



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
1000 NAVY PENTAGON
WASHINGTON, D.C. 20350-1000

SECNAVINST 5000.2B
ASN(RD&A)

06 December 1996

SECNAV INSTRUCTION 5000.2B

From: Secretary of the Navy

Subj: IMPLEMENTATION OF MANDATORY PROCEDURES FOR MAJOR AND NON-MAJOR DEFENSE ACQUISITION PROGRAMS AND MAJOR AND NON-MAJOR INFORMATION TECHNOLOGY ACQUISITION PROGRAMS

Ref: (a) DoD Directive 5000.1, "Defense Acquisition," 15 Mar 96 (NOTAL)
(b) DoD Regulation 5000.2-R, "Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs," 15 Mar 96 (NOTAL)
(c) MCO 3900.4D, "Marine Corps Program Initiation and Operational Requirement Documents," 31 Jan 91 (NOTAL)
(d) SECNAVINST 5400.15A, "DON Research, Development and Acquisition, and Associated Life Cycle Management Responsibilities," 26 May 95 (NOTAL)
(e) SECNAVINST 5200.35C, "Department of the Navy Management Control Program," 7 Jan 91 (NOTAL)

Encl: (1) Part 1 - Acquisition Management Process
(2) Part 2 - Program Definition
(3) Part 3 - Program Structure
(4) Part 4 - Program Design
(5) Part 5 - Program Assessments and Decision Reviews
(6) Part 6 - Periodic Reporting
(7) Part 7 - Appendices
(8) Part 8 - SECNAVINST, OPNAVINST, and MCO Cancellations
(9) Part 9 - Table of Contents

1. Purpose. To issue mandatory procedures for Department of the Navy (DON) implementation of references (a) and (b) for major and non-major defense acquisition programs and major and non-major information technology (IT) acquisition programs.

2. Cancellation. SECNAVINST 5000.2A, SECNAVINST 5231.1C, SECNAVINST 5711.8A, OPNAVINST 5000.42D, MCO 5000.11B, MCO 5000.22, and MCO P5231.1C, and forms NAVSO 5000/116, NAVSO 5000/117, and NAVSO 5000/118.



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3. Background. This instruction implements references (a) and (b) and replaces the canceled instructions of paragraph 2. Reference (a) is implemented by reference (b) through the establishment of a core of fundamental acquisition management policies and procedures for defense acquisition programs and IT acquisition programs. Reference (b) combines the policy and procedures of Department of Defense (DoD) 5000 series and 8120 series directives and instructions. A DoD Deskbook is a companion electronic tool which contains mandatory procedures and discretionary information such as document and report formats, lessons-learned, institutional knowledge, and sage advice. Reference (b) requires the DoD Components to directly implement the policies and procedures contained therein down to the program manager (PM) and the field activity level without supplementation and with minimum DoD Component implementing directives, instructions, regulations, memorandums, and related issuances. Reference (c) contains the Marine Corps requirements generation procedures.

4. Discussion. Enclosures (1) through (7) provide detailed mandatory procedures to implement references (a) and (b). Enclosure (8) lists Secretary of the Navy (SECNAV) acquisition-related issuances; Office of the Chief of Naval Operations (OPNAV) issuances; and Marine Corps Orders (MCOs) which were canceled by this instruction and by SECNAVINST 5000.2A, OPNAVINST 5000.42D, and MCO 5000.22. Enclosure (9) is a Table of Contents. It should be noted that enclosures (1) through (6) and the appendices, annexes, and sections in enclosure (7) have their own set of references that are listed on the front page of the respective enclosure, appendix, annex, or section.

5. Applicability and Precedence. The provisions of this instruction apply to all DON organizations, to all acquisition category (ACAT) acquisition programs including Naval Intelligence and Naval Cryptologic acquisitions, abbreviated acquisition programs, and non-acquisition programs. References (a), (b), and this instruction take precedence over any issuances conflicting with them, except for the Federal Acquisition Regulation (FAR), the Defense Federal Acquisition Regulation Supplement (DFARS), and the Navy Acquisition Procedures Supplement (NAPS).

a. The IT provisions of this instruction do not apply to information technology that:

(1) Is physically part of, dedicated to, or essential in real time to the mission performance of weapon systems; or

(2) Are IT-related supplies.

b. Policy and procedures for the management approval to create an IT contract, found in SECNAVNOTE 5231 of 20 Aug 93, are not covered in this instruction.

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6. Overall Acquisition Process. Where no further DON mandatory implementation procedures are necessary for ACAT I and IA programs and other programs where indicated, the text of reference (b) is not amplified and therefore stands alone to be directly implemented by DON. Where DON mandatory implementation procedures are necessary, enclosures (1) through (6) of this instruction follow the "Part" format of, and amplify, reference (b) for ACAT I and IA programs. For example, enclosure (1) amplifies Part 1, "Acquisition Management Process," enclosure (2) amplifies Part 2, "Program Definition," etc. This instruction also applies to all other DON acquisition and non-acquisition programs. Specific OPNAV and Marine Corps implementation procedures are included in appropriate enclosures and their appendices. The previous concept of "tailoring-out" non-statutory milestone documentation content has been replaced by the concept of "tailoring-in" the content of the non-statutory mandatory milestone information and the discretionary milestone information needed by the milestone decision authority (MDA) to make an informed milestone decision.

