

SPAWAR

ACQUISITION INFORMATION/DOCUMENTATION MATRIX (See Note 1)

ACQUISITION CATEGORY APPLICABILITY (See Note 2)		PROGRAM DOCUMENTATION (alphabetical order)	SOURCE OF REQUIREMENT (See Note 3)			MILESTONE APPLICABILITY					PREPARED BY (Blue highlight indicates APM initiates)	SPAWAR REVIEWED BY/INFO (subject to PM and MDA discretion) (See Note 4)	APPROVED BY (See Note 5)	REQUIRED FORMAT	EST. TIME TO PREPARE & APPROVE (Contingent on program dynamics)	DEPENDENCIES	COMMENTS					
ACAT I	ACAT II		ACAT III	ACAT IV	AAP	IT/AAP	STATUTORY	REGULATORY	OTHER	0								I	II	III		
									A		B	C	FRP									
					I	I		SECNAV 5000.2C Para 1.3.6A	SPAWAR ASO/CIO (00A-A) Guidance Para 3.6	Not Applicable					APM	PMW, 00A-A, OPTEVFOR, OPNAV	PM	NONE (See Enclosure (4) of this guide for sample).	60 Days	- Information needed to prepare this document includes strategy, cost and requirements. - COMOPTEVFOR concurrence required.	- This is an initiation document for an AAP Program.	
R	R	R	R					SECNAV 5000.2C Para 1.3.7A & 1.4.4.4A		As Required					APM	PMW, 00A-A, PD, 00W, 00S, 09, 00EA, 00A, 00, (N61), ASN(RDA)	MDA	NONE (See SECNAV 5000.2C, Encl (10), App 9, ANNEX (A), Sec 7 & ANNEX (B), Sec 6)	60 Days	- ACAT designations are normally annotated on the cover of the requirements document.	- The ACAT Designation proposal is normally provided on the cover page of the requirements document. - An increase in the program cost can trigger the need for a change request.	
R	R	R	R	I	I			DoD 5000.2-R Para C6.4.4, C7.3.1.3, C7.3.2.1, C7.4.1 & C7.15.3.6, SECNAV 5000.2C Para 1.4.4.1A & 7.4	SPAWAR ASO/CIO (00A-A) Guidance Para 3.6	X	X	X	X	X	MDA Staff	PMW, 00A-A, PD, 00W, 00S, 09, 00EA, 00A, 00, (N61), ASN(RDA)	MDA	NONE (See Enclosure (4) of this guide for suggested sample).	21 Days	- Dependencies include: * MDA's document requirements as a result of tailoring efforts. * Exit criteria. * Milestone approval. * Delegate MDA authority. * LRIP Quantities and rationale.	- Documents decision made and exit criteria established at a milestone decision review or in-process review. - Specifies what must be done in the next acquisition phase. - May be required between MS decisions at the discretion of the MDA.	
R	R	R						FAR Part 7.1, DFAR 207.103, NAPS Part 5207, SECNAV 5000.2C Para 7.15.1	SPAWAR INST 4200.29	See SecNAV 5000.2C, Para 7.15.1					APM	PMW, 00C, 02, PD, 00W, 00S, 09, 00EA, 00A, 00	HCA	NONE (See FAR, part 7.105 and DFARS part 207.105 for discussion on preparing).	107 Days (initial) 60 Days (update)	- Can include the following which are required prior to a MS decision: AS, AA, AoA, Risk Assessment, ES&H Considerations, CAIV Objective and LCC Estimate.	- For acquisitions > \$32M or \$16M/yr program cost, \$360M total LCC or \$140M RDT&E cost. - Required prior to contract award- - A SAMP (which includes an AP) is required for ACAT I & may be required at the discretion of the MDA. - For ACAT I, the AS can substitute for the AP (see FAR 34.004).	
S	R	R	R					10 USC 2435 10 USC 2220 (a)(1)	DoDI 5000.2 Para 4.7.2.1.1.11, 4.7.2.1.4, 4.8.2.5.2, DoD 5000.2-R Para C1.3.2, C1.4, C7.15.2, SECNAV 5000.2C Para 1.4.1B & 7.15.2, SECNAV Memo dtd 5 May 98		At Program Initiation & MS indicated					APM	PMW, 00A-A, SPONSORS, PD, 00W, 00S, 09, 00EA, 00A, 00, N4, N8, N091, N096, N61)	MDA/CAE	YES (SECNAV 5000.2C, Enclosure (10), Appendix 9, ANNEX (A), Section 4 & ANNEX (B), Section 4). (Also see CARS Software).	180 Days (initial) 130 Days (update)	- Requires approved ORD prior to preparation. - Requires TOC computation. - See the following web address www.navysea.navy.mil/sea017/TOC.htm .	- Required by Statute for ACAT programs. - Documents cost, schedule and performance objectives and thresholds. - APB information for the AAP is included in the AAP Request. - PMs shall report current estimates for ACAT I & IA programs quarterly in the DAES. - Statutory for MDAP only. Regulatory for all other programs.
