



www.DAU.edu



Foundational Learning



Workflow Learning



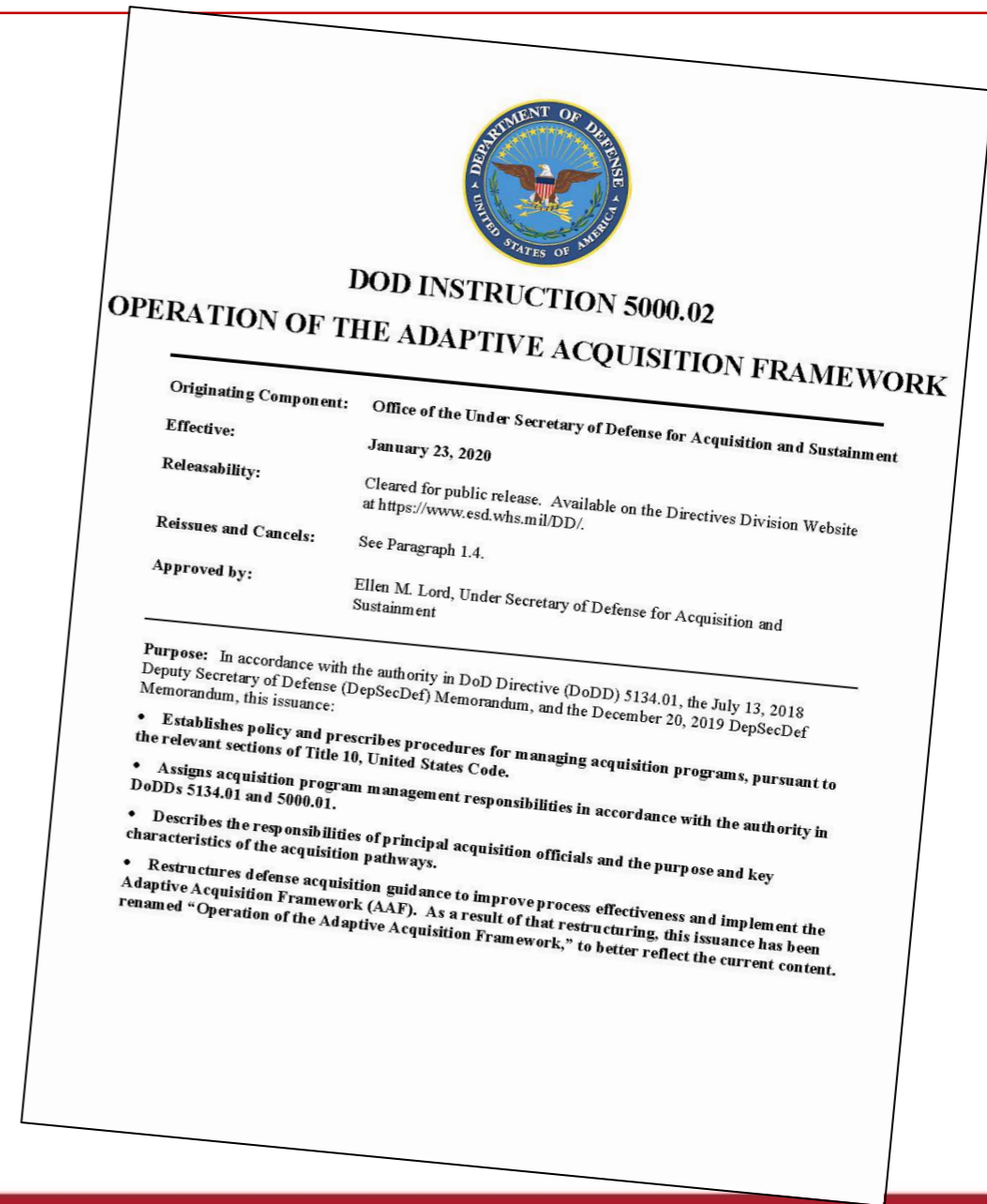
Performance Learning





DoDI 5000.02, *Operation of the Adaptive Acquisition Framework*, 23 Jan 2020

- DoDI 5000.02, Jan 23, 2020, *Operation of the Adaptive Acquisition Framework*, is a **new** instruction.
- The policies and procedures provided by the previous Jan 2015 (with Chg. 5) version of DoDI 5000.02 are now contained in DoDI 5000.02T, chg 6, Jan 23, 2020. DoDI 5000.02T will be replaced by a new series of instructions. See Transition Plan table, chart 5.





