC). DASA(R&T) will—

(a) In coordination with USAMC; ARI; SMDC; AMRMC; and ERDC, ensure the deliberate, phased implementation of S&T metrics, using a Stage-Gate assessment process.

(b) Based on results of Gate Assessment, DASA(R&T), determine if S&T project funding should continue.

(c) Track metrics acquired by the Research, Development, and Engineering Command; SMDC Technical Center; AMRMC; ERDC; and U.S. Army Research Institute for the Behavioral and Social Sciences.

(d) Use these S&T metrics to assess organizational performance and effectiveness.

(e) Ensure results of these organizational assessments are reported to DASA(R&T) on a quarterly basis, or upon request.

(f) Contribute to a digital dashboard to be used to assess performance with metrics.

(g) Report, in a decision brief to the USA and VCSA, on initial S&T metrics assessment and preliminary metrics results.

(h) Subsequent to the initial metrics assessment and preliminary metrics results, report S& T metrics in a quarterly decision brief to the USA and VCSA.

(8) Independent science and technology representatives. DASA(R&T) will appoint independent S&T representatives as formal technology advisors to the MDA for all ACAT I, II, and III programs through Milestone B. Advisors will—

(a) Leverage S&T knowledge points at decision forums to provide an independent recommendation for technology readiness levels.

(b) Report results of technology readiness level assessments to DASA(R&T).

(9) Technology readiness assessments. DASA(R&T) will coordinate with USAMC; DCS, G–1 (ARI); SMDC; AMRMC; and U.S. Army Corps of Engineers ERDC to brief the ASARC on the results of the acquisition program's technology readiness assessment. The DASA(R&T) will—

(a) In coordination with USAMC, ARI, SMDC, AMRMC, and ERDC, brief the ASARC on the results of relevant acquisition program technology readiness assessments.

(b) Provide sufficient information to allow the ASARC to verify Technology Readiness Level 6 for all critical technology components.

b. Prohibition on use of acquisition program funding for contractor support to capability developers. In order to eliminate conflicts of interest in capability development, PMs are prohibited from funding augmented contractor support to capability developers at TRADOC Centers of Excellence. PMs will ensure that any such program funding of contractor support to capability developers at TRADOC Centers of Excellence is immediately terminated.

c. Low Observable and Counter Low Observable technology considerations. Any system, program, plan, or project related to Low Observable or Counter Low Observable technology must be assessed using DODI S–5230.28 and classified accordingly. Questions concerning classification should be directed to the ASA (ALT) Army Low Observable/Counter Low Observable OPR (SAAL–SSP), for resolution.

d. System of systems and family of systems synchronization. All MATDEVs for systems that exchange information, regardless of their place in the life cycle, must design and MDAs will only approve programs that incorporate SoS and family of systems synchronization.

e. Common operating environment. The COE is an Army initiative that conforms to DODI 5000.02, Enclosure 11. The COE will be used to develop and integrate ISs into an SoS network from a top-down system of systems engineering approach. The Executive Director, SoSE&I, provides the direction for compliance with the Army COE.

f. Chemical, biological, radiological, and nuclear system survivability. Programs identified as mission critical by a CDD or capabilities production document (CPD) have to meet survivability criteria. The U.S. Army Nuclear and Combating Weapons of Mass Destruction Agency issues survivability criteria for high altitude electromagnetic pulse, other initial nuclear weapons effects, and chemical, biological, radiological, and nuclear contamination as appropriate. The MATDEVs will obtain and use these criteria when designing and testing materiel solutions (refer to AR 70–75).

g. Intelligence and security support. Army organizations with organic or intelligence and security matrix assets will provide the multi-discipline intelligence and security and research and technology protection support to those programs they support per AR 381–11 and the AR 380-series of publications.

h. Transportability. All new systems, major modifications, upgrades to current systems, nondevelopmental items (NDIs), commercial items, and re-procurements designated as transportability problem items must obtain transportability approval from the Director, Surface Deployment and Distribution Command Transportation Engineering Agency (SDDCTEA) (the DOD Secretariat for the Engineering for Transportability Program) in accordance with DODI 4540.07 and AR 70–47. MATDEVs may request a transportability and deployability assessment of transportability problem items from SDDCTEA before Milestone B. Transportability approval from SDDCTEA is required before a Milestone C.

i. Army training aids, devices, simulators, and simulations. The PEO for simulation, training and instrumentation (STRI) is the Army's OPR for training and testing enablers. PEO STRI is also the AAE-delegated MDA for ACAT III test community acquisition projects (refer to AR 73–1).

(1) The capability requirements for system TADSS (including other training technologies, such as gaming technologies) and training support requirements to be procured as part of an acquisition program are documented within the appropriate capabilities document and Systems Training Plan (required through TRADOC). Army PEOs, DRPMs, and PMs retain authority and responsibility for the PROC and life cycle management of their system TADSS that do not transition to Army programmed life cycle support. On a reimbursable basis, they–

(a) Will collaborate with PEO STRI during concept formulation of all future system TADSS and system TADSS eligible for or expected to transition to Army programmed life cycle support, unless the AAE approves an exception.

(b) May have PEO STRI acquire a required TADSS solution to fulfill a system requirement.

(2) Army non-system TADSS are procured as a materiel system in accordance with AR 350–38.

(3) PM instrumentation, targets, and threat simulators (ITTS) is the Army's OPR for the research, development, production, and fielding of test assets and investments in support of the Army's developmental and operational testing.

(a) PM ITTS will provide cyber blue vulnerability assessment capabilities in support of acquisition of all systems in all life cycle phases.

(b) PM ITTS's Threat Systems Management Office is the Army's designated lead agent for Cyber Red Team operations support to acquisition and for the acquisition life cycle of products and services that represent the threat during testing of all systems in all life cycle phases.

j. Army Standardization Program. The Army Standardization Program is conducted under the authority and scope of the Defense Standardization Program as established by 10 USC 2451 through 10 USC 2454 and 10 USC 2456 through 10 USC 2457; DODI 4120.24; DODM 4120.24; and DODD 5000.01. A senior official within USAMC serves as the Army Standardization Executive with responsibility and authority for organizing, overseeing, and directing the Army Standardization Program. A senior official will be appointed as the standards executive within each Army acquisition organization to assist the Army Standardization Executive.

k. Soldier Enhancement Program. The FY 1990 National Defense Authorization Act mandated establishment of the Soldier Enhancement Program to provide an impetus for increasing the combat effectiveness of Army Infantrymen/Soldiers through the PROC of lighter, more lethal weapons, and improved equipment including lighter, more comfortable load-bearing equipment, field gear, survivability items, communications equipment, navigational aids, and training capabilities. PEO Soldier will procure a limited quantity of items for Soldier Enhancement Program feasibility and suitability evaluation and type classification when appropriate. Refer to DA Pam 73–1 for additional details on how the Army fulfills the Soldier Enhancement Program mandate.

l. Clothing and individual equipment. CIE items are relatively low-cost items that are worn and used by the individual Soldier in accordance with AR 670–1, CTA 50–900, CTA 50–909, or CTA 50–970.

(1) The decision authority for clothing bag, mess, dress, service, and optional purchase uniform items is the CSA. The Army Uniform Board (AUB) is the primary review forum for clothing bag, mess, dress, service, and optional purchase uniform items. The AUB resolves issues and makes recommendations to the CSA. The CSA approves the initiation, adoption, and all modifications to these items.

(2) PEO Soldier is the MDA for ACAT III organizational clothing and individual equipment (OCIE) and when MDA is delegated by the AAE, for ACAT II OCIE. The MDA determines the review forum for OCIE.