R	R	R	R					FAR 34.004, DoD 5000.2-R Para C2 (Chapter 2), SECNAV 5000.2C Enclosure (4), Chapter 2.		At Program Initiation & MS indicated					APM	PMW, PD, 01-6, 01, 02, 04H, 00A-A, 00W, 00EA, 00A, 00	MDA	NONE (Guidance available at http://www.acq-ref.navy.mil/tools/asdg)	90 Days - Approval required prior to release of a formal solicitation.	- AS is referenced in the AP. - PEO and CAE shall concur as appropriate for ACAT I, IA, II.	- The roadmap for Program Execution. - Essential elements include open systems, sources, risk management, CAIV, contract & management approach, environmental, modeling & simulation, warranty & support source. - For ACAT I, the AS can substitute for the AP (see FAR 34.004).	
R	R	R	R	R	R			DoDD 5000.1 Para 4.5.2, DoD 5000.2-R Para C4.4, SECNAV 5000.2C Para 4.4		At Program Initiation & MS indicated					CNO	PMW, PD, 01, 02, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	CNO	NONE	30 – 60 Days	- Full funding to support program shall be included in all program and budget submissions. - PPBS is the basis for making the assessment. - Assessment can be addressed in the AS.	- Provides assessment of program affordability and the determination of affordability constraints throughout and beyond the FYDP. - The MDA shall assess affordability at each decision point. No program shall proceed into system Development & Demo unless sufficient resources are programmed in FYDP.	
R	R	R	R					DoDI 5000.2 Para 4.7.3.1.1, DoD 5000.2-R Para C4.3, SECNAV 5000.2C Para 4.3 & App 9, Annex A, Section 2 & Annex B, Sections 2		Required at Program Initiation (See SecNAV 5000.2C, Encl (8), Para 7.7)					Independent Activity	Determined by MDA/CNO/ASN as appropriate.	MDA/CNO/ASN (as appropriate depending on ACAT. See SecNAV 5000.2C, Para 4.3.4).	NONE (SECNAV 5000.2C, Enclosure (10), Appendix 9, ANNEX (A), Section 2 & ANNEX (B), Section 2).	90 – 180 Days	- Must be linked to the MOEs in the ORD. - CAIV concepts shall be considered in doing the trade-off analysis.	- Supports Milestone Decision reviews by showing decision makers the advantages, disadvantages, and estimated costs of promising alternatives.	

NOTES:

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- Note 2:** Within a specific acquisition category, “S” signifies Statutory, “R” signifies Regulatory and “I” signifies SPAWAR Initiative.
- Note 3:** In some cases, the Statutory Requirement directs what activity to accomplish, and the Regulation directs how the activity will be satisfied and documented.
- Note 4:** MDA is usually defined by the ACAT assigned. SPAWAR 00 has delegated the MDA for SPAWAR ACAT III and IV Programs to the responsible Program Director (PD). This is only a proposed list of reviewers; additions and deletions may be appropriate for your program.
- Note 5:** This is a brief list of proposed Reviewers, based on the PD as the MDA. A formal Chop Chain for documentation is contingent on the MDA, Program Category and the applicable codes with functional oversight. When the MDA is other than the PD, the proposed Reviewers should be modified accordingly.

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				STATUTORY	REGULATORY	OTHER	0	I	II	III	A								B	C
ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT/AAP															
R	R	R	R				DoDI 5000.2 Para 4.7.2.4.1, DoD 5000.2-R Para C4.2, SECNAV 5000.2C Para 4.2						APM/CNO	Determined by MDA/CNO/ASN as appropriate.	NAE/PEO/SYSCOM/CNO	NONE	Varies	- The DoD Component(s) responding to a mission need likely to result in an ACAT I or IA program shall prepare the analysis of multiple concepts. The OIPT Leader shall review the analysis and provide an assessment to the MDA.	- A Milestone A decision shall not be made final until a thorough analysis of multiple concepts has been completed. - The analysis shall broadly examine each possible concept and describe the rationale for continuing interest in the concept or eliminating the concept from further consideration.	
S	S	S	S	S	S	47 USC 305 Pub L 102-538 47 USC 901-904	DoD 5000.2-R Para C6.5, SECNAV 5000.2C Para 6.5, OPNAV 2400.20E				X	X	APM	PMW, PD, 05 (as required by DD form 1494).	PM/CNO (N6)	YES (Use DD form 1494).	30 Days	- Frequency allocation (spectrum certification) shall be obtained prior to obligating funds.	- Applicable to all systems/ equipment that require use of the electromagnetic spectrum. - Apply as soon as the frequency bands of operation for the C4I system are identified.	
S	S	S	S			10 USC 2399 10 USC 2366	DoDI 5000.2 Para 4.7.3.3.6, DoD 5000.2-R Para C3.1.2 & C3.11.3, SECNAV 5000.2C Para 3.11.3						X	DOT&E	Determined by DOT&E and OSD as appropriate, USD(AT&L), Congress.	OSD/DOT&E	NONE	Varies	- Satisfactory OT&E required. - LFT&E (if required). - Operational Test Plan to DOT&E.	- Not statutorily required for ACAT IA programs. - Statutory for ACAT ID or IC, and ACAT II, III, and IV programs that are designated DOT&E oversight programs. These programs shall not proceed Beyond LRIP until DOT&E submits a report to SECDEF and Congress.