Topics

- **Summary of Major Provisions**
- **Transition Plan**
- **Responsibilities & Authorities**
- **Adaptive Acquisition Framework (AAF)**
- **Procedures**
- **AAF Pathways**
 - Urgent Capability Acquisition
 - Middle Tier of Acquisition
 - Major Capability Acquisition
 - Software Acquisition
 - Business Systems Acquisition
 - Acquisition of Services



Summary of Major Provisions

DoDI 5000.02, *Operation of the Adaptive Acquisition Framework*

Policy. “The DAS supports the National Defense Strategy through the development of a lethal and effective force based on American technological innovation and a culture of performance that yields decisive and sustained U.S. military advantage. To achieve that objective, ***the department will employ an adaptive acquisition framework comprised of acquisition pathways, each tailored for the unique characteristics of the capability being acquired.***”

Transition Plan: Provides plan to transition from policies and procedures in DoDI 5000.02T to new or reissued acquisition policy.

Assigns Responsibilities to:

- USD(A&S)
- USD(R&E)
- DOD Component Heads
- Component Acquisition Executive (CAE)
- Executive Director, Joint Rapid Acquisition Cell (JRAC)

Describes Program Management Authorities for:

- Milestone Decision Authority/Decision Authority (MDA/DA)
- Program Executive Officer (PEO)
- Program Manager (PM)
- Product Support Manager (PSM)

Describes 6 Pathways:

- Urgent Capability Acquisition
- Middle Tier of Acquisition
- Major Capability Acquisition
- Software Acquisition
- Defense Business Systems
- Acquisition of Services

“PMs will develop an acquisition strategy for MDA approval that matches the acquisition pathway, processes, reviews, documents, and metrics to the character and risk of the capability being acquired. PMs, with the approval of MDAs/DAs, may leverage a combination of acquisition pathways to provide value not otherwise available through use of a single pathway.”



Transition Plan

From DoDI 5000.02T to New or Reissued Policy

- DoDI 5000.02T will remain in effect, with content removed as it is cancelled or transitions to a new issuance, as shown here.
- When the AAF realignment is complete, DoDI 5000.02T will be cancelled.

DoDI 5000.02T	Associated New Policy (Issuances with Lettered Extensions are in Development)
Core Acq Policy (Para 6, Procedures)	DoDI 5000.UG, <i>Major Capability Acquisition</i>
Encl 1, Acq Program Categories & Compliance Requirements – Info Tables	<ul style="list-style-type: none"> • DoDI 5000.UG, <i>Major Capability Acquisition</i> • Tables Authorized by DoDI 5000.UG will be posted to the AAF Website
Encl 2, Program Management	<ul style="list-style-type: none"> • DoDI 5000.UG, <i>Major Capability Acquisition</i> • DoDI 5010.44, <i>Intellectual Property</i>, Oct 16, 2019 replaces Para 6.a.(4), <i>IP Strategy</i>
Encl 3, Systems Engineering	DoDI 5000.UI, <i>Engineering</i>
<ul style="list-style-type: none"> • Encl 4, Developmental Test and Evaluation (T&E) • Encl 5, Operational and Live Fire T&E 	DoDI 5000.UF, <i>Test and Evaluation (T&E)</i>
Encl 6, Life-Cycle Sustainment	DoDI 5000.UG, <i>Major Capability Acquisition</i>
Encl 7, Human Systems Integration (HSI)	DoDI 5000.pr, <i>Human Systems Integration in Defense Acquisition</i>
Encl 8, Affordability Analysis and Investment Constraints	Replaced by direction in Sec 807, Public Law 114-328 (NDAA 2017). Adds new subchapter III, Cost, Schedule, and Performance of MDAPs to Chapter 144B, Title 10, USC
Encl 9, Analysis of Alternatives (AoA)	Necessary information is in DoDD 5105.84 and the Defense Acquisition Guidebook
Encl 10, Cost Estimating and Reporting	Necessary guidance is in DoDI 5000.73, <i>Cost Analysis Guidance and Procedures</i> .
Encl 11, Requirements Applicable to All Programs Containing Information Technology (IT)	DoDI 5000.UH, <i>Acquisition of Information Technology</i>
Encl 12, Urgent Capability Acquisition	DoDI 5000.81, <i>Urgent Capability Acquisition</i> , Dec 31, 2019
Encl 13, Cybersecurity in the Defense Acquisition System	<ul style="list-style-type: none"> • DoDI 5000.CS, <i>Cybersecurity for Acquisition Decision Authorities and Program Managers</i> • USD(R&E) technology and program protection issuance in development