(3) DA Form 5965 (Basis of Issue for Clothing and Individual Equipment (CIE)) will be used to coordinate and document the basis of issue (BOI) for new CIE items.

m. Remote weapons stations development and production. PM Soldier Weapons is the Army's designated lead for development and production of all remotely-operated conventional small arms weapons stations. PM Soldier Weapons is responsible for consolidating and managing all remote weapons station acquisitions.

n. Development, acquisition, and fielding of weapon and information systems that use batteries. The U.S. Army Communication-Electronics Command's Power Sources Center of Excellence maintains a current preferred power sources list available at <http://battery.army.mil>. Army MATDEVs will coordinate system battery requirements and consult with the Power Center of Excellence to identify an appropriate power source early in the design of the system.

o. Developing, acquiring, and fielding weapon and information systems having battlefield electric power generating requirements. DODD 4120.11 requires all DOD components to maximize use of the DOD standard family of mobile electric power generating sources or obtain PM, Expeditionary Energy and Sustainment Systems (E2S2) approval before procuring a generating source outside the standard family. All Army MATDEV organizations will establish a continuing relationship with the PM, E2S2 throughout the acquisition life cycle for all battlefield electric power generating sources (excluding batteries, which are addressed in para 15-8I).

p. Developing, acquiring, and fielding unmanned ground systems and integrating mission capability packages. The Office of the PM, Force Projection is responsible for the acquisition life cycle for unmanned ground systems. The PM Force Projection office will establish MOAs with each Army PEO; the REF; the Joint Improvised-Threat Defeat Agency; the U.S. Army Research, Development and Engineering Command; and other MATDEVs when sensors, emitters, manipulators, or radios from another responsible PM are hosted on Army unmanned ground systems, or when unmanned and optionally manned appliqué systems are hosted on existing manned Army systems.

q. Developing, acquiring, and fielding weapon and information systems having geospatial information and services requirements. The Army's focal point for geospatial information and services is the Army Geospatial Information Officer. The Geospatial Information Officer, works with CAPDEVs and MATDEVs to ensure effective and cost-efficient integration of enterprise geospatial information and services capabilities.

r. Developing, acquiring, and fielding weapon and information systems having assured position, navigation, and timing requirements. The Army OPR for assured position, navigation, and timing (PNT) requirements is the DRPM, PNT. MATDEVs will coordinate with DRPM, PNT and establish integration strategies for Assured PNT capabilities.

s. Developing or modifying conventional ammunition. PEO, Ammunition is the OPR for centralized tracking and reporting of the Army's efforts to include demilitarization when developing or modifying conventional ammunition. Refer to DODI 5000.02 and DODM 4160.28, Volume 1.

t. Army responsibilities as the Department of Defense's executive agent for the Chemical and Biological Defense Program. Under 50 USC 1522, the Army is designated as the DOD executive agent (EA) to coordinate and integrate RDT&E and acquisition requirements of the Military Departments for chemical and biological defense programs. For roles and responsibilities associated with the Chemical and Biological Defense Program, refer to DODD5160.05E.

u. Army responsibilities as Department of Defense's executive agent for biometrics. Under DODD 8521.01E, the SECARMY is designated as the EA for DOD biometrics. As the EA, the Army coordinates and integrates development and acquisition requirements of common biometrics enterprise systems in cooperation with other Services to support common, Service, and Joint requirements.

v. Assigning popular names. Except for aerospace vehicles, the AAE is the approval authority for popular names for Army major items of equipment. Criteria and categories for consideration during selection of popular names for Army equipment are covered in DODM 4100.39. The AAE can approve exceptions to the suggested criteria or categories. Final approval authority for assignment of popular names for military aerospace vehicles is OSD Public Affairs. AR 70-50 contains Army designation and naming policy for aerospace vehicles.

w. Acquisition lessons learned. All Army PMs will, at a minimum, conduct after action reviews after all milestone events and program terminations. MATDEVs submit Army acquisition and materiel lessons learned via the Army Acquisition Lessons Learned Portal website maintained by the U.S. Army Materiel Systems Analysis Activity center. The website is available at <http://web.amsaa.army.mil/all.html>.

x. Army Acquisition Program Master List. The Army Acquisition Program Master List (AAPML) is the Army master list of acquisition programs and other authorized acquisition activities, regardless of the life cycle phase or acquisition status. Inclusion on the AAPML does not constitute program new-start approval and does not constitute authority to commit, obligate, or expend funds.

(1) The ASARC Executive Secretariat will maintain the AAPML.

(2) PEOs are responsible for reviewing and updating their AAPML data when changes occur or at least quarterly in coordination with PSRs.

(3) All programs in the AAPML will include program numbers to facilitate linking and aligning programmatic information across financial systems. Information regarding accessibility to AAPML source information for linkage can be obtained from the ASA(ALT) Acquisition Reporting and Assessments directorate.

(4) Acquisition special access programs and technology efforts managed in accordance with DODD 5205.07, are exempt from posting to the AAPML.

y. *Forward operations team.* The DASM will plan, prepare, and, when appropriate, recommend to the ASA (ALT) the establishment of a mission-specific ASA (ALT) forward operations teams (FOT) in support of designated Theater Army, Field Army, and/or Army Force headquarters.

(1) During prolonged operations, and when directed by the ASA(ALT), the DASM will establish, deploy, and provide oversight to an ASA(ALT) FOT to connect and synchronize PEO and PM fielding, sustainment planning, and execution efforts in support of the above organizations. The FOT will assist these organizations with planning and coordinating Army program management activities during major military operations.

(2) When deployed, the FOT serves as the principal systems support-related acquisition advisor to the respective supported headquarters. The FOT is the single point of accountability for all ASA (ALT) organizations, activities, and personnel, and are responsible to coordinate reach-back and call-forward for ASA (ALT) organizations.

(3) During operations where an ASA (ALT) FOT is deployed, the PEO/PM will ensure all operational support activities are reported to and coordinated with the FOT.

(4) Refer to ATP 4–70 for additional details.

Appendix A

References

Section I

Required Publications

AR 5–12

Army Management of the Electromagnetic Spectrum (Cited in para 4–13.)

AR 10–87

Army Commands, Army Service Component Commands, and Direct Reporting Units (Cited in para 1–4*p*(2).)

AR 25–1

Army Information Technology (Cited in para 1–5*f*.)

AR 25–2

Information Assurance (Cited in para 12–4.)

AR 70–77

Program Protection (Cited in para 1–4*i*.)

AR 71–9

Warfighting Capabilities Determination (Cited in 1–4*n*(2).)

AR 73–1

Test and Evaluation Policy (Cited in para 5–3.)

AR 385–10

The Army Safety Program (Cited in para 1–4*m*(2).)

AR 700–127

Integrated Product Support (Cited in para 1–4*k*.)

AR 700–142

Type Classification, Materiel Release, Fielding, and Transfer (Cited in para 1–4*p*(2).)

CJCSI 3170.01I

Joint Capabilities Integration and Development System (JCIDS) (Cited in para 1–4*n*(2).) (Available at <https://dap.dau.mil/>.)

DA Pam 73–1

Test and Evaluation in Support of System Acquisition (Cited in para 5–3.)

DA Pam 385–16

System Safety Management Guide (Cited in para 4–10*c*.)

DA Pam 700–127

Integrated Product Support Procedures (Cited in para 7–3.)

DODD 5000.01

The Defense Acquisition System (Cited in title page.) (Available at <http://www.esd.whs.mil/dd/dod-issuances/>.)

DODI 5000.02

Operation of the Defense Acquisition System (Cited in title page.) (Available at <http://www.esd.whs.mil/dd/dod-issuances/>.)

DODI 5000.69

DOD Joint Services Weapon and Laser System Safety Review Processes (Cited in para 4–10*e*.) (Available at <http://www.esd.whs.mil/dd/dod-issuances/>.)

DODI 5000.75

Business Systems Requirements and Acquisition (Cited in para 1–1.) (Available at <http://www.esd.whs.mil/dd/dod-issuances/>.)

Manual for the Operation of the Joint Capabilities Integration and Development System (JCIDS)

(Cited in para 1-4n(2).) (Available at https://dap.dau.mil/policy/documents/2015/jcids_manual_with_erata_through_20151218.pdf.)

Section II

Related Publications

A related publication is a source of additional information. The user does not have to read it to understand this publication. Unless otherwise indicated, DA publications are available on the Army Publishing Directorate website (<http://armypubs.army.mil>). DOD publications are available at <http://www.esd.whs.mil/dd/dod-issuances/>. USC material and Public Law is available at <https://www.gpo.gov/fdsys/>.