R	R	R	R				CJCSI 6212.01B, DoDI 5000.2 Para 4.7.3.3.5.1.5, SECNAV 5000.2C Para 2.2.6.3.3 & Appendix 5						X	Joint Staff	PMW, PD, 00, 05, 08, OPNAV (N61, N1, N2, N3/5, N8, N091, N093), J6, DISA.	Joint Staff (J-6)	YES (J-6 Assessment Tool)	Stage I suspense, (approx 35 Days) Stage II suspense (approx 21 Days) (See CJCSI 6212.01B)	- Must have a C4ISP prior to certification. - J-6 conducts a supportability certification for C4ISP regardless of ACAT prior to Milestone A, B, and C for submission to ASD(C3I) as part of the C4ISP review process.	- The J-6 certifies to ASD (C3I) that C4ISPs, regardless of ACAT, adequately address NSS and ITS infrastructure requirements, the availability of bandwidth and spectrum support, funding, personnel, and identify dependencies and interface requirements between systems.
R	R	R	R				CJCSI 3170.01B, CJCSI 6212.01B, CJCSI 3312.01, DoD 5000.2-R Para C2.7.3, C3.2.3.2.2.13, & C6.4, SECNAV 5000.2C Para 6.4		At Program Initiation & MS indicated				APM	PMW, PD, 00, 05, 08, OPNAV (N61, N1, N2, N3/5, N8, N091, N093), J6, DISA. (For ACAT I & IA, see DoD 5000.2-R, Appendix 5.3)	PEO/SYSCOM/DRPM	YES (See DoD 5000.2-R, appendix 5 and Para C6.4)	180 Days	- Requires approved ORD. - Need draft TEMP before preparing. - Required prior to FRP. - Initial C4ISP due at program initiation.	- Required for all ACAT programs that interface with C4I systems. This includes IT systems, including NSS, and all infrastructure programs. - The C4ISP will be formally reviewed at all milestones, decision reviews and with program changes.	
S	S	S	S			PL 106-259, Section 8102 40 USC 1401 FY 2000 DoD Appr. ACT, Section 8121	FAR Part 39.103, DoDI 5000.2 Para 4.6.2.2.4, 4.7.3.1.5, & 4.7.3.2.3.2.1, DoD 5000.2-R Para C1.4.7, SECNAV 5000.2C Para 1.4.A & 1.4.7B, Appendix 8, Para 1.3	SPAWAR ASO/CIO (00A-A) Guidance	At Program Initiation & MS indicated				APM	PMW, PD, 02, 00A-A, 00EA, 00A, 00. OPNAV	DASN (C4I)/ DoN CIO (ACAT I/II)/ SPAWAR CIO (ACAT III/IV) (See SecNAV 5000.2C, Para 1.4.7B for routing)	YES (See http://www.don_imit.navy.mil/ca/confirmation)	Varies	-Requires C4ISP compliance. -Requires Global Information Grid (GIG) compatibility. - Approval & return of CCA compliance report to DoD CIO and MDA will constitute CCA compliance confirmation. - All MAIS are considered MC or ME.	- CCA applies to programs containing Mission Critical (MC) or Mission Essential (ME) IT systems including NSS.. - Modular contracting. - See the following website for additional info: www.don_imit.navy.mil/ca/confirmation .	
									At Program Initiation & MS indicated				APM/ SPONSOR/ SYSCOM CIO	SYSCOM CIO or DoN CIO (if PEO/DRPM is PM) SYSCOM CIO (if SYSCOM CMDR oversight).	DASN (C4I/EW/ SPACE)/ DON CIO	YES (See http://www.don_imit.navy.mil/ca/certification)	120 Days	- DON CIO should receive at least three months prior to a scheduled milestone approval. - DASN shall issue a determination of CCA compliance to DoD CIO & MDA.	- Applies to ACAT IA only. - The PM may want to use an integrated product team (IPT) structure to aid in coordinated development of this certification. - See the following website for additional info: www.don_imit.navy.mil/ca/certification .	

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				STATUTORY	REGULATORY	OTHER	0	I	II	III	A								B	C
ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT/AAP															
S						PL106-259, Section 8102	DoDI 5000.2 Para 4.7.3.2.3.2, DoD 5000.2-R Para C1.5, SECNAV 5000.2C Para 1.4A & 1.4.7.1B	SPAWAR ASO/CIO (00A-A) Guidance	At Program Initiation & MS indicated					DON CIO	As determined by DON CIO	DON CIO	YES (See http://www.don.mil/navy.mil/ca/certification)	Varies	- The DOD CIO has responsibility to certify to the Congressional defense committees that the ACAT IAM or IAC program is being developed in accordance with the CCA.	- For ACAT IAM and IAC Major Automated Information System (MAIS) programs, the DOD CIO shall certify compliance with the CCA to the Congressional defense committees. - DoD CIO will review the CCA Compliance Report and certify to the congressional defense committees that the MAIS is being developed IAW CCA before approving program initiation or entry into any phase (including FRP) that requires a MS approval.