This table was adapted from Table 1, DoDI 5000.02 and Table 1, DoDI 5000.02T



DoDI 5000.02, *Operation of the Adaptive Acquisition Framework* Responsibilities

Under Secretary of Defense (Acquisition and Sustainment) (USD(A&S)):

- Serves as an advisor in the preparation of major defense acquisition program (MDAP) analysis of alternatives study guidance.
- Serves as the MDA for the Materiel Development Decision, Milestone A, the Request for Proposal Release Decision Point for the Engineering and Manufacturing Development Phase, Milestone B, and Milestone C for ACAT ID programs.
- Issues and maintains requirements for the content, and the review and approval process for ACAT ID acquisition strategies and approves the acquisition strategies for ACAT ID programs.
- Publishes all middle tier of acquisition (MTA) policy, to include MTA rapid prototyping policy and MTA rapid fielding policy. USD(A&S) written approval is required prior to using the MTA pathway for a program that exceeds the MDAP dollar threshold.

References for USD(A&S) Responsibilities, Deputy Secretary of Defense Memorandums:

- “Establishment of the Office of the Under Secretary of Defense for Research Engineering and the Office of the Under Secretary of Defense for Acquisition and Sustainment,” Jul 13, 2018 (UNCLAS/FOUO)
- “Procedures for the Establishment of Program Cost, Fielding, and Performance Goals for Major Defense Acquisition Programs,” Nov 16, 2018
- “Acquisition Roles and Responsibilities,” Dec 20, 2019



DoDI 5000.02, *Operation of the Adaptive Acquisition Framework* Responsibilities, continued..

Under Secretary of Defense (Research and Engineering) (USD(R&E)):

- Serves as a technical advisor in the preparation of MDAP AoA study guidance.
- Confirms that a materiel solution that addresses the validated need or capability gap for the MDAP is technically feasible and achievable.
- Conducts and approves independent technical risk assessments (ITRAs) for ACAT ID Programs.
- Provides guidance for Military Department-conducted ITRAs for ACAT IB and IC programs. Approves Military Department-conducted ITRAs (at USD(R&E)'s discretion). ITRAs conducted on non-MDAP programs will follow USD(R&E)-published ITRA policy.
- Maintains authority over early development prototyping policy outside of MTA.
- Approves the development testing and evaluation in the Test and Evaluation Master Plan.

References for USD(R&E) Responsibilities, Deputy Secretary of Defense Memorandums:

- “Establishment of the Office of the Under Secretary of Defense for Research Engineering and the Office of the Under Secretary of Defense for Acquisition and Sustainment,” Jul 13, 2018 (UNCLAS/FOUO)
- “Procedures for the Establishment of Program Cost, Fielding, and Performance Goals for Major Defense Acquisition Programs,” Nov 16, 2018
- “Acquisition Roles and Responsibilities,” Dec 20, 2019



DoDI 5000.02, *Operation of the Adaptive Acquisition Framework* Responsibilities, continued..

