



DEPARTMENT OF THE NAVY
OFFICE OF THE ASSISTANT SECRETARY
(RESEARCH, DEVELOPMENT AND ACQUISITION)
1000 NAVY PENTAGON
WASHINGTON DC 20350-1000

AUG 24 2009

MEMORANDUM FOR DISTRIBUTION

SUBJECT: Acquisition Document Coordination

This memorandum consolidates all new and existing Office of the Under Secretary, Acquisition, Technology and Logistics, (OUSD AT&L) and Department of the Navy (DON) guidance regarding the submission of Technology Development Strategies, Acquisition Strategies, and Acquisition Program Baselines (APBs).

OUSD AT&L Acquisition, Resources and Analysis recently released business rules and a timeline (TAB A) to provide guidance on the coordination process for Technology Development Strategies, Acquisition Strategies, and APBs. OSD's goal is to complete the processing of these documents within 30 days of their receipt.

The DON's business rules for the coordination of APBs were previously established for Major Defense Acquisition Programs (MDAP) and are included with this memo (TAB B).

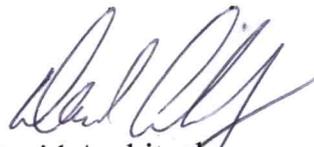
To ensure consistent and timely processing, this memo now establishes the business rules for the coordination of Major Automated Information Systems APBs, Technology Development Strategies and Acquisition Strategies by this memorandum (TAB C).

All of the attached documents and referenced documents are available at the RD&A Information System website in the Acquisition, Programmatic and Analysis section in the Tips and Tricks subsection.

The processing of these program documents must be handled in the most effective and efficient manner possible. I look forward to your support in aligning our process with the OSD guidance and in following the Navy's business rules for these documents.

SUBJECT: Acquisition Document Coordination

Should you have any questions, my points of contact on this matter are Ms. Katie Cewe (Katie.Cewe@navy.mil; (703) 614-0144) or Ms. Paulette Whitaker (Paulette.Whitaker@navy.mil; (703) 614-0145).



David Architzel
Vice Admiral, U.S. Navy
Principal Military Deputy

Attachments:
As stated

Distribution:
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ACQUISITION,
TECHNOLOGY
AND LOGISTICS

OFFICE OF THE UNDER SECRETARY OF DEFENSE
3000 DEFENSE PENTAGON
WASHINGTON, DC 20301-3000

JUN 24 2009

MEMORANDUM FOR DEFENSE ACQUISITION BOARD MEMBERS AND
ADVISORS

SUBJECT: Expedited Acquisition Document Coordination

The Department has an obligation to be thorough in our review of acquisition programs and to do those reviews as expeditiously as possible to not impede the acquisition progress. Therefore, I am establishing an objective to coordinate acquisition documents with OSD within 30 days. As a corollary to this objective, documents must be sufficient, in accordance with our guidance, to allow for properly informed decisions.

As a step toward achieving this objective, my staff has developed a set of business rules and a 30 day timeline (TAB A) to guide the coordination process for Technology Development Strategies, Acquisition Strategies, and Acquisition Program Baselines. These business rules are effective immediately. At a later time, if appropriate, applicability may be considered for a wider set of milestone decision information, in accordance with the respective document/information "owners" (OSD responsible organizations).

My point of contact for this action is Mr. Richard Sylvester, Deputy Director, Acquisition Management, 703-697-0476 or richard.sylvester@osd.mil.

Nancy L. Spruill
Director, Acquisition Resources
and Analysis

Attachment:
As stated

2009 JUN 25 AM 10:52
DEFENSE ADMIN



TAB A

BUSINESS RULES AND TIMELINES

DOCUMENT COORDINATION BUSINESS RULES

Purpose: Achieve Office of the Secretary of Defense (OSD) level coordination of acquisition documents within 30 business days of official submission by the Component.

Applicability: These rules apply to Technology Development Strategies, Acquisition Strategies, and Acquisition Program Baselines that require approval by the Under Secretary of Defense for Acquisition, Technology, and Logistics. These rules and timelines are intended to address the norm, and are subject to exceptions. A web portal will be developed to facilitate the automation of the coordination process, and to provide a searchable, accessible archive capability. Specific application of the business rules to the portal effort will be addressed separately. All references to "days" are for "business days."