S	S	S	S			PL 106-259, Section 8102, PL 106-398, Section 811	DoDI 5200.40, DoD Manual 8510.1-M, DoDI 5000.2 Para 4.7.3.2.3.2.1.11, E2.1.12, E2.1.13 & E3.13, DoD 5000.2-R Para C6.8, App 7, SECNAV 5000.2C Para 2.10 & Appendix 7 & 8	SPAWAR ASO/CIO (00A-A) Guidance	At Program Initiation or MS B, whichever is earlier. Updated not less than Quarterly.					APM/ SPAWAR CIO	As required by DON CIO.	DON CIO	YES (IAW procedures in DoD 5000.2-R, Appendix 7 & SecNAV 5000.2C, Appendix 7 & 8) (Also see ASN(C31) memo of 13Jul00)	Varies (Shall be updated quarterly).	- The CCA for DON acquisitions applies only to programs containing Mission Critical (MC) or Mission Essential (ME) IT systems. - No contract shall be awarded for an acquisition program for a Mission Critical (MC) or Mission Essential (ME) IT system until the IT system is registered in the DON IT Registration Database (See SECNAVINST 5000.2C, para 2.10 for other restrictions).	- MC is defined as a system that meets the definitions of "information system" and "NSS" in the Clinger-Cohen Act, the loss of which would cause the stoppage of warfighter operations or direct mission support of warfighter operations. - ME is defined as a system that meets the definition of "information system" in the Clinger-Cohen Act, that the acquiring Component Head or designee determines is basic and necessary for the accomplishment of the organizational mission.
				R	R		SECNAV 5000.2C Para 1.3.5A.	SPAWAR ASO/CIO (00A-A) Guidance Para 3.5 & 3.6	X	X	X		APM	PMW, PD, 00A-A3, OPTEVFOR, (OPNAV if appropriate).	MDA	NONE (See enclosure (4) of this guide for a sample format).	7 Day	- Required prior to designating a program an ACAT IVM or AAP.	- Required to validate program as a ACAT IVM or AAP. - COMOPTEVFOR vehicle for validating no OT&E required.	
S	S	S	S			Section 2469 of title 10, USC	FAR, Part 6 & 15, DoDI 5000.2 Para 4.6.1.2.2, DoD 5000.2-R Para C2.9.1, SECNAV 5000.2C Para 2.9.1	SPAWAR INST 4200.29			MS B Or MS C (if no B)		APM	PMW, PD, 02, 00C	MDA	NONE (part of the Acquisition Strategy)	Varies	- Part of the AS. - To ensure performance of a depot-level maintenance and repair workload is not changed to performance by a contractor or other DoD activity unless the change is made using merit selection.	- Refer to the statutory requirement which specifies this analysis in accordance with the "\$3 million dollar rule", i.e. this requirement only applies to the repair workload of a value over \$3,000,000 and that is being performed by a depot-level activity of the DoD.	
S	S	S	S			GPR (Pub. L. 103-62) Section 2364 of title 10, USC	DoDI 5000.2 Para 4.7.3.2.3.1.1 & 4.7.3.3.2.5		At Program Initiation & MS indicated					APM	Determined by MDA/CNO/ASN as appropriate.	NAE/PEO/ SYSCOM/CNO	NONE (Part of the AoA when practical)	Varies	- Usually part of the AoA.	Prior to approving entry into System Development and Demonstration at Milestone B, the MDA shall consider the analysis of alternatives including compliance with the Department of Defense's strategic plan (based on the Government Performance and Results Act (GPR)).
R							DoDI 5000.2 Para 4.7.3.2.3.1.1, 4.7.3.3.3.1.1, 4.7.3.3.5.1.1 & 4.8.2.5.4, DoD 5000.2-R Para C4.5.1.2, C4.5.1.6 & C4.5.3, SECNAV 5000.2C Para 4.5.2			X		X	NCCA (Navy Center for Cost Analysis)	Determined by OSD as appropriate.	NCCA (Navy Center for Cost Analysis)	NONE	Varies	- Mandatory for MAIS; required at MS B each time the MDA requests an Economic Analysis. - As requested by CAE for MDAPs; required at Full Rate Production DR (MDAPs only).	- Applicable to ACAT IA at MS B, and may be required for ACAT I at FRP Decision Review at the option of the NAE. - The DoD Component cost analysis is an independent estimate of life-cycle costs.	
S	R	R	R			10 USC 2350a	DFARS 225, DoDI 5000.2 Para 4.7.2.4, DoD 5000.2-R Para C2.9.1.4.4.2, C2.9.2.3, SECNAV 5000.2C Para 2.9.2		At Program Initiation & MS indicated					APM	PMW, PD, 02, 00C	MDA	NONE (Cooperative Opportunity Document (COD) for ACAT I can be found in the DSMC Deskbook).	Varies	- Also required at program initiation.	- Usually part of the Acquisition Strategy for other than ACAT I. - Any acquisition system, subsystem, component or technology program with an acquisition strategy that includes participation by one or more foreign nations, through an international agreement, during any phase of a system's life cycle shall have this assessment.

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ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT/AAP		STATUTORY	REGULATORY	OTHER	0	I	II	III								
										A	B	C	FRP								
S	S	S	S	S	S	ENVIRONMENTAL, SAFETY & OCCUPATIONAL HEALTH (ESOH) EVALUATION	42 USC 4321-4370d 40 CFR 1500-1508 EOs 12856, 12114, 11514, 12196	FAR 11.301, DoDI 6055.1, DoDD 5000.1 Para 4.4.1, DoD 5000.2-R Para C5.2.3.5.10, SECNAV 5000.2C Para 5.2.3.5.10		At Program Initiation & MS indicated				APM/PM (Assisted by OPNAV (00N))	PMW, PD, 00F, 00W, 00A-A, 00S, 09, 00EA, 00A, 00, OPNAV, CNO	MDA	NONE (Outline available in the DoD Acquisition Deskbook)	4 - 6 Months	- The PM shall initiate early as possible in support of the Milestone B decision and shall update throughout the lifecycle of the program.	- The Acquisition Strategy shall include an ESOH evaluation. - By Statute, every program should have an on-going environmental planning process to support program decision making. - The APB includes any environmental concerns if applicable.	