DOD Component Heads:

- Aligns management of acquisition programs with the three principal DoD processes to support affordable design, development, production and sustainment of mission effective capability and services. These processes are the:
 - Joint Capabilities Integration and Development System (JCIDS)
 - Planning, Programming, Budgeting and Execution (PPBE) System
 - Defense Acquisition System (DAS)

Component Acquisition Executive (CAE), under the authority, direction, and control of the DoD Component head:

- Implements the direction in this instruction and DoDD 5000.01.
- When necessary, submits waivers or requests for exception to the provisions in this instruction to the applicable authority. Statutory requirements cannot be waived unless a statute permits.
- May delegate decision authority to the lowest appropriate level unless otherwise specified.

Executive Director, Joint Rapid Acquisition Cell: Under the authority, direction, and operational control of DepSecDef, manages the urgent capability acquisition pathway IAW DoDD 5000.71.



DoDI 5000.02, *Operation of the Adaptive Acquisition Framework* Program Management Authorities

Milestone Decision Authority/Decision Authority (MDA/DA):

- Is the program decision authority and specifies decision points and procedures for assigned programs.
- Tailors program strategies and oversight, phase content, timing and scope of decision reviews, and decision levels based on characteristics of capability being acquired to satisfy user requirements.
- MDAs for MDAPs and major systems approve the acquisition strategy at all major decision points.

Program Executive Officer (PEO). Balances the risk, cost, schedule, performance, interoperability, sustainability, and affordability of a portfolio of acquisition programs and delivers an integrated suite of mission effective capability to users.



DoDI 5000.02, *Operation of the Adaptive Acquisition Framework* Program Management Authorities, continued..

Program Manager (PM). Under the supervision of PEOs and CAEs, PMs:

- Plan acquisition programs, prepare programs for key decisions, and execute approved acquisition and product support strategies.
- Employ a thoughtful, innovative, and disciplined approach to program management.

Product Support Manager (PSM). Under the supervision of PMs, PSMs:

- Develop, plan, and implement a comprehensive product support strategy for all integrated product support elements and their material readiness.
- Make use of data-driven decision-making tools with appropriate predictive analysis capabilities to improve systems availability and reduce costs.



Adaptive Acquisition Framework

Enable Execution at the Speed of Relevance

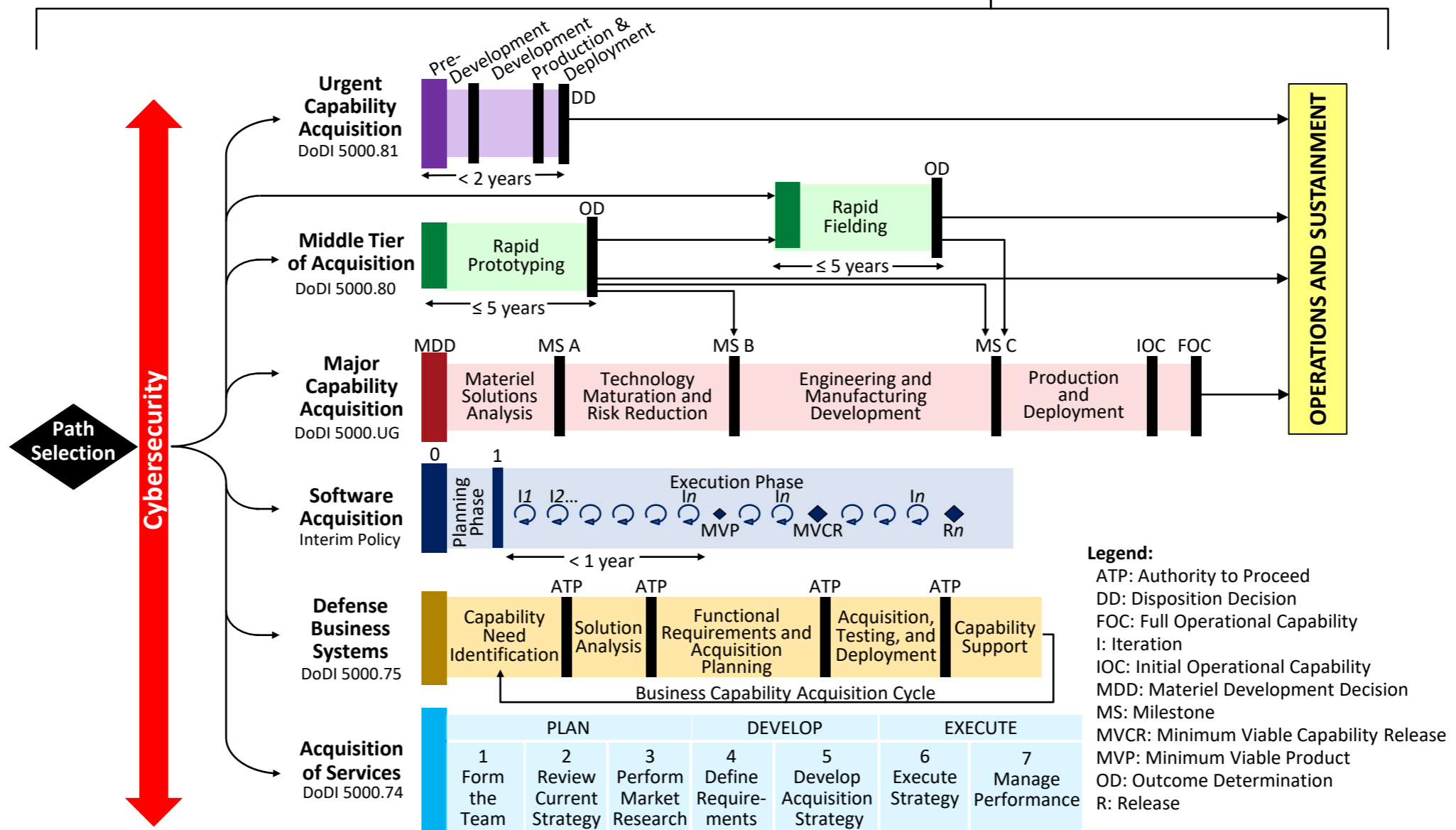
Tenets of the Defense Acquisition System