AR 1-1

Planning, Programming, Budgeting, and Execution System

AR 1-50

Army Conference Policy

AR 5-22

The Army Force Modernization Proponent System

AR 11-2

Managers' Internal Control Program

AR 11-18

The Cost and Economic Analysis Program

AR 12-1

Security Assistance, Training, and Export Policy

AR 15-39

Department of the Army Intergovernmental and Intragovernmental Committee Management Program

AR 25-30

Army Publishing Program

AR 25-400-2

The Army Records Information Management System (ARIMS)

AR 40-5

Preventive Medicine

AR 40-10

Health Hazard Assessment Program in Support of the Army Acquisition Process

AR 40-60

Army Medical Materiel Acquisition Policy

AR 40-61

Medical Logistics Policy

AR 70-12

Fuels and Lubricants Standardization Policy for Equipment Design, Operation, and Logistics Support

AR 70-13

Management and Oversight of Service Acquisitions

AR 70-25

Use of Volunteers as Subjects of Research

AR 70-41

International Cooperative Research, Development, and Acquisition

AR 70-47

Engineering for Transportability Program

AR 70–50
Designating and Naming Defense Military Aerospace Vehicles

AR 70–75
Survivability of Army Personnel and Materiel

AR 71–32
Force Development and Documentation

AR 115–11
Geospatial Information and Services

AR 350–1
Army Training and Leader Development

AR 350–38
Policies and Management for Training Aids, Devices, Simulators, and Simulations

AR 380–10
Foreign Disclosure and Contacts with Foreign Representatives

AR 380–381
Special Access Programs (SAPS) and Sensitive Activities

AR 381–11
Intelligence Support to Capability Development

AR 550–51
International Agreements

AR 602–2
Human Systems Integration in the System Acquisition Process

AR 670–1
Wear and Appearance of Army Uniforms and Insignia

AR 690–950
Career Program Management

AR 700–90
Army Industrial Base Process

AR 700–139
Army Warranty Program

AR 700–145
Item Unique Identification

AR 702–11
Army Quality Program

AR 702–19
Reliability, Availability, and Maintainability

AR 711–6
Army Participation in the Defense Logistics Agency Weapon System Support Program

AR 715–9
Operational Contract Support Planning and Management

AR 715–31
Army Competition Advocacy Program

AR 750–1
Army Materiel Maintenance Policy

AR 750–10
Army Modification Program

ATP 4-70

Assistant Secretary of the Army for Acquisition, Logistics and Technology Forward Support to Unified Land Operations

CTA 8-100

Army Medical Department Expendable/Durable Items

CTA 50-900

Clothing and Individual Equipment

CTA 50-909

Field and Garrison Furnishings and Equipment

CTA 50-970

Expendable/Durable Items (Except Medical, Class V, Repair Parts, and Heraldic Items)

DA Cost Analysis Manual

(Available at <https://www.asafm.army.mil/>.)

DA Pam 25-1-1

Army Information Technology Implementation Instructions

DA Pam 25-40

Army Publishing Program Procedures

DA Pam 25-403

Guide to Recordkeeping in the Army

DA Pam 70-3

Army Acquisition Procedures

DA Pam 600-3

Officer Professional Development and Career Management

DA Pam 700-142

Instructions for Type Classification, Materiel Release, Fielding and Transfer

Defense Acquisition Acronyms and Terms

(Available at <https://dap.dau.mil/glossary/pages/default.aspx>.)

Defense Acquisition Guidebook

(Available at <https://dag.dau.mil/>.)

DFARS 207.1

Acquisition Plans (Available at <http://www.acq.osd.mil/>.)

DFARS 227.71

Rights in Technical Data (Available at <http://www.acq.osd.mil/>.)

DFARS 227.72

Rights in Computer Software and Computer Software Documentation (Available at <http://www.acq.osd.mil/>.)

DFARS 246.7

Warranties (Available at <http://www.acq.osd.mil/>.)

DFARS 252.211-7003

Item Unique Identification and Valuation (Available at <http://www.acq.osd.mil/>.)

DOD 5015.02-STD

Electronic Records Management Software Applications Design Criteria Standard

DOD 7000.14-R

Department of Defense Financial Management Regulations (FMRs)

DODD 4120.11

Standardization of Mobile Electric Power (MEP) Generating Sources

DODD 4151.20

Maintenance of Military Materiel

DODD 4270.5

Military Construction

DODD 5160.05E

Roles and Responsibilities Associated with the Chemical and Biological Defense Program (CBDP)

DODD 5205.07

Special Access Program (SAP) Policy

DODD 5400.11

DOD Privacy Program

DODD 7045.14

The Planning, Programming, Budgeting, and Execution (PPBE) Process

DODD 8521.01E

DOD Biometrics

DODI S-5230.28

Low Observable (LO) and Counter Low Observable (CLO) Programs

DODI 4120.24

Defense Standardization Program (DSP)

DODI 4151.24

Depot Source of Repair (DSOR) Determination Process

DODI 4540.07

Operation of the DOD Engineering for Transportability and Deployability Program

DODI 4650.01

Policy and Procedures for Management and Use of the Electromagnetic Spectrum

DODI 5000.64

Accountability and Management of DOD Equipment and Other Accountable Property

DODI 5000.66

Defense Acquisition Workforce Education, Training, Experience, and Career Development Program

DODI 5000.73

Cost Analysis Guidance and Procedures

DODI 5000.74

Defense Acquisition of Services

DODI 5200.39

Critical Program Information (CPI) Identification and Protection within Research, Development, Test, and Evaluation (RDT&E)

DODI 5400.16

DOD Privacy Impact Assessment (PIA) Guidance

DODI 8320.04

Item Unique Identification (IUID) Standards for Tangible Personal Property

DODI 8330.01

Interoperability of Information Technology (IT), Including National Security Systems (NSS)

DODI 8500.01

Cybersecurity

DODM 4100.39

Federal Logistics Information System (FLIS) Procedures

DODM 4120.24

Defense Standardization Program (DSP) Procedures

DODM 4140.01

DOD Supply Chain Materiel Management Procedures: Delivery of Materiel

DODM 4160.28, Volume 1

Defense Demilitarization: Program Administration

FAR Part 2.101

Definitions (Available at <http://farsite.hill.af.mil>.)

FAR Part 7.1

Acquisition Plans (Available at <http://farsite.hill.af.mil>.)

FAR Part 12.211

Technical Data (Available at <http://farsite.hill.af.mil>.)

FAR Part 19

Small Business Programs (Available at <http://farsite.hill.af.mil>.)

FAR Part 23.4

Use of Recovered Materials and Biobased Products (Available at <http://farsite.hill.af.mil>.)

FAR Part 23.7

Contracting for Environmentally Preferable Products and Services (Available at <http://farsite.hill.af.mil>.)

FAR Part 27.4

Rights in Data and Copyrights (Available at <http://farsite.hill.af.mil>.)

FAR Part 39.2

Electronic and Information Technology (Available at <http://farsite.hill.af.mil>.)

FAR Part 46.7

Warranties (Available at <http://farsite.hill.af.mil>.)

International Armaments Cooperation Handbook

(Available at <http://oai.dtic.mil/oai/oai?&verb=getrecord&metadatatprefix=html&identifier=ada430944>)

MIL–HDBK–217

Reliability Prediction of Electronic Equipment (Available at <http://quicksearch.dla.mil/qssearch.aspx>.)

MIL–STD–882E

System Safety (Available at <http://quicksearch.dla.mil/qssearch.aspx>.)

MIL–STD–2105D

Hazard Assessment Tests for Non-Nuclear Munitions (Available at <http://quicksearch.dla.mil/qssearch.aspx>.)

MIL–STD–3018(2)

Parts Management (Available at <http://quicksearch.dla.mil/qssearch.aspx>.)

OMB Circular A–11

Preparation, Submission, and Execution of the Budget (Available at <http://www.whitehouse.gov>.)

OMB Circular A–131

Value Engineering (Available at <https://georgewbush-whitehouse.archives.gov/omb/circulars/a131/a131.html>.)