Procedures:

1. Subject documents must be submitted for coordination to the Office of the Under Secretary of Defense for Acquisition, Technology and Logistics (OUSD(AT&L)), Acquisition Resources and Analysis (ARA). Coordination efforts will include all relevant stakeholders on the OSD staff, the Joint Staff, the Components and any other relevant offices – going forward the collective coordination effort will be referred to as "OSD-level coordination."
2. ARA will accept documents only from designated Component program points of contact (POCs) for the program or pre-program. Document receipt and acceptance by ARA initiates the OSD-level coordination process.
3. OSD-level coordination will consist of two mandatory rounds – "draft" and "formal."
 - In both draft and formal coordination, Integrated Product and Process Development (IPPD) practices will be utilized. ARA will provide each OSD office which submits comments on the documentation with confirmation that the comments have been received. ARA will consolidate comments and work with stakeholders to de-conflict and adjudicate comments at the lowest levels possible.
 - In both draft and formal coordination, once OSD comments are resolved, ARA will provide the comments to the Component/program office to consider for integration into the document. The Component will update the document and provide a Component adjudication matrix back to ARA within an agreed upon time for each version of a given document.

- **DRAFT COORDINATION:** The draft round of coordination is intended to facilitate transparency and provide a venue for stakeholders to identify and resolve issues prior to the formal coordination round. The draft round of coordination is mandatory. The program manager (PM) or Component POC will submit the document to ARA for draft coordination after the PM or POC has approved it. OSD-level efforts will initiate when the document is received from the Component by ARA.
 - The draft coordination round cycles (each cycle including draft, review, and re-draft) will generally be timed similar to the events described below for formal coordination, with the recognition that complexity and other factors should impact the draft round scheduling.
 - Coordination scheduling for the complete draft round of coordination will be planned jointly between OSD and the Component. The coordination plan should be re-visited as each cycle of coordination diminishes the number of comments received from Component and OSD stakeholders. The draft coordination process, and the cycles within, occurs prior to the Component Acquisition Executive (CAE) signature and the start of the "30 day clock." There may be several cycles of coordination in the draft round of coordination.
 - During draft coordination the Director, ARA and the OIPT Leader will have two days to determine if the document meets completeness and/or sufficiency requirements, with the intent of saving stakeholders from having to review insufficient documents. The steps to broad Action Officer (AO)-level OSD coordination following this sufficiency review are the same as below in the formal coordination round.
- **FORMAL COORDINATION:** The formal coordination round is intended to deliver documents to the USD(AT&L) for official approval within 30 days of the date the CAE signed the document. The CAE signed document needs to be provided to ARA expeditiously, in paper and electronic format, to initiate the formal coordination process. Defense Acquisition Board Members and Advisors constitute the primary stakeholders for the formal review. Signatures for the OSD-level coordination must be at a Senior Executive Service (SES)/General Officer (GO)/Flag Officer (FO) level, as delegated by the DAB Principal or Advisor.
 - During formal coordination the Director, ARA and the Overarching Integrated Product Team (OIPT) Leader will have two days to determine if

the document meets completeness and/or sufficiency requirements, with the intent of saving stakeholders from having to review insufficient documents. This initial determination will be based on information requirements for the given document – for example, Acquisition Strategies will be compared to governing statutes, regulations, and Defense Acquisition Guide Chapter 2, as well as past experience. This initial review will ensure no primary information elements have been omitted, and may or may not address information sufficiency.

- By the third day, Director, ARA, with the guidance of the OIPT Leader, must either accept the document or determine the document deficient. If accepted, the document will be distributed for OSD review, and OSD-level coordination is initiated. If determined to be deficient, the document will be returned to the Component for revision with specific deficiencies identified. The “30 day clock” will restart upon resubmission with an updated CAE signature.
- Upon acceptance, ARA will provide the documents to all OSD-level coordination reviewers. In the formal coordination round, the OSD reviewers will have ten days to review and provide comments to the ARA action officer, including indication as to whether critical comments from previous coordination cycles were adequately addressed. After 10 days, the official consolidated set of comments may be provided to the Component independent of whether or not all reviewers have responded.
- The comments must be identified by priority – ‘critical’ (reviewer will recommend principal non-concur with the document), ‘substantive’ (reviewer will raise the issue at the OIPT level), or ‘administrative’. Comments must also be in two categories: ‘core’ – those within the reviewer’s organizational and functional purview, and ‘advisory’ – those outside the reviewer’s organizational purview. The ARA AO will work with stakeholders to de-conflict and adjudicate comments prior to providing a consolidated list of comments to the Component. Any stakeholder organization is free to directly engage their Component counterparts in dialogue as usual; however all comments that require formal consideration and/or incorporation in a revised document must be in the consolidated set(s) provided to the Component by ARA. The consolidated set of comments will also be provided to all OSD stakeholders.
- During the formal coordination round, the Component will have 10 days to resolve the OSD comments and return the revised document to ARA.