1. Simplify Acquisition Policy
2. Tailor Acquisition Approaches
3. Empower Program Managers
4. Conduct Data Driven Analysis
5. Actively Manage Risk
6. Emphasize Sustainment



DoDD 5000.01: The Defense Acquisition System

DoDI 5000.02: Operation of the Adaptive Acquisition Framework





DoDI 5000.02, *Operation of the Adaptive Acquisition Framework* Procedures

- **PMs will develop an acquisition strategy for MDA approval**, that matches the acquisition pathway, processes, reviews, documents, and metrics to the character and risk of the capability being acquired.
- **PMs, with the approval of MDAs/DAs, may leverage a combination of acquisition pathways** to provide value not otherwise available through use of a single pathway.

The use of multiple pathways does not affect the application of statutory thresholds otherwise applicable to the program as a whole, such as the MDAP or major system (ACAT II) thresholds unless a statute permits.

- **PMs employing multiple pathways will**
 - Define the transition points from the current to the new pathway;
 - Anticipate, develop and coordinate the information requirements required at the new **pathway** entry point; and ensure that a smooth transition is facilitated.



DoDI 5000.02, *Operation of the Adaptive Acquisition Framework* Procedures, continued..

- **PMs will:**

- “Tailor in” regulatory information that will be used to describe management of their program.
 - “Tailoring-in” means PM will identify and recommend for MDA approval the regulatory information that will document program plans and be provided for review by the decision authority. MDA will document decision in an ADM. Statutory requirements will be not be waived unless permitted by statute.
- Design program and business strategies to facilitate the acquisition of appropriate and cost-effective technology solutions and achieve mission success while being mutually advantageous to the DoD and its industry partners.
- Will consider acquisition strategies that leverage international acquisition and supportability planning to improve economies of scale, strengthen the defense industrial base, and enhance coalition partner capabilities to prepare for joint operations.
- Recognize that cybersecurity is a critical aspect of program planning.