S	R	R	R			EXIT CRITERIA	10 USC 2220(a)(1) (for ACAT I) PL 104-106 Section 5123 (for ACAT IA)	DoD 5000.2-R Para C7.4, SECNAV 5000.2C Para 7.4		At MS A/B/C and all other DRs.				APM	PMW, PD, 05, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE (Included in the ADM)	Varies	- The MDA shall approve and publish exit criteria in the ADM. - Exit criteria shall not be part of the APB and are not intended to repeat or replace APB requirements. - The DAES shall report the status of exit criteria.	- At each milestone decision point and at each decision review, the PM, in collaboration with the IPT, shall develop and propose exit criteria appropriate to the next phase or effort of the program. The OIPT will review the proposed exit criteria and recommend exit criteria to the MDA. - MDAs shall use exit criteria to establish goals for a program during an acquisition phase.	
S	R	R	R	R	R	FOREIGN COMPARATIVE TEST (FCT) NOTIFICATION & REPORTS TO CONGRESS	10 USC 2350 (a)g 10 USC 2457(d)	DFAR part 225, DoD 5000.2-R Para C3.10 & C3.11.5, SECNAV 5000.2C Para 3.11.5 & 3.11.6		NONE				USD(AT&L) & DT&E	Determined by DT&E as appropriate	MDA	NONE	Varies	- USD(AT&L) shall notify Congress 30 days prior to commitment of funds for new FTC evaluations. - Statutory for ACAT I, and selected ACAT IAM programs that are under OSD T&E oversight.	- FCT is a DoD test and evaluation program that is prescribed by statute and that is centrally managed by the DTSE&E. - FCT provides funding for U.S. test and evaluation of selected equipment items and technologies developed by allied countries when such items and technologies are identified as having good potential to satisfy valid DoD requirements.	
R	R	R	R	R	R	FUTURE YEARS DEFENSE PROGRAM (FYDP) FUNDING PROFILE (FULL FUNDING)		DoDI 5000.2 Para 4.7.3.2.2.4, DoD 5000.2-R Para C4.4, SECNAV 5000.2C Para 4.4		X	X	X	X	APM RESOURCE SPONSOR	MDA	CONGRESS/PRESIDENT	NONE (Content in the FYDP, POM, BES, & PB).	PPBS & FYDP Development Cycle	- Full funding to support approved ACAT I, IA, II, III, and IV programs shall be included in all program and budget submissions - No acquisition program shall be approved beyond program initiation unless sufficient resources are programmed in the most recent approved FYDP.	- Ensures funding requirements are satisfied in the development of each PPBS phase. - Full Funding for all programs must be satisfied in the development of each PPBS phase.	
I	I	I	I	I	I	HORIZONTAL INTEGRATION (HI) SCHEDULE			SPAWAR Initiative	As required by the MDA				APM	PMW, PD, 04, 05, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE	Varies	- APM needs to address how the program fits into the HI schedule.	- This is a SPAWAR effort to integrate all C4I systems horizontally.	
S						INDEPENDENT ESTIMATE OF FULL LIFE CYCLE COST.	10 USC 2434 (for ACAT I only)	DoDD 5000.4, DoD 5000.4-M, DoD 5000.2-R Para C4.5.1.5 & C4.5.1.6, SECNAV 5000.2C Para 4.5.2		X	X	X	X	OSD CAIG or Navy Center for Cost Analysis (NCCA) (if CAIG does not prepare)	Determined by OSD as appropriate.	MDA (Chair CAIG/Dir NCCA)	NONE	Varies	- A Cost Analysis Requirements Description (CARD) shall be prepared prior to this estimate. - The PSA or sponsoring DoD component shall ensure an independent cost analysis for ACAT IA each time an EA is required.	- Documents the Development, Procurement, Construction and O&S Costs. - Not statutorily required for ACAT IA programs. - The MDA may require this for ACAT II. - NCCA is responsible when the Independent Cost Estimate (ICE) is not prepared by the CAIG.	
R	R	R	R			INDEPENDENT TECHNOLOGY ASSESSMENT		DoDI 5000.2 Para 4.7.2.3.2.6, DoD 5000.2-R Para C7.5.3, SECNAV 5000.2C Para 7.5			X	X		Independent Activity	As required by DON CTO or PEO/SYSCOM	DON CTO (ACAT I/IA/II) PEO/SYSCOM (ACAT III/IV)	NONE	Varies	- The independent activity may be a PEO or SYSCOM for ACAT II, III, and IV programs. - Assessment is usually done to determine the maturity of critical system technology for transition to the System Acquisition Process during System Development & Demo and at Milestone C.	- For ACAT ID and IAM programs, the Component Science and Technology (S&T) Executive shall direct the independent technology assessment (ITA) and is to submit the findings of the ITA to DUSD(S&T) via the Navy Acquisition Executive (NAE) (ASN(RD&A)). - For ACAT IC, IAC, II, III, and IV programs, the Component S&T Executive shall direct the ITA.	