PL 104–106, Section 4306

Value engineering for Federal agencies

PL 105–270, Sections 1–6

Federal Activities Inventory Reform Act of 1998

PL 107–347, Section 208

Privacy provisions

PL 109–364, Section 802

Additional requirements relating to technical data rights

PL 110–417

Duncan Hunter National Defense Authorization Act for Fiscal Year 2009

PL 112–81

National Defense Authorization Act for Fiscal Year 2012

PL 114–92

National Defense Authorization Act for Fiscal Year 2016

32 CFR 651

Environmental Analysis of Army Actions (Available at <http://www.ecfr.gov>.)

10 USC 135

Under Secretary of Defense (Comptroller)

10 USC 181

Joint Requirements Oversight Council

10 USC 1722a

Special requirements for military personnel in the acquisition field

10 USC 1735

Education, training, and experience requirements for critical acquisition positions

10 USC 2220

Performance based management: acquisition programs

10 USC 2245a

Use of operation and maintenance funds for purchase of investment items: limitation

10 USC 2320

Rights in technical data

10 USC 2321

Validation of proprietary data restrictions

10 USC 2366a

Major defense acquisition programs: certification required before Milestone A A1 approval

10 USC 2366b

Major defense acquisition programs: certification required before Milestone B approval

10 USC 2399

Operational test and evaluation of defense acquisition programs

10 USC 2430

Major defense acquisition program defined

10 USC 2432

Selected acquisition reports

10 USC 2433

Unit cost reports

10 USC 2434

Independent cost estimates; operational manpower requirements

10 USC 2435

Baseline description

10 USC 2437

Development of major defense acquisition programs

10 USC 2451

Defense supply management

10 USC 2452

Duties of Secretary of Defense

10 USC 2453

Supply catalog: distribution and use

10 USC 2454

Supply catalog: new or obsolete items

10 USC 2456

Coordination with General Services Administration

10 USC 2457

Standardization of equipment with North Atlantic Treaty Organization members

10 USC 2464

Core logistics capabilities

10 USC 2466

Limitations on the performance of depot-level maintenance of materiel

10 USC 2546a

Customer-oriented acquisition system

10 USC 3013

Secretary of the Army

10 USC 3014

Office of the Secretary of the Army

10 USC 3022

Financial management

40 USC

Public Buildings, Property, and Works

40 USC Subtitle III

Clinger-Cohen Act of 1996

41 USC 432

Value engineering

41 USC 434

Modular contracting for information technology

44 USC 3502

Definitions

44 USC 3552

Definitions

50 USC 1522

Conduct of chemical and biological defense programs

Section III

Prescribed Forms

Unless otherwise indicated, DA Forms are available on the Army Publishing Directorate website (<http://armypubs.army.mil>).

DA Form 5965

Basis of Issue for Clothing and Individual Equipment (CIE) (prescribed in para 15–8I(3).)

Section IV

Referenced Forms

Unless otherwise indicated, DA forms are available on the Army Publishing Directorate (APD) website (<http://armypubs.army.mil>).

DA Form 11–2

Internal Control Evaluation Certification

DA Form 2028

Recommended Changes to Publications and Blank Forms

Appendix B

Guidance for Developing Cost Estimates

B–1. Developing rough order magnitude cost estimates

In order to provide early insight into the cost of future systems, TRADOC will provide ROM cost estimates to support each course of action and ICD. DASA–CE will review the estimates for completeness. TRADOC will also provide DASA–CE with the sources used to derive the ROM cost. Estimates will be provided, as appropriate, to the AROC and ASARC when convened. Sources of information for these estimates may include but are not limited to:

- a. AOA.
- b. PMOs.
- c. S&T community.
- d. Market research.
- e. Similar systems.
- f. RFP data, when not restricted.

B–2. Independent cost estimates and for Acquisition Category I programs and cost estimates for lower acquisition category programs

PMOs will continue to follow procedures for Title X requirements for ICEs for ACAT I programs and Special Interest ACAT II programs. The AAE may select ACAT II and below programs for ICEs as well. For AAE approved ACAT II and below programs, the DASA–CE, on behalf of the ASA (FM&C), will develop ICEs for Milestones A, B, and C, and FRP decision reviews.

B–3. Nomination of Acquisition Category II and below programs

ASA(ALT), ASA(FM&C) or the DCS, G–8 can nominate ACAT II and below programs for an ICE prepared by DASA–CE in the form of an ACP to assist senior Army leaders in making cost-informed decisions. For AAE approved ACAT II and below programs identified as requiring an ICE, DASA–CE will develop estimates for corresponding Milestone A, B, C, or FRP decision/FDD PE. Program office and HQDA staffs will follow current processes for conducting Cost Review Boards and follow DASA–CE cost timelines and documentation requirements.

a. Nominations will be submitted through the DASM (SAAL–ZS) to the office of the Deputy Assistant Secretary of the Army (Plans, Programs and Resources) (SAAL–ZR) for a recommendation to the AAE. Nominations will be submitted at the general officer or senior executive service level. ASA (FM&C) and DCS, G–8 should take into consideration the resources required by program offices and the HQDA staff to complete an ICE when nominating programs. A DASA–CE sufficiency review is an alternative to a formal ACP and may provide sufficient confidence in the accuracy of cost estimates.

b. Nominations will be submitted no later than 9 months prior to the decision review. The package will include the following:

- (1) Program name.
- (2) PE code.
- (3) Rationale for the ACP requirement.
- (4) Event that requires the cost estimate.
- (5) The date the estimate is required.
- (6) The nominating official point of contact with name, phone number, and email.
- (7) The nominating official's signature.
- (8) Date of decision review.

c. ASA (ALT) will review the nominated program(s) and the AAE will make one of the following decisions:

- (1) Approve the request.
- (2) Offer an alternative method, such as a DASA–CE sufficiency review.
- (3) Reject the request.

Appendix C

Status of Policy Statements

Policy statements incorporated within this regulation are listed in table C-1.

Table C-1
Status of incorporated and rescinded policy statements

Policy statement: SECARMY, 17 June 2016 memorandum
Subject: Assessment of the Army Requirements Oversight Council
Status: Incorporated with this publication

Policy statement: SECARMY, 12 September 2017 memorandum
Subject: Army Directive 2017-22 (Implementation of Acquisition Reform Initiatives 1 and 2)
Status: Incorporated with this publication

Policy statement: SECARMY, 15 November 2017 memorandum
Subject: Army Directive 2017-29 (Acquisition Reform Initiative #3: Improving the Integration and Synchronization of Science and Technology)
Status: Incorporated with this publication

Policy statement: SECARMY, 15 November 2017 memorandum
Subject: Army Directive 2017-30 (Acquisition Reform Initiative #4: Streamlining Test and Evaluation and Minimizing Redundant Testing)
Status: Incorporated with this publication

Policy statement: SECARMY, 15 November 2017 memorandum
Subject: Army Directive 2017-31 (Acquisition Reform Initiative #5: Aligning Sustainment Policy to Foster Cost Efficiency and Improved Readiness)
Status: Incorporated with this publication

Policy statement: SECARMY, 15 November 2017 memorandum
Subject: Army Directive 2017-34 (Acquisition Reform Initiative #7: Improving Cost Estimation and Resourcing)
Status: Incorporated with this publication

Policy statement: SAAL-ZS 23 April 2018 memorandum
Subject: Interim Policy for Test and Evaluation Initiatives
Status: Incorporated with this publication

Policy statement: SAAL-ZR 4 May 2018 memorandum
Subject: Policy Guidance on Improving Cost Estimation and Resourcing
Status: Incorporated with this publication

Policy statement: SAAL-ZSA, 11 May 2018 memorandum
Subject: Policy for Combining Initial Capabilities Document -Army Requirements Oversight Council and Materiel Development Decision - ASARC
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #1, Task 2 (b) (1); Streamlining the Development and Approval of Capability Requirements
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (b); Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (c): Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (d); Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (d); Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum

Table C-1
Status of incorporated and rescinded policy statements—Continued

Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (e), Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (j): Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (g); Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (k); Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 15 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (i); Improving the Integration and Synchronization of Science and Technology
Status: Incorporated with this publication

Policy statement: SAAL-ZT 16 May 2018 memorandum
Subject: Interim Policy Implementation for Acquisition Reform Initiative #3, Task 4 (f); Improving the Integration and Synchronization of Science and Technology,
Status: Incorporated with this publication

Appendix D

Program Manager's Bill of Rights

D–1. Program manager rights

PMs have the right to—

- a.* A single, clear line of authority from the DAE.
- b.* Authority commensurate with their responsibilities.
- c.* Timely decisions by senior leadership.
- d.* Be candid and forthcoming without fear of personal consequences.
- e.* Speak for their program and have their judgments respected.
- f.* The best available training and experience for the job.
- g.* Adequate financial and personnel resources.