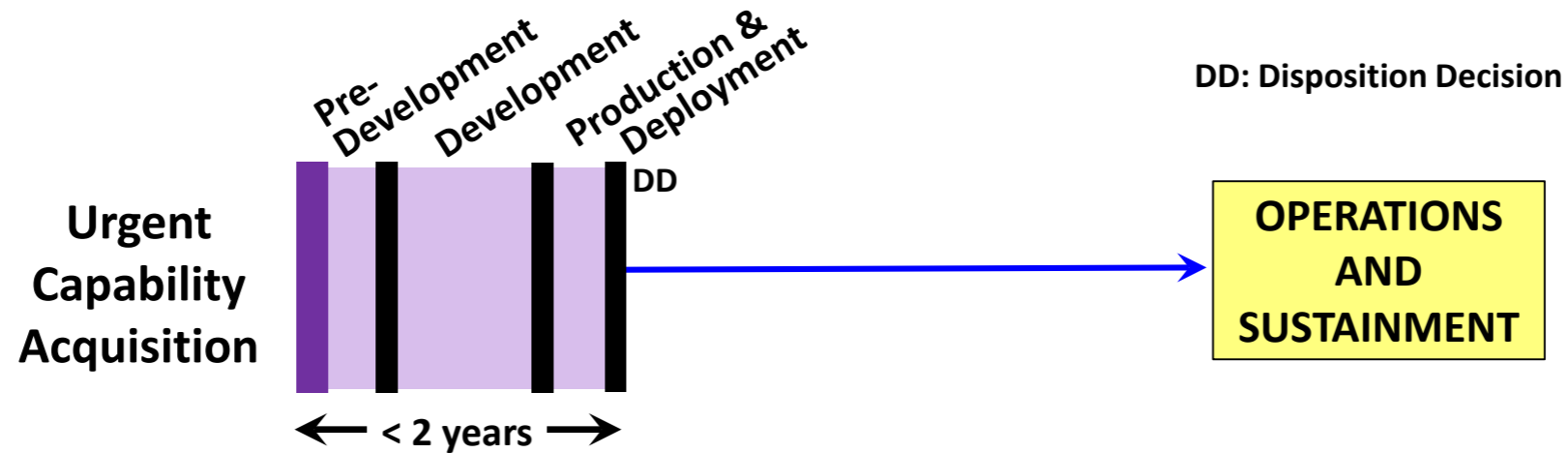
DoDI 5000.02, *Operation of the Adaptive Acquisition Framework* Procedures, continued..

- **PMs will:**

- Consider the procurement of data deliverables and associated license rights needed to support competitive acquisition and life-cycle sustainment strategies.
- Prioritize product support and affordability during early program planning to ensure sustained mission effectiveness.
- Establish a risk management program to ensure program cost, schedule, and performance objectives are achieved, and to communicate the process for managing program uncertainty. In consultation with the user representative, the PM will determine which environment, safety, and occupational health risks must be eliminated or mitigated, and which risks can be accepted.
- When consistent with pathway requirements, develop engineering plans and processes applicable to the pathways to mature technology, conduct necessary systems engineering tradeoffs, and produce and manage appropriate technical baselines through the use of systems engineering technical reviews.



DoDI 5000.02, Urgent Capability Acquisition Pathway



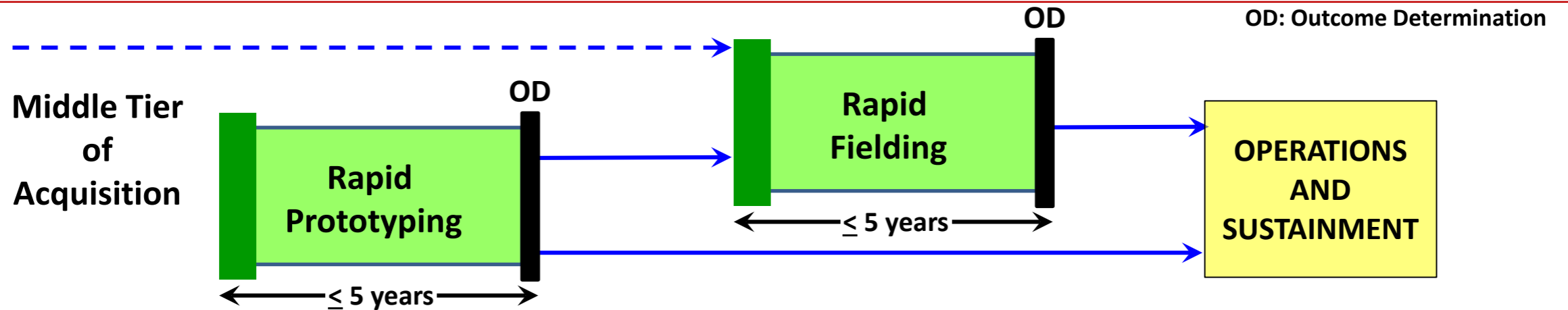
Purpose. To field capabilities to fulfill urgent existing and/or emerging operational needs or quick reactions in less than 2 years.