- **Once the Component resolved documents are returned and received by ARA, ARA will work with the appropriate stakeholders to verify that critical and substantial comments have been adequately addressed. The OIPT level (SES/GO/FO) will review and concur with package content to move forward for final signature. Any remaining unresolved issues will be elevated to the OIPT level (SES/GO/FO) for expeditious resolution. ARA will prepare and submit the package for USD(AT&L) approval, within the remaining time.**

- **Once the document is approved by the USD(AT&L), ARA will complement the Correspondence Management Office distribution with a wider distribution to OSD and the Components.**

ACQUISITION PROGRAM BASELINE (APB)

APPROVAL PROCESS

The following steps apply to both new and revised APBs for ACAT I and II programs:

- For all ACAT I programs (both MDAP and MAIS) the data for the individual sections of the APB must be input into the Defense Acquisition Management Information Retrieval (DAMIR) system before the routing of the document begins. Subsequent, to the completion of this step an original should be printed from DAMIR and routed for signatures and processing. ACAT II programs may use a Word document to prepare the proposed document, however the format provided should be similar to that provided by ACAT I programs.)
- The signature page should be either drafted to accommodate the required signatures as provided below or a copy may be saved from the signature page samples or Templates provided in the ASN RDA Information System. (The samples and Templates are located in the Acquisition, Programmatic and Analysis section in the Tips and Tricks section.)
- Route original proposed APB, signature page, and cover memo to OPNAV Program Sponsor. **Note if sponsor is under N8F, route package to N8F Front Office Secretariat, Pentagon room 5E476, phone number 614-2162 or optimally, route to N810C.**
- Concurrently provide copy to your DASN and also to DASN A&LM [Acquisition, Programmatic and Analysis, (APA)].
- Signature pages should contain the following approval signatures as specified below: (Note: These signatures are the only required signatures for MDAP Programs ACAT IC, ID, II and MAIS Programs ACAT IAC, IAM. Additional signatures are not required nor desired on the official APB document.)

Program Manager (all ACAT programs)

Program Executive Officer/SYSCOM/DRPM (all ACAT programs)

DCNO (Warfare Requirements and Programs (N8F)) (ACAT IC or ID/II programs only)

DCNO (Resources, Requirements and Assessments (N8)) (ACAT IC/ID or ACAT II programs as appropriate) or

CMC (Deputy Commandant, Programs and Resources) (ACAT I/II programs as appropriate) or

DCNO [Fleet Readiness and Logistics (N4)] (ACAT I/II programs as appropriate) or

DCNO, Communication Networks (N6) (ACAT I/II programs as appropriate) or

DON Acquisition Executive (all ACAT I programs only)
Principal Deputy Assistant Secretary of the Navy (ACAT II programs only)

Under Secretary of Defense for Acquisition, Technology and Logistics (ACAT ID programs only) or Assistant Secretary of Defense (Networks and Information Integration/DoD Chief Information Officer) (IAM programs only)

- Note: Per SECNAV Instruction 5000.2D of 22 DEC 08... "From the date the ACAT I, IA and II APBs are forwarded to CNO/CMC organizations, there is a 30-calendar day time limit to complete the concurrence/endorsement process. Concurrence will be assumed after 30 days unless a specific non-concurrence has been forwarded."
- After obtaining resource sponsor signatures, route original APB package to the DASN Action Officer for completion of Executive Summary memo and preparation of package for ASN RD&A signature. Concurrently for ACAT I programs, the DAMIR copy should be released to the Navy in the DAMIR system.
- The DASN Action officer will forward package to ASN(RD&A) APA for final review, coordination and forwarding for approval through ASN(RD&A) (and OUSD(AT&L) for ACAT ID or ASD NII for ACAT IAM programs) and final processing of the package.
- Upon final approval by the respective MDA the original APB hard copy package will be returned to ASN(RD&A) APA for final processing. [Note: in the case of ACAT ID and IAM programs, the original signed copy is retained by the MDA. A copy of the signed signature page will be provided to ASN RD&A(APA) and a copy of all finalized pages except the signature page will be printed from the approved DAMIR electronic file.
- ASN(RD&A) APA will provide final copies to DASN Action officers and program office and maintain copies for future reference. APA will also advise when the electronic file is finalized in DAMIR.

TECHNOLOGY DEVELOPMENT STRATEGIES AND ACQUISITION STRATEGIES

APPROVAL PROCESS

- When the PM and PEO signatures are completed on the Technology Development Strategies and Acquisition Strategies the documents should be forwarded to the DASN Action Officer for further coordination.
- The DASN Action officer is responsible for obtaining the OPNAV sponsor and other ASN(RD&A) /Secretariat coordination's and concurrences,
- When the documents complete the approval process a copy of the document will be provided and a copy maintained within ASN RD&A.