D–2. Post-Milestone B authorities

After Milestone B, authorities available to the PM include—

- a.* The authority to object to the addition of new program requirements that would be inconsistent with the parameters established at Milestone B and reflected in the performance agreement, unless such requirements are approved by the appropriate CSB (under 3–10); and
- b.* The authority to recommend to the appropriate CSB reduced program requirements that have the potential to improve program cost or schedule in a manner consistent with program objectives.

Appendix E

Internal Control Evaluation for Non-Major Defense Acquisition Programs at Milestone Decision Reviews

E-1. Function

The function covered by this evaluation is the acquisition of non-MDAPs (ACATs II and III).

E-2. Key internal controls

The key internal controls for this function are the milestone documentation requirements specified in DODI 5000.02, as tailored and documented by the MDA.

E-3. Internal control evaluation process

These key internal controls must be evaluated using the milestone decision review (MDR) process and documented on DA Form 11-2 (Internal Control Evaluation Certification). These internal control evaluations should be included in the MATDEV's 5-year Internal Control Plan (see AR 11-2). Because these internal control evaluations are conducted as part of MDRs, they follow the schedule established by each program and not the uniform FY schedule used normally in internal control plans. The ADM serves as the documentation for the evaluation. All documentation required by the MDA for each MDR must be retained on file in the program office for the life of the program.

Appendix F

Internal Control Evaluation Process for Major Defense Acquisition Programs at Milestone Decision Reviews

F–1. Function

The function covered by this evaluation is the acquisition of MDAPs (ACAT I).

F–2. Key management controls

The key internal controls for this function are the milestone documentation requirements specified in DODI 5000.02.

F–3. Internal control evaluation process

These key internal controls must be evaluated using the MDR process and documented on DA Form 11–2 (Internal Control Evaluation Certification). These internal control evaluations should be included in the MATDEV's 5-year Internal Control Plan (see AR 11–2). Because these internal control evaluations are conducted as part of MDRs, they will follow the schedule established by each program and not the uniform FY schedule used normally in internal control plans. The ADM will serve as the documentation for the evaluation. All documentation required by the MDA for each MDR must be retained on file in the program office for the life of the program.

Glossary

Section I

Abbreviations

AAC

Army Acquisition Corps

AAE

Army acquisition executive

AAPML

Army Acquisition Program Master List

ACAT

acquisition category

ACP

Army Cost Position

ADM

acquisition decision memorandum

AIS

automated information systems

AMRMC

Army Medical Research and Materiel Command

AOA

analysis of alternatives

APB

acquisition program baseline

AR

Army regulation

ARI

Army Research Institute

AROC

Army Requirements Oversight Council

ARSTAF

Army Staff

AS

acquisition strategy

ASA (ALT)

Assistant Secretary of the Army (Acquisition, Logistics and Technology)

ASA (FM&C)

Assistant Secretary of the Army (Financial Management and Comptroller)

ASA (IE&E)

Assistant Secretary of the Army (Installations, Energy and Environment)

ASARC

Army Systems Acquisition Review Council

ATEC

Army Test and Evaluation Command

AUB

Army uniform board

BOI
basis of issue

C4I
command, control, communications, computers, and intelligence

CAPDEV
capability developer

CCA
Clinger-Cohen Act

CDD
capability development document

CDR
critical design review

CFR
Code of Federal Regulations

CFT
cross functional team

CG
commanding general

CHESS
Computer Hardware, Enterprise Software and Solutions

CIE
clothing and individual equipment

CIO
Chief Information Officer

CJCSI
Chairman of the Joint Chiefs of Staff Instruction

CMO
chief management officer

COE
common operating environment

CPD
capabilities production document

CPI
critical program information

CRD
capabilities requirements document

CSA
Chief of Staff, Army

CSB
Configuration Steering Board

CSL
centralized selection list

CTA
common tables of allowances

DA
Department of the Army

DA Pam

Department of the Army pamphlet

DACM

Director, Acquisition Career Management

DAE

Defense Acquisition Executive

DAMIR

Defense Acquisition Management Information Retrieval

DASA(R&T)

Deputy Assistant Secretary of the Army (Research and Technology)

DASA–APL

Deputy Assistant Secretary of the Army for Acquisition Policy and Logistics

DASA–CE

Deputy Assistant Secretary of the Army for Cost and Economics

DASA–PPR

Deputy Assistant Secretary of the Army for Plans, Programs and Resources

DASD (SE)

Deputy Assistant Secretary of Defense for Systems Engineering

DASM

Deputy for Acquisition and Systems Management

DAU

Defense Acquisition University

DBS

Defense Business System

DCS

Deputy Chief of Staff

DFARS

Defense Federal Acquisition Regulation Supplement

DOD

Department of Defense

DODD

Department of Defense directive

DODI

Department of Defense instruction

DOTMLPF–P

doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy

DRPM

direct reporting program manager

DT&E

developmental test and evaluation

DUSA

Deputy Under Secretary of the Army

E2S2

Expeditionary Energy and Sustainment Systems

EA

executive agent

EMD
engineering and manufacturing development

ERDC
Engineering Research and Development Center

ESOH
environment, safety and occupational health

FAR
Federal Acquisition Regulation

FDD
Full deployment decision

FOT
forward operations team

FRP
full-rate production

FY
fiscal year

FYDP
Future Years Defense Plan

GO
general officer

GS
general schedule

HQDA
Headquarters, Department of the Army

HSI
human systems integration

ICD
initial capabilities document

ICE
independent cost estimate

ICRDA
international cooperative research, development, and acquisition

IM
information management

IOC
initial operational capability

IPR
in-process review

IS
information system

ISSM
Information Systems Security Manager

IT
information technology

ITTS
instrumentation, targets, and threat simulators

JCIDS

Joint Capabilities Integration and Development System

JROC

Joint Requirements Oversight Council

JUONS

Joint Urgent Operational Needs Statement

KLP

key leadership position

KPP

key performance parameter

KPR

knowledge point review

LCSP

life cycle sustainment plan

LFT&E

live fire test and evaluation

MATDEV

materiel developer

MDA

milestone decision authority

MDAP

Major Defense Acquisition Program

MDD

materiel development decision

MDR

milestone decision review

MEDCOM

U.S. Army Medical Command

MIL-STD

Military Standard

MOA

memorandum of agreement

NDI

nondevelopmental item

NEPA

National Environmental Policy Act

NSS

National Security Systems

O&S

operations and support

OCIE

organizational clothing and individual equipment

OIPT

overarching integrated product team

OPR

office of primary responsibility

OSD

Office of the Secretary of Defense

OT&E

operational test and evaluation

OTRR

operational test readiness review

OUSD (AT&L)

Under Secretary of Defense (Acquisition, Technology and Logistics)

PD

project/product director

PDR

preliminary design review

PE

program element

PEO

program executive officer

PEO EIS

Program Executive Officer for Enterprise Information Systems

PESHE

programmatic environment, safety and occupational health evaluation

PI

Principal Investigator

PL

Public Law

PM

program, project, or product manager

PMO

program, project, or product management office

PNT

position, navigation, and timing

POA&M

Plan of action and milestones

POM

program objective memorandum

PPBE

planning, programming, budgeting, and execution

PPP

Program Protection Plan

PROC

Procurement

PSR

program status review

QRC

quick reaction capability

RAM

reliability, availability, and maintainability

RDA

research, development, and acquisition

RDT&E

research, development, test and evaluation

REF

Rapid Equipping Force

RFP

request for proposal

ROM

rough order magnitude

S&T

science and technology

SDDCTEA

Surface Deployment and Distribution Command Transportation Engineering Agency

SECARMY

Secretary of the Army

SEP

systems engineering plan

SES

senior executive service

SMDC

Space and Missile Defense Command

SoS

system of systems

SoSE&I

System of Systems Engineering and Integration

SR

sustainment review

SSE

Systems security Engineer

STRI

simulation, training and instrumentation

T&E

test and evaluation

TADSS

training aids, devices, simulators, and simulations

TEMP

test and evaluation master plan

TM

technical manual

TMRR

technology maturation and risk reduction

TRADOC

Training and Doctrine Command

TSARC

Test Schedule and Review Committee

TSG

The Surgeon General

UII

unique item identifier

UON

urgent operational need

USA

Under Secretary of the Army

USAMC

U.S. Army Materiel Command

USC

United States Code

USD

Under Secretary of Defense

VCSA

Vice Chief of Staff, Army

WIPT

working-level integrated product team

Section II**Terms****Acquisition function**

A group of related acquisition workforce activities having a common purpose within the DOD acquisition system (under DODI 5000.66).