Characteristics. DoD's highest priority is to provide warfighters with the capabilities urgently needed to overcome unforeseen threats, achieve mission success, and reduce risk of casualties. Urgent Operational Needs (UONs) and other quick reaction capabilities are identified and approved for resolution by designated authorities. The estimated cost must not exceed \$525 million in research, development, and test and evaluation, or \$3.065 billion procurement in Fiscal Year 2020 constant dollars.

References. [DoDD 5000.71](#), [DoDI 5000.81](#) and the [JCIDS Manual](#)



DoDI 5000.02, Middle Tier of Acquisition Pathway



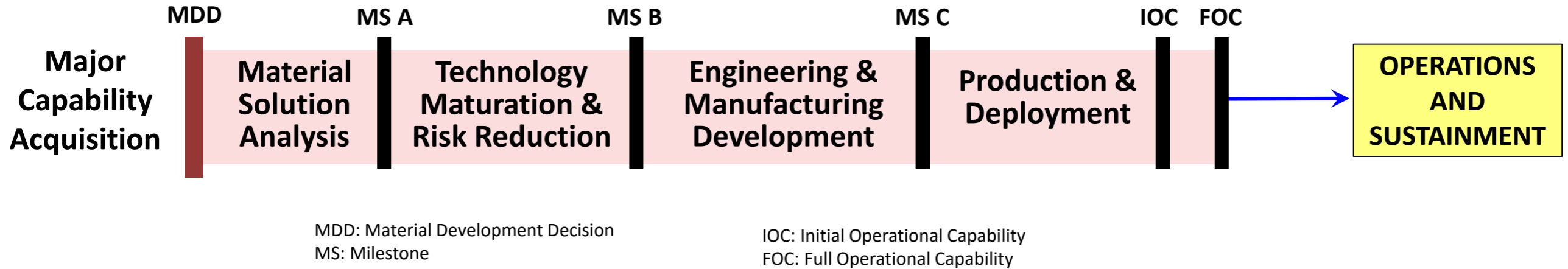
Purpose. Rapidly develop fieldable prototypes within an acquisition program to demonstrate new capabilities and/or rapidly field production quantities of systems with proven technologies that require minimal development.

Characteristics. Objective of rapid prototyping is (RP) to field a prototype meeting defined requirements that can be demonstrated in an operational environment and provide for residual operational capability within 5 years of the MTA program start date. The objective of rapid fielding (RF) is to begin production within 6 months and complete fielding within 5 years of the MTA program start date. RP and RF are not subject to JCIDS or DoDD 5000.01, except to the extent specifically provided in the guidance. PMs will “tailor-in” reviews, assessments, and documentation that results in an acquisition strategy customized to unique characteristics and risks of their program. PMs will ensure operational, technical, and security risks are identified and reduced so that fielded systems are capable, effective, and resilient. PMs will comply with statutory requirements unless waived in accordance with a relevant provision.