7. Responsibilities

a. The Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RD&A)) is the DON Acquisition Executive (NAE) responsible for DON acquisition in accordance with reference (d).

b. The DON Chief Information Officer (CIO) is responsible for developing and issuing IT management policies, architectures and standards; evaluating the performance of IT programs on the basis of applicable performance measurements; and advising the Secretary of the Navy regarding whether to continue, modify or terminate an IT program.

c. Chief of Naval Operations (CNO)/Commandant of the Marine Corps (CMC) are responsible for the DON's requirements generation process, operational test and evaluation, readiness, planning and programming to satisfy operational requirements, and providing acquisition logistics support to ASN(RD&A) as well as all the responsibilities listed in reference (d). CNO and CMC IT functional area points of contact (POCs), responsible for initially identifying IT requirements, are listed in enclosure (7), appendix II, annex B, section 7. A periodically updated list of these functional area POCs is also maintained in the Enterprise Map on the Naval Information Systems Management Center home page, "<http://www.nismc.navy.mil>." CNO program sponsors are responsible for identifying naval warfare and IT program requirements. CNO resource sponsors are responsible for specific appropriation categories and may also have dual responsibility as program sponsors. Note: Wherever "CNO/CMC" is used throughout this instruction, it should be interpreted to include ", or designee," unless otherwise stated.

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d. The Commander, Operational Test and Evaluation Force (COMOPTEVFOR) and Director, Marine Corps Operational Test and Evaluation Activity (MCOTEA) are responsible for independent operational test and evaluation for the Navy and the Marine Corps, respectively.

e. Program Executive Officers (PEOs), Systems Command (SYSCOM) Commanders, and Direct Reporting Program Managers (DRPMs) are responsible for all responsibilities listed in reference (d), administering assigned acquisition programs, and reporting directly to the NAE for such programs. PEOs, SYSCOM Commanders, and DRPMs have authority, responsibility, and accountability for life cycle management of all acquisition programs and weapon systems within their cognizance. PEOs, SYSCOM Commanders, and DRPMs shall implement appropriate management controls as required by reference (a) and in accordance with reference (e) to ensure the policies contained in this instruction are implemented to the maximum extent practical. SYSCOM Commanders shall also provide support, as applicable, to PEOs, DRPMs, and PMs. PEOs, SYSCOM Commanders, and DRPMs are authorized to approve charters for assigned PMs. When an official above a PM exercises milestone decision authority or direction on program matters, the decision or direction shall be documented with a copy forwarded to the cognizant PM and CNO/CMC. The official shall be held responsible and accountable for the decision or programmatic direction.

f. The Director, Navy International Programs Office (IPO) is responsible for formulating, developing, and managing international policy and oversight of the DON's international research, development, and acquisition (RD&A) security assistance, armaments cooperation, and technology transfer efforts in accordance with reference (d).

g. The Naval Center for Cost Analysis (NCCA) is responsible for assisting program managers in preparing cost estimates, preparing independent cost analyses when requested by the MDA, reviewing Contractor Cost Data Reporting (CCDR) plans, and managing the Visibility and Management of Operating and Support Costs (VAMOSOC) data base. NCCA serves as the DON member of the Office of the Secretary of Defense Cost Analysis Improvement Group, manages the DON Cost Analysis Intern Program and Cost Analyst Training Program, and coordinates the DON Cost Research Program.

h. The Naval Manpower Analysis Center (NAVMAC) is responsible for assisting PMs and working with project engineers and designers in preparing initial and follow on manpower requirements estimates, preparing independent manpower impact statements, and reviewing contractor developed manpower estimates. NAVMAC is responsible for representing CNO (N1) in supporting the PEOs, SYSCOM Commanders, and DRPMs in providing assistance for exploring options that maximize use of technology to reduce manpower, personnel, and training (MPT) requirements

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and life cycle cost during initial concept review at the initial milestone and throughout design and development. NAVMAC shall provide the PM with subject matter expertise and shall represent CNO (N1) as the primary MPT advisor to the acquisition coordination teams (ACTs) and the integrated product teams (IPTs).

Detailed responsibilities for the foregoing organizations, including those for IT, are found in enclosures (1) through (7). IT functional area POCs are listed in enclosure (7), appendix II, annex B, section 7.

8. Action. DON activities shall:

a. Ensure that the policies, procedures, documentation, and reports as required by references (a), (b), and this instruction and its enclosures are followed.

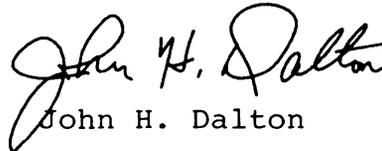
b. Review existing guidance and instructions and cancel or update to conform with references (a), (b), and this instruction.

(1) Unless prescribed by statute or specifically authorized here, the policies and procedures of this instruction will not be supplemented without the prior approval of ASN(RD&A).

(2) Implementing directives, instructions, regulations, memorandums, and related issuances shall be kept to the minimum.

c. Distribute this instruction to appropriate command personnel.

9. Reports and Form. Required periodic reports are listed in enclosure (6). SF 298 (Rev 2-89), Report Document Page, NSN 7540-01-280-5500, is available from General Services Administration.


John H. Dalton

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Distribution: (1 copy each unless otherwise indicated)

SNDL A1A (SECNAV)
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