Acquisition position

A designated civilian or military billet that is in the DOD acquisition system, has acquisition duties, and falls in an acquisition position category established by the Under Secretary of Defense for Acquisition and Technology (see DODI 5000.66).

Acquisition program

A directed, funded effort that provides a new, improved, or continuing materiel, weapon or IS, or service capability in response to an approved need.

Architecture

An architecture is the minimal set of rules governing the arrangement, interaction, and interdependence of the parts or elements which ensure that a conformant system satisfies a specified set of requirements, tasks, operational elements, and information flows required to accomplish or support a warfighting function. A technical architecture for example, identifies the services, interfaces, standards, and their relationships. It provides the technical guidelines for implementation of systems upon which engineering specifications are based, common building blocks are built, and product lines are developed.

Armaments cooperation

Cooperative research, development, test, and evaluation of defense technologies, systems, or equipment, such as the Coalition Warfare Initiative; joint production follow-on support of defense articles or equipment; and test and PROC of foreign equipment, technology, or logistics support (see AR 70–41 for additional information).

Army Acquisition Corps

A subset of the Army acquisition workforce composed of acquisition professionals in at least the grade of O–4 or GS–13 or broadband equivalent. Requirements for AACs membership are as follows: at least Level II certified in any Army Acquisition Career Field, four years of acquisition experience, a bachelor's degree, 24 semester hours in a business discipline, or 24 semester hours in a technical career field and 12 semester hours in a business discipline.

Army Acquisition Workforce

The personnel component of the acquisition system. The acquisition workforce includes permanent civilian and military members who occupy acquisition positions, are members of the AAC, or are in acquisition development programs.

Army command

An Army force, designated by the SECARMY, performing multiple Army Service 10 USC functions across multiple disciplines. Responsibilities are those established by the SECARMY.

Army interoperability certification

Confirmation that the candidate system has undergone appropriate testing and that the applicable standards and requirements for compatibility, interoperability, and integration have been met.

Army service component command

An Army force designated by the SECARMY comprised primarily of operational organizations serving as the Army component of a combatant command or subunified command. If directed by the combatant commander, serves as a Joint forces land component command or Joint task force. Command responsibilities are those assigned to the combatant commander and delegated to the Army service component command and those established by the SECARMY.

Army Systems Acquisition Review Council

Top level DA review body for acquisition programs where the AAE or DAE is the MDA. It is chaired by the ASA (ALT) and convened at formal milestone or other program reviews to provide information and develop recommendations for decisions by the AAE.

Basis of issue

The authority that prescribes the number of items to be issued to an individual, a unit, or a military activity. BOI is stated in authorization documents.

Capability developer

Responsible for analyzing, determining, prioritizing warfighting requirements for DOTLMPF-P requirements, personnel, facilities, and policy implications within the context of the force development process. Also responsible for representing the end user during the full development and life cycle process (counterpart to generic use of MATDEV).

Capability development document

A document that captures the information necessary to develop a proposed program(s), normally using an evolutionary AS. The CDD outlines an affordable increment of militarily useful, logistically supportable and technically mature capability.

Capability production document

A document that addresses the production elements specific to a single increment of an acquisition program.

Certification

A process that determines that an individual meets all requirements and standards established for a given process or action have been completed.

Chief information officer assessment

An established matrix of criteria used to evaluate program compliance with statutory and regulatory acquisition requirements.

Chief management officer

The principal advisor to the SECARMY on the effective and efficient organization of the Army's business operations and initiatives for the business transformation of the Army.

Clothing and individual equipment

Used as a collective term that includes personal clothing, optional clothing, organizational clothing, and individual equipment items that are an integral part of the design of the individual Soldier as a weapons platform.

Commercial item

Any item, other than real property, that is of a type customarily used for nongovernmental purposes and that has been sold, leased, or licensed to the general public; or has been offered for sale, lease, or license to the general public; or any item evolved through advances in technology or performance and that is not yet available in the commercial marketplace, but will be available in the commercial marketplace in time to satisfy the delivery requirements under a government solicitation. This definition also includes services in support of a commercial item, of a type offered and sold competitively in substantial quantities in the commercial marketplace based on established catalog or market prices for specific tasks performed under standard commercial terms and conditions. This does not include services that are sold based on hourly rates without an established catalog or market price for a specified service performed. (See DAU's Glossary of Defense Acquisition Acronyms and Terms and the FAR Part 2.101.)

Common operating environment

An approved set of computing technologies and standards that will enable secure and interoperable applications to be developed rapidly and executed across a variety of computing environments: server, client, mobile devices, sensors, and platforms.

Corrosion

The impairment, degradation, or damage of materials (metallic and nonmetallic) as a result of exposure to a natural or induced environment, owing to the individual or combined effects of chemical, electrochemical, or biological attacks on the material.

Corrosion prevention and control planning

All steps taken early and throughout the life cycle of an acquisition program to arrange for the future prevention and control of corrosion.

Critical program information

Elements or components of a research, development, and acquisition (RDA) program that, if compromised, could cause significant degradation in mission effectiveness, shorten the expected combat-effective life of the system, reduce technological advantage, alter program direction significantly, or enable an adversary to defeat, counter, copy, or reverse engineer the technology or capability. Includes information about applications, capabilities, processes, and end-items. Also includes elements or components critical to a military system or network mission effectiveness and technology that would reduce the U.S. technology advantage if it came under foreign control. (See DODI 5200.39.)

Critical technologies

Those technologies that may pose major technological risk during development, particularly during the EMD phase of acquisition.

Defense Acquisition Guidebook

A text developed to aid in the understanding and implementation of DOD acquisition practices under the DODD 5000 series. This text, also available in web-accessed electronic format available at <https://dag.dau.mil/>, provides insight to a life cycle view and functional roles within the life cycle of acquisitions.

Defense Acquisition Management Retrieval

DOD initiative that provides enterprise visibility to acquisition program information. The DAMIR streamlines acquisition management and oversight by leveraging web services, authoritative data sources, data collection, and data repository capabilities. The DAMIR identifies various data sources that the Acquisition community uses to manage MDAPs and provides a unified web-based interface through which to present that information.

Defense Acquisition System

The DOD uses the Defense Acquisition System to manage the acquisition of weapon systems and AISs. The Defense Acquisition System is an event-based process. Acquisition programs proceed through a series of milestone reviews and other decision points that may authorize entry into a significant new program phase. Details of the reviews, decision points, and program phases are found in DODI 5000.02.

Defense Business Systems

Those ISSs, other than an NSS, operated by, for, or on behalf of DOD, including financial systems, mixed systems, financial feeder systems, and IT and Information Assurance infrastructure. DBS support business activities such as acquisition, financial management, logistics, strategic planning and budgeting, installations and environment, and human resource management.

Direct reporting unit

Army organizations that provide broad general support to the Army in a single, unique discipline and exercise authorities as specified in regulation, policy, delegation, or another issuance.

Director, Acquisition Career Management

The official appointed by the AAE to assist in the performance of duties as they relate to the training, education, and career development of the acquisition workforce.