Reference. [DoDI 5000.80](#), 30 Dec 2019



DoDI 5000.02, Major Capability Acquisition Pathway



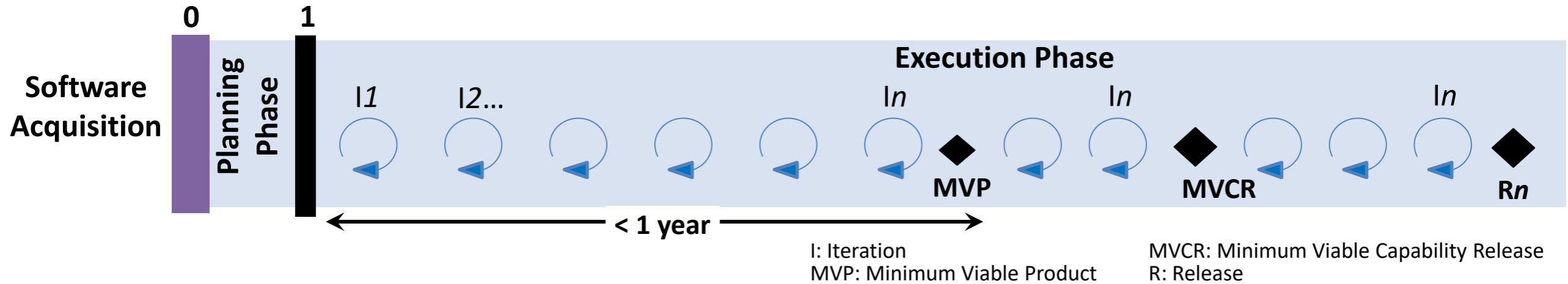
Purpose. To acquire and modernize military unique programs that provide enduring capability.

Characteristics. Typically follows a structured analysis, design, develop, integrate, test, evaluate, and produce approach. Acquisition processes, reviews, and documentation will be tailored based on the program size, complexity, risk, urgency, and other factors. Software intensive components may be acquired via the software acquisition pathway, with the outputs and dependencies integrated with the overall major capability pathway.

References. DoDI 5000.UG (to be issued)



DoDI 5000.02, Software Acquisition Pathway



Purpose. To facilitate rapid and iterative delivery of software capability (e.g., software-intensive systems and/or software-intensive components or sub-systems) to the user.

Characteristics. Integrates modern software development practice such as Agile Software Development, Development, Security, and Operations (DevSecOps), and Lean Practices. Small cross-functional teams that include operational users, developmental and operational testers, software developers, and cybersecurity experts leverage enterprise services to deliver software rapidly and iteratively to meet the highest priority user needs. These mission-focused, government-industry teams leverage automated tools for iterative development, builds, integration, testing, production, certification, and deployment of capabilities to the operational environment.

References. Interim Policy for Software Acquisition



DoDI 5000.02, Defense Business Systems Pathway



Purpose. Acquire information systems that support DoD business operations. Applies to defense business capabilities and their supporting business systems, including those with “as-a-service” solutions to include financial and financial data feeder, contracting, logistics, planning and budgeting, installations management, human resources management, and training and readiness systems. This pathway may also be used to acquire non-developmental, software intensive programs that are not business systems.

Characteristics. Assesses the business environment and identifies existing commercial or government solutions that could be adopted to satisfy DoD needs. DoD reviews its business processes and revises them to align more closely with commercial or government IT best practices. Customization of a selected information technology (IT) solution is minimal. Reduces risk and maximizes benefits by using commercial-off-the-shelf software that has been successfully demonstrated in the commercial marketplace.

Reference. [DoDI 5000.75](#)



DoDI 5000.02, Acquisition of Services Pathway

Acquisition of Services

PLAN			DEVELOP		EXECUTE	
1 Form the Team	2 Review Current Strategy	3 Perform Market Research	4 Define Requirements	5 Develop Acquisition Strategy	6 Execute Strategy	7 Manage Performance

Purpose. To acquire services from the private sector including knowledge-based, construction, electronics and communications, equipment, facilities, product support, logistics, medical, research and development, and transportation services.

Characteristics. Intended to identify the required services, research the potential contractors, contract for the services, and manage performance. The seven steps of the pathway are grouped into three phases: Plan, Develop, and Execute.

Reference. [DoDI 5000.74](#) and the online Service Acquisition Mall

www.DAU.edu



Foundational Learning



Workflow Learning



Performance Learning

T.R. "Randy" Pilling
Center Director
Acquisition & Program Management
Defense Acquisition University
Randy.Pilling@dau.edu