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				STATUTORY	REGULATORY	OTHER	0	I	II	III	A								B	C
S	R	R	R			10 USC 2440	FAR Part 25, DFARS Part 225, DoDD 5000.60, DoDD 5000.1 Para 4.3.3, DoD 5000.2-R Part C2.9.1.4.4, SECNAV 5000.2C Para 2.9.1.4.4		At Program Initiation & MS indicated					APM	PMW, PD, 02, 00C, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE	Varies	- This information is usually part of the AS.	- Not statutorily required for ACAT IA programs. - Programs shall minimize the need for new defense-unique industrial capabilities.
R	R	R	R				DoD 5000.2-R Appendix 5 (AP5.3) CJCSI 3170.01B, CJCSI 6212.018		X		X	X		APM	DoD Component DASD(C3I) DIA	Joint Staff DIA	NONE	Varies	- DIA will forward intelligence certification to the JROC for ACAT I and JROC special-interest programs or to the sponsoring DOD component or agency for ACAT II and below. - This certification is part of the requirements validation process.	- DIA will certify all MNSs, CRDs, ORDs, regardless of ACAT level, for intelligence supportability and impact on joint intelligence strategy, policy, and architecture planning. - Unresolved intelligence issues will be forwarded by DIA to the Military Intelligence Board (MIB) for resolution
R	R	R	R	R	R		DoDD 4630.5, DoDI 4630.8, CJCSI 6212.01B, DoD 5000.2-R Para C5.2.3.5.11, SECNAV 5000.2C Para 5.2.3.5.11						X	DISA	PMW, PD, 05, 07, 00, OPNAV, J6, DISA, JTIC	OPNAV (N8) or Joint Staff (N6)	NONE	180 Days	- Final certification is based on JTIC review. - Substantiated by the C4ISP.	- Initial requirements certification normally obtained as result of MNS/ORD approval. - Mandatory for all C3I/C4I systems prior to Full Rate Production Decision Review.
R	R	R	R	R	R		DoDI 5000.2 Para 4.7.3.1.4, SECNAV 5000.2C Para 1.7A		Before award of Production Contracts.					APM/PM/CNO (as appropriate)	PMW, PD, 01, 02, 07, 00C, 00, OPNAV (Ensure JAG reviews)	USD/OSD (as appropriate)	NONE	Varies	- Must be approved before award of production contracts.	- Verifies compliance with arms control agreements. - Normally not required for AIS Programs.
R	R	R	R	R	R		DoD 4245.7-M Chapter 8, SECNAVINST 4105.1	Logistics Assessment Hand book		X	X	X	X	APM	PMW L, PMW, 04L, 04H, N432, PD, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE (See Logistics Assessment Book dtd 21 Jan 97. Also see SECNAVINST 4105.1, Encl (1)).	Varies	- All programs must receive an ILA prior to each Milestone Decision/LRIP/IOC and FOC.	
S	S	R	R			10 USC 2400	DoDI 5000.2 Para 4.7.3.3.4, SECNAV 5000.2C Para 1.4.4.1A	Gao rpt to SecNAV, Aug 2001 (LRIP Decision)			X			APM	PMW, PD, 00W, 00A-A, 00S, 09, 00EA, 00A, 00, (N61), ASN(RDA)	MDA	NONE (Part of the ADM)	Varies	- Quantities authorized and rationale must be included in the ADM. - May be included in the AS.	- Statutory for ACAT I, II and those programs designated by DT&E. - Statutory for "Major Systems". Not applicable to AIS programs. - A limited deployment phase may be appropriate for IT programs.
S						10 USC 2434	DoD 5000.2-R Para C2.8.5.1, C4.5.1.4 & C4.5.4.2, SECNAV 5000.2C Para 4.5.4.2		At Program Initiation & MS indicated					CNO/Naval Manpower Analysis Ctr (NAVMAC)	Determined by CNO and NAVMAC as appropriate.	CNO	NONE	Varies	- The MDA may not approve entry into engineering and manufacturing development or production and deployment unless a manpower estimate for the program has been completed and considered.	- For ACAT I programs, a manpower estimate shall be prepared by the Component's manpower authority in support of Milestone B and FRP Decision Review. - Not statutorily required for ACAT IA.

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								STATUTORY	REGULATORY	OTHER	0	I	II	III	A								B	C	FRP		
ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT/AAP																						
R	R	R	R	R	R				DoD 5000.2-R Para C2.8.5, SECNAV 5000.2C Para 1.3.6.3A, 1.9.2A & 5.2.3.5.9			As required by the MDA					APM	PMW, 00A-A, PD	MDA	NONE	Varies	- The PM for AAPs shall conduct a tailored manpower, personnel, and training (MPT) analyses. - Normally part of the support strategy.	Required for weapon system and IT AAPs. - MPT requirements must be fully funded prior to the RDC deployment.				