Domain

For Army enterprise architecture purposes, a group of systems—or SoS—of a similar nature or focused on satisfying similar objectives. These four domains are primarily used within the DOD Information Technology Standards Registry (<https://gtg.csd.disa.mil/>): C4I, weapon systems, modeling and simulation, and sustainment. For HSI purposes, a group of

seven areas that integrate human considerations into the system acquisition process. The domains are: manpower, personnel capabilities, training, human factors engineering, system safety, health hazards, and Soldier survivability.

Facility

Includes the permanent, semi-permanent, or temporary real property assets required to operate and support the materiel system, including conducting studies to define types of facilities or facility improvements, locations, space needs, utilities, environmental requirements, real estate requirements, and equipment. One of the traditional elements of logistics support. (See DAU's Glossary of Defense Acquisition Acronyms and Terms.)

Family of systems

A set or arrangement of independent systems that can be arranged or interconnected in various ways to provide different capabilities. The mix of systems can be tailored to provide desired capabilities, dependent on the situation. An example of a family of systems is a brigade combat team that includes combat and combat support systems. Although these systems can independently provide militarily useful capabilities, in collaboration they can more fully satisfy a more complex and challenging capability: to detect, localize, track, and engage the enemy.

Headquarters, Department of the Army

As used in this regulation, includes the Secretariat and ARSTAF activities.

Health hazard assessment

The process used within the Army to identify, assess, and eliminate or control health hazards associated with the life cycle management of materiel items such as weapon systems, munitions, equipment, clothing, training devices, and other materiel systems.

Heraldic items

Insignia (including, but not limited to, branch, grade, unit, and shoulder sleeve insignia), appurtenances, medals and decorations, and other awards required or authorized for uniform wear.

Human systems integration

A comprehensive management and technical strategy to ensure that human performance (the burden the design imposes on manpower, personnel, and training), and safety and health aspects are considered throughout the system design and development processes.

Individual equipment

Equipment designed to protect or support the Warfighter in battlefield situations; for example, load-bearing equipment, helmets, skis, and canteens. The essential characteristic of individual equipment is suitability for the function or intended use; appearance is a lesser priority. Individual equipment is requisitioned, issued, repaired, cleaned, and replaced using operations and maintenance, Army funds based on allowances related to the organizational mission and environment.

Information technology

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

Infrastructure

Fundamental facilities, systems, and related services necessary for the Army to function. For purposes associated with the CCA of 1996, shared computers, ancillary equipment, software, firmware, and similar procedures, services, people, business processes, facilities (to include building infrastructure elements), and related resources used in the acquisition, storage, manipulation, protection, management, movement, control, display, switching, interchange, transmission, or reception of data or information in any format, including audio, video, imagery, or data, whether IT or NSS.

Initial capabilities document

Documents the need for a materiel approach to a specific capability gap derived from an initial analysis of materiel approaches executed by the operational user and, as required, an independent analysis of materiel alternatives. It defines the capability gap in terms of the functional area, the relevant range of military operations, desired effects, and time. The ICD summarizes the results of the DOTMLPF-P analysis and describes why non-materiel changes alone have been judged inadequate in fully providing the capability.

Initial operational capability

The criteria and schedule for when a program must attain IOC is defined as the program's CDD and CPD. It is the first attainment of the capability (as declared by the IOC organization) by a modified table of organization and equipment unit and supporting elements to operate and maintain a production item or system effectively provided that—

- a. The item or system has been type classified—“Standard” or approved for limited production.
- b. The unit and support personnel have been trained to operate and maintain the item or system in an operational environment.
- c. The unit can be supported in an operational environment in such areas as special tools, test equipment, repair parts, documentation, and training devices. This designation is usually applied at a point in the Defense Acquisition Model that is after the FRP decision review and implies that the unit is combat ready.

In-process review

Review body for ACAT III programs and ACAT II programs when the AAE delegates MDA. Convened at each formal milestone and at other critical points to evaluate status and make recommendations to the MDA. Convened at each formal milestone, at other critical points, and at least annually to evaluate status and make recommendations to the MDA. An IPR is also commonly called a program review.

Installation

A fixed or relatively fixed location together with its real estate, buildings, structures, utilities, and improvement thereon. It is usually identified with an existing or potential organization and missions or functions. (See DAU’s Glossary of Defense Acquisition Acronyms and Terms.)

Integrated process and product team

A working-level team of representatives from all appropriate functional disciplines working together to build successful and balanced programs, identify and resolve issues, and provide recommendations to facilitate sound and timely decisions.

Integrated product support

A unified and iterative approach to management and technical activities to—

- a. Influence operational and materiel requirements, system specifications, and the ultimate design or selection (in the case of NDI or commercial item).
- b. Define the support requirements best related to system design and to each other.
- c. Develop and acquire the required support.
- d. Provide required operational phase support for best value.
- e. Seek readiness and cost improvements in the materiel system and support systems throughout the operational life cycle.

Intellectual property

An expression of a new and useful concept that can be legally protected such that the originator (an inventor or author, for example) is granted certain exclusive rights.

International Armaments Cooperation

Cooperative research, development, test, and evaluation of defense technologies, systems, or equipment, such as the Coalition Warfare Initiative; joint production follow-on support of defense articles or equipment; and test and PROC of foreign equipment, technology, or logistics support. (See AR 70–41 for additional information.)

Interoperability

The ability of Army systems, units, or forces to provide data, information, materiel, and services to and accept the same from other systems, units, or forces and to use data, information, materiel, and services so exchanged to enable them to operate effectively together.

Item unique identification

A system of marking and registering items delivered to DOD with UIIs that have machine-readable data elements to distinguish an item from all other like and unlike items.

Key performance parameters

An attribute or characteristic of a system that is considered critical or essential to the development of an effective military capability and those attributes that make a significant contribution to the characteristics of the future Joint Force as defined in the Capstone Concept for Joint Operations. KPPs must be testable to enable feedback from T&E efforts to the requirements process. The KPPs are validated by the JROC for JROC Interest documents, and by the DOD component for Joint Integration, Joint Information, or Independent documents. Capability development and CPD KPPs are included verbatim in the APB.

Key system attribute

An attribute or characteristic considered crucial in support of achieving a balanced solution/approach to a KPP or some other key performance attribute deemed necessary by the sponsor. Key system attributes provide decision makers with an additional level of capability performance characteristics below the KPP level and require a sponsor 4–Star, Defense Agency commander, or Principal Staff Assistant to change.

Knowledge point review

An event-based capability development review conducted to permit senior Army leadership to make informed decisions on requirements in support of the acquisition process. Army leadership uses KPR information to align requirements and resources early in the program development cycle. The review's focus is to maximize the Army's investment in weapon systems, IT, and DBSs by achieving the best capability at an affordable cost through cost-informed trades and capability prioritization.

Life cycle management

A management process, applied throughout the life (systems development, production, delivery, sustainment, and disposal) of a system (products, processes, and/or services) that bases all programmatic decisions on the anticipated mission-related and economic benefits (cost, schedule, performance, risk, and supportability) derived over the life of a system.

Limited Production Instrumentation and Testing Program

Effort that provides capability in response to a requirement from the testing community. May include test instrumentation, targets, and threat with limited production quantities. A process that takes a holistic look at the investment in S&T and the life cycle management of equipment and systems to ensure the costs of programs are considered over a 30-year period.

Major instrumentation

Test instrumentation with total costs that exceed \$1.5M/year or \$7.5M over lifetime.

Market research

A process for gathering data on product characteristics, suppliers' capabilities, and the business practices that surround them, plus the analysis of that data to make acquisition decisions. Market research has two phases: market surveillance and market investigation.

Materiel developer

The RDA command, agency, or office assigned responsibility for the system under development or being acquired. The term may be used generically to refer to the RDA community in the materiel acquisition process (counterpart to the generic use of CAPDEV).

Milestone decision authority

The person vested with the authority to make milestone decisions. This may be the DAE, the component acquisition executive (for the Army, this is the AAE), or the PEO.

Minor instrumentation

Test instrumentation with total cost that is less than \$1.5M/year or \$7.5M over lifetime.

Mission critical computer resources

Elements of computer hardware, software, or services with a function, operation, or use that involves intelligence activities or crypto logical activities related to national security, command and control of military forces; or equipment that is an integral part of a weapon or weapon system.