S	S	S	S					10 USC 2377	FAR, Part 10, DoD 5000.2-R Para C2.9.1.4.1, SECNAV 5000.2C Para 2.9.1.4.1			At Program Initiation & MS indicated					APM	PMW, PD, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE (Part of the AS)	Varies	- FAR Part 10 requires the acquisition strategy to include the results of completed market research and plans for future market research. - Normally discussed in the AS, AoA or Contracting Strategy.	- Market Research, tailored to program needs shall continue throughout the acquisition process and during post-production support. - The PM shall use market research as a primary means to determine the availability and suitability of commercial and non-developmental items.				
S	S	S	S	S	S			15 USC 205a-205k, EO 12770	DoD 5000.2-R Para C5.3.3, SECNAV 5000.2C Para 5.3.3								APM	PMW, PD, 00W, 00A-A, 00S, 09, 00EA, 00A, 00, (N61), ASN(RDA)	MDA	NONE	Varies	- Required for all defense systems requiring new design.	- The PM shall use the metric system of measurement for all elements of defense systems requiring new design, unless waived by the MDA as not in the best interest of the government (15 U.S.C.205a-205k and E.O.12770).				
R	R	R	R						CJCSI 3170.01B, SECNAV 5000.2C Para 2.2.6.3.1 & Appendix 9, Annex A, Section 1 & Annex B, Section 1							X					Program Sponsor	Determined by Program Sponsor as appropriate.	JROC (ACAT I) CNO	YES (MOP 77, SECNAV 5000.2C, Encl (10), Appendix 9, Annex A, sec. 1 & Annex B, sec. 1).	180 Days	- Prepared in accordance with CJCSI 3170.01B and validated prior to Milestone A. - An umbrella warfare (or functional) MNS may satisfy MNS requirements for MS A for potential ACAT II, III and IV programs.	- All Acquisition Programs require a validated requirements document (MNS, ORD and/or MEMO). - MNS shall identify and describe the mission contained in the DoD Strategic Plan and the Mission Deficiency.
S	S	S	S	S	S			42 U.S.C., 4321-4370d 40 C.F.R., 1500-1508 E.O.12114	DoDI 5000.2 Para 4.7.3.3.3.1.1, DoD 5000.2-R Para C5.2.3.5.10.5, SECNAV 5000.2C Para 5.2.3.5.10.5			At Program Initiation & MS indicated					APM	PMW, PD, 02, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	See SecNAV 5000.2C, Enclosure (6), Para 5.2.3.5.10.5.1, Pages 11 & 12.	NONE	Varies	- The impact of environmental compliance on the TOC needs to be considered. - An appropriate completion schedule for NEPA compliance is part of the AS. - Program's ESOH will determine if NEPA documentation is required.	- Prior to making the milestone decision, the MDA shall establish a completion schedule for National Environmental Policy Act (NEPA) compliance covering testing, training, basing, and operational support. - The PM is responsible for and shall comply with the NEPA. - The PM shall forward a copy of final NEPA documentation to the Defense Technical Information Center for archiving.				
R	R	R	R						CJCSI 3170.01B, DoD 5000.2-R Para C1.3.1, C1.3.2, C2.2.2, SECNAV 5000.2C Para 2.2.6.3.1 & Appendix 9, Annex A, Section 3 & Annex B, Section 3			At Program Initiation & MS indicated					Component/ Program Sponsor	Determined by Program Sponsor as appropriate.	CNO (JROC validation for ACAT I)	YES (SECNAV 5000.2C, Encl (10), Appendix 9, Annex A, sec. 3 & Annex B, sec. 3).	185 Days	- Thresholds and objectives in the ORD shall be CAIV-based, considering the results of the analysis of alternatives and the impact of affordability constraints.	- All Acquisition Programs require a validated requirements document (MNS, ORD and/or MEMO). - The ORD amplifies and refines the MNS. - Required prior to MS decision. - A new or revised ORD is not required for subsequent milestones if still current, but ORD must be revalidated for subsequent milestones.				
R									DoDI 5000.2 Para E2.1.15 & 4.7.2.4.2, DoD 5000.2-R Para C1.4.5.2 & C7.6.4			As required for OIPT & normally at major program reviews and MS decision reviews.					OSD Staff	Determined by OSD Staff as appropriate.	MDA/DAB chair	NONE	Varies (but must be accomplished in support of a real time snapshot).	- Must be done in support of a real time assessment of OIPT and WIPT work.	- OIPT is formed for ID & IAM Programs to assist in oversight and review as the program proceeds through its acquisition lifecycle.				

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				STATUTORY	REGULATORY	OTHER	0	I	II	III	A								B	C	FRP
S	S	S	S								X	APM/DoN CIO	PMW, PD, 04, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE	Varies - Initiated 12 months after IOC. - Conducted every 3 years for operational systems.	- This information is specified in the ADM at MS III/FRP Decision Review - Parameters used for review are included in the APB and DAES.	- Provided at the FRP decision point to authorize entrance into production for an ACAT I, II, III & IV, or into deployment for an ACAT IA program.			
S	R	R	R	R	R					X	X	X	X	APM/NCCA	PMW, PD, 01, 02, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	Cost Estimating Team OSD CAIG	NONE	Varies	- Naval Center for Cost Analysis (NCCA) analysts shall participate in developing life-cycle cost estimates for ACAT ID, IC, and II programs. - MDAs may request that similar NCCA assistance be used in developing life-cycle cost estimates for ACAT III and IV programs.	- Comprehensive in character, identifying all elements of cost that would be entailed by a decision to proceed with development, production or operation regardless of funding source or management control. - TOC data is required for all programs (see the following web address: www.navsea.navy.mil/sea017/TOC.htm). - For ACAT IA, see Economic Analysis (EA).	
R	R	R	R	R	R						X	X	APM	PMW, PD, 02, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE (But content can be found in DoD 5200.1-M).	Varies	- Each DON program shall consider program protection planning, which encompasses security, acquisition systems protection, systems security engineering, counterintelligence, and operations security (SASCO) requirements. - PPP is also summarized in the AS.	- A comprehensive protection and technology control management plan established for each defense acquisition program to identify and protect classified and other sensitive information from foreign intelligence collection or unauthorized disclosure. - The PPP is only required for programs that have Critical Program Information (CPI).		
I	I	I	I	I	I					X	X	X	X	APM	PMW	PM	YES (SPAWAR local).	Varies	- Used by SPAWAR PMs and MDAs to evaluate program status.		
AS Required for Non-Acquisition Programs		RESEARCH & DEVELOPMENT DESCRIPTIVE SUMMARY (RDSS)											At Program Initiation Reviewed Annually by CNO(091)	APM	PMW, PD, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	CNO(N091)	NONE (See SECNAV 5000.2C, App 9, Annex A, Section 6)	Varies	- All non-acquisition programs will be reviewed annually by CNO (N091) to verify that such programs are pursuing valid Naval requirements and are executing in accordance with the applicable Research and Development Descriptive Summary (RDSS).	- A Research and Development Descriptive Summary (RDSS) is required for non-acquisition programs.	
R	R	R	R	R	R						X	X	X	X	APM	PMW, PD, 00W, 00A-A, 00S, 09, 00EA, 00A, 00, (N61), ASN(RDA)	MDA	NONE	Varies	- Risk reduction measures shall be included in cost-performance trade-offs, where applicable. - May be included in Acquisition Strategy to explain reducing system-level risk to acceptable levels by the IPR preceding MS C.	- The PM shall establish a risk management program for each acquisition program to identify and control performance, cost, and schedule risks.
S														Quarterly (Due 15 days after the reporting Quarter)	APM	Determined by Program Sponsor as appropriate.	CONGRESS	YES (CARS software & DD Comp (Q&A) 823)	Varies	- Selected Acquisition Reports are submitted Quarterly on a by exception basis.	- Selected Acquisition Reports shall be prepared and submitted to Congress for all ACAT I programs using CARS software. - Not statutorily required for ACAT IA programs.
I	I	I									X	X	X	X	APM	PMW, PD, 01, 02, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE (Content contained in the Air Force SAMP Guide).	Varies with the desired contents of the SAMP.	- Most commonly used for ACAT I, but can be used for other programs. - Includes the AS data. - SAMP is the equivalent of the Navy MAPP.	- An optional document approved by the MDA. - The SAMP is a comprehensive, integrated document that discusses all relevant aspects of a program in support of a MS decision.
R	R	R	R	R	R						X	X	X	X	APM	PMW, User Rep, Cert. Authority, PD, 00W, 00A-A, 00S, 09, 00EA, 00A, 00	MDA	NONE (See DoDI 5200.40 Enclosure 6 for outline).	Varies	- The objective is to establish a binding agreement on the level of security required before system development begins.	- The SSAA is a living document that represents the formal agreement among the user representative and the program manager. The SSAA is developed in phase A and updated in each phase as the system development progresses and new information becomes available.
R	R	R	R	R	R									At Program Initiation & MS indicated	APM/PM/INTELL	PMW, PD, ONI (Validated by DIA for ACAT I)	INTELL ACTIVITY (NMIC),	NONE (See DoD 5000.2-R, Para C6.2.4.2 for)	Varies	- Threat projections shall be prepared for consideration at Milestone decision points. They shall be system-specific to the degree of	- Normally not applicable to ACAT IA and IT ACAT III and IVT programs. - System Threat Assessment is referenced in the TEMP, AS, MNS and ORD.

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ACAT I	ACAT II	ACAT III	ACAT IV	AAP	IT/AAP													
							DoD 5000.2-R Para C6.2.4, SECNAV 5000.2C Para 6.2.4, OPNAVINST 3811.1C Para 3.f											
S	S	S	S			10 USC 2366	DoD 5000.2-R Para C3.8, SECNAV 5000.2C Para 3.8 & 3.11.2											
S	S	S	S			10 USC 2366	DoD 5000.2-R Para C3.11.2, SECNAV 5000.2C Para 3.11.2											
S	S	S	S			10USC 2399	DoD 5000.2-R Para C3.2.3.1 & Appendix 2, SECNAV 5000.2C Para 3.2.3.1 & Encl (10), Appendix 2											
S	S	S	S			10USC 2399	DoD 5000.2-R Para C3.2.3, SECNAV 5000.2C Para 3.2.3											
S	S	S	S			10USC 139	DoD 5000.2-R Para C3.11.1, SECNAV 5000.2C Para 3.11.1											
R	R	R	R				DoD 5000.2-R Para C5.2.3.5.9.5, SECNAV 5000.2C Para 3.5.10, 5.2.3.5.9.5, 7.7 & 7.15.1											

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