National Environmental Policy Act

Federal law that requires environmental factors be weighted equally when compared to other factors in the decision-making process. The NEPA process enables a program to systematically examine potential adverse environmental effects occurring from all acquisition activities.

Nondevelopmental item

Any previously developed item of supply used exclusively for government purposes by a Federal Agency, a state or local government, or a foreign government with which the U.S. has a mutual defense cooperation agreement; any item described above that requires only minor modifications or modifications of the type customarily available in the commercial marketplace in order to meet the requirements of the processing department or agency. (See DAU's Glossary of Defense Acquisition Acronyms and Terms and the FAR Part 2.101.)

Optional purchase uniform items

Uniform items authorized for wear by the individual but that are not a part of the initial or supplemental clothing issue. Optional purchase uniform items are not centrally procured but may be obtained through the Army and Air Force Exchange Service or authorized commercial sources.

Organizational uniforms, clothing, and equipment

The uniforms, clothing, and equipment listed in the CTA, which are issued to an individual on a loan basis and remain the property of the organization. Commanders issue organizational clothing and equipment in accordance with the allowances and directives published in the appropriate CTA. When issued, organizational clothing is worn when prescribed by the

commander in accordance with Army regulations, technical manuals (TMs), and the CTA. Examples of organizational uniforms are the maternity work uniform, hospital duty, and food service uniforms, modular load carriage equipment, and cold-weather clothing.

Program protection

The integrating process for managing risks to DOD warfighting capability from foreign intelligence collection; hardware, software, and cyber vulnerability or supply chain exploitation; and battlefield loss throughout the system life cycle.

Program Protection Plan

A risk-based, comprehensive, living plan to protect CPI that is associated with an RDA program. The PPP is used to develop tailored protection guidance for dissemination and implementation throughout the program for which it is created. The layering and integration of the selected protection requirements documented in a PPP provide for the integration and synchronization of CPI protection activities throughout the DOD. (See DODI 5200.39 and AR 70-77.)

Program, project, or product manager

An HQDA CSL manager for a system or program. A PM may be subordinate to the AAE, PEO, or DRPM. Refers to the management level of intensity the Army assigns to a particular weapon system or IS. As a general rule, a program manager is a GO or SES member; a project manager is an O-6, a GS-15, or the broadband or pay band equivalent; a product manager is an O-5, a GS-14, or the broadband or pay band equivalent.

Programmatic environment, safety and occupational health evaluation

Documents data generated by ESOH analyses conducted in support of program execution—regardless of size, type, or number of ESOH risks that are anticipated or known for the system. The PESHE must include, at a minimum, identification of ESOH risks and their status; and, identification of hazardous materials, wastes, and pollutants (discharges/emissions/noise) associated with the system and its support as well as the plans for minimization and/or safe disposal.

Project/product director

An ASA (ALT)/AAE centralized selection board manager, generally for an acquisition program of record that has yet to transition to sustainment and still has cost, schedule, and performance responsibilities. As a general rule, a project director is an O-6, a GS-15, or the broadband/pay band equivalent and may be subordinate to a PEO or DRPM; a PD is an O-5, a GS-14, or the broadband/pay band equivalent and may be subordinate to a PEO, project manager, or project director.

Re-procurement

Re-procurement of an item is authorized when there is a continuing need, based on an updated performance specification or purchase description from the last PROC. PROC should not require any RDT&E funds other than budget activity 6.5 RDT&E funding for market surveys and associated testing.

Security assistance

Subset of a larger, more general category called security cooperation and consists of a group of programs, authorized by law, which allows the transfer of defense articles and services, including training, to friendly foreign governments or international organizations. The statutory authority for security assistance is provided primarily under the Foreign Assistance Act of 1961 as amended and the Arms Export Control Act of 1976 as amended. The Security Assistance Program is an important instrument of U.S. foreign and national security policy. (See AR 12-1.)

Serialized item management

A program established by DOD where the Military Departments and Defense Agencies identify populations of select items (parts, components, and end-items); mark all items in each population with a UII/unique item identification; and generate, collect, and analyze maintenance, logistics, and usage data about each specific item.

Software

A set of computer programs, procedures, data, and associated documentation concerned with the operation of a data processing system (for example, compiler, library routines, manuals, circuit diagrams); usually contrasted with hardware.

Software support activity

An organization assigned the responsibility for post-production software support.

Special tools

A tool designed to perform a specific task for use on a specific end item or a specific component of an end item and is not available in the common tool load that supports that end item or unit. It is authorized by the repair parts and special tool list located within that end item's TM.

Synchronization

The coordination, harmonization, and integration effort that starts early in the EMD phase of a program and continues throughout its life cycle. The objective is the appropriate consideration of the interoperability and interdependency of the constituent legacy, current, and future systems so that capabilities which are greater than the sum of individual systems are provided to the Warfighter.

System of systems

A set or arrangement of interdependent systems that are related or connected to provide a given capability. The loss of any part of the system will degrade the performance or capabilities of the whole. An example of a SoS could be interdependent ISs. While individual systems within the SoS may be developed to satisfy the peculiar needs of a given user group, the information they share is so important that the loss of a single system may deprive other systems of the data needed to achieve even minimal capabilities.

System of systems integration

A development activity that provides the networking of a set or arrangement of interdependent systems that are related or connected to achieve interoperability that will provide a given capability.

Systems architecture

A description, including graphics, of the systems and interconnections providing for or supporting a warfighting function. The system architecture defines the physical connection, location, and identification of the key nodes, circuits, networks, and warfighting platforms, and allocates system and component performance parameters. It is constructed to satisfy operational architecture requirements in the standards defined in the technical architecture. The system architecture shows how multiple systems within a domain or an operational scenario link and interoperate and may describe the internal construction or operations of particular systems in the system architecture.

Total life cycle competition strategy

Describes the technical and contracting methods for maximizing effective competition, with an objective of full and open competition, throughout the system's life cycle. Addresses the entire system, to include end item(s), components, and spare parts in light of breakout, spares acquisition integrated with production, support services and other software, and acquisition of technical data and data rights.

Training aids, devices, simulators, and simulations

A general term that defines training equipment that supports training in the live, virtual, and constructive environments. The TADSS are justified, developed, and acquired to support training of designated tasks. Examples include, but are not limited to, battle simulations, targetry, training-unique ammunition, flight and/or driving simulators, gunnery trainers, and maintenance trainers. The TADSS are categorized as system (supported by the MATDEV) or non-system (supported by the training program evaluation group). System devices are designed for use with a specific system, SoS, or item of equipment, including subassemblies and components. System TADSS may be designed or configured to support individual, crew, collective, and combined armed training strategies. System TADSS may be stand-alone, embedded, or appended. Non-system TADSS are designed to support general military training and non-system specific training requirements. Both system and non-system TADSS are required for operational and unit readiness. Both types of TADSS are therefore considered integral parts of weapons, weapon systems, and SoS.

Transportability

The inherent capability of materiel to be moved by towing, by self-propulsion, or by carrier via railways, highways, waterways, pipelines, oceans, and airways utilizing existing equipment or equipment that is planned for the movement of the item being considered.

Unique item identifier/unique item identification

A system of marking items delivered to DOD with UII that have machine-readable data elements to distinguish an item from all other like and unlike items. For items that are serialized within the enterprise identifier, the UII includes the data elements of the enterprise identifier and a unique serial number. For items that are serialized within the part, lot, or batch number within the enterprise identifier, the UII includes the data elements of the enterprise identifier; the original part, lot, or batch number; and the serial number. "Enterprise" means the entity (such as, a manufacturer or vendor) responsible for assigning UIIs to items. "Enterprise identifier" means a code that is uniquely assigned to an enterprise by an issuing agency (see DFARS 252.211-7003).

Urgent operational need

Capabilities urgently needed to overcome unforeseen threats, achieve mission success, and reduce risk of casualties, as described in DODD 5000.71. DOD component-specific UONs are defined in CJCSI 3170.01I and further discussed in

DODD 5000.71 and DODI 5000.02. Approval authorities for DOD component UONs, including their validation, program execution, and the designation of the MDA are at the DOD component-level. UONs include JUONS and Joint emergent operational needs identified by combatant commands.

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PIN 004423-000