COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

This supplement implements Department of Defense (DoD) Instruction (DoDI) 5000.80, *Operation of the Middle Tier of Acquisition (MTA)*, and provides Air Force guidance for middle tier acquisition. The DoDI is printed word-for-word in regular font without editorial review. Air Force supplementary material is printed in bold font and indicated by "(Added)(DAF)." This publication applies to all civilian employees and uniformed members of the Regular Air Force, Air Force Reserve, Air National Guard, United States Space Force (USSF), and those who are contractually obligated to comply with Department of the Air Force (DAF) publications. This publication may be supplemented at any level, but all supplements must be routed to the Office of Primary Responsibility (OPR) listed above for coordination prior to certification and approval. Refer recommended changes and questions about this publication to the OPR listed above using the AF Form 847, *Recommendation for Change of Publication*; route AF Forms 847 from the field through the appropriate chain of command. The authorities to waive wing or unit level requirements that are outside of the acquisition execution chain in this publication are identified with a Tier ("T 0, T-1, T-2, T-3") number following the compliance statement. See DAFI 33-360, *Publications and Forms Management*, for a description of the authorities associated with the Tier numbers. Submit requests for waivers through the chain of command to the appropriate Tier waiver approval authority, or alternately, to the requestor's commander for non-tiered, non-acquisition execution compliance items. Mandates to the acquisition execution chain as described in AFI 63-101/20-101, *Integrated Life Cycle Management*, are not elevated through the organizational chain of authority; therefore, tiering in accordance with DAFI 33-360 is not

applicable and the waiver authority is as specified. Ensure all records created as a result of processes prescribed in this publication are maintained in accordance with AFI 33-322, *Records Management and Information Governance Program*, and disposed of in accordance with the Air Force Records Disposition Schedule located in the Air Force Records Information Management System.

DoD Instruction 5000.80

Operation of the Middle Tier of Acquisition (MTA)

Originating Component:	Office of the Under Secretary of Defense for Acquisition and Sustainment
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Approved by:	Ellen M. Lord, Under Secretary of Defense for Acquisition and Sustainment
	DARLENE J. COSTELLO, SES **Acting Assistant Secretary of the Air Force** **(Acquisition, Technology & Logistics)**

Purpose: In accordance with the authority in DoD Directive 5134.01 and the July 13, 2018 Deputy Secretary of Defense Memorandum, this issuance establishes policy, assigns responsibilities, and prescribes procedures for the management of the MTA for rapid prototyping and rapid fielding in Section 804 of Public Law 114-92.

TABLE OF CONTENTS

TABLES

FIGURES

SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This issuance applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this issuance as the "DoD Components").

1.2. POLICY.

a. The overarching management principles that govern the defense acquisition system (DAS) are described in DoD Directive 5000.01 and DoD Instruction 5000.02. The objective of the DAS is to support the National Defense Strategy, through the development of a more lethal force based on U.S. technological innovation and a culture of performance that yields a decisive and sustained U.S. military advantage. To achieve that objective, the Department will employ an adaptive acquisition framework (AAF) comprised of acquisition pathways, shown in Figure 1, each tailored for the unique characteristics and risk profile of the capability being acquired. The AAF supports the DAS with the objective of delivering effective, secure, supportable, and affordable solutions to the end user while enabling execution at the speed of relevance. This issuance describes the responsibilities of principal acquisition officials and the purpose and key characteristics of the MTA acquisition pathway.

b. The MTA pathway is intended to fill a gap in the DAS for those capabilities that have a level of maturity to allow them to be rapidly prototyped within an acquisition program or fielded within 5 years of MTA program start. The MTA pathway may be used to accelerate capability maturation before transitioning to another acquisition pathway or may be used to minimally develop a capability before rapid fielding.

c. The rapid prototyping path provides for the use of innovative technologies to rapidly develop fieldable prototypes to demonstrate new capabilities and meet emerging military needs. The objective of an acquisition program under this path will be to field a prototype meeting defined requirements that can be demonstrated in an operational environment and provide for a residual operational capability within 5 years of the MTA program start date. Virtual prototyping models are acceptable if they result in a fieldable residual operational capability. MTA programs may not be planned to exceed 5 years to completion and, in execution, will not exceed 5 years after MTA program start without Defense Acquisition Executive (DAE) waiver.

d. The rapid fielding path provides for the use of proven technologies to field production quantities of new or upgraded systems with minimal development required. The objective of an acquisition program under this path will be to begin production within 6 months and complete fielding within 5 years of the MTA program start date. MTA program production start date will not exceed 6 months after MTA program start date without DAE waiver. MTA programs may not be planned to exceed 5 years to completion and, in execution, will not exceed 5 years after MTA program start without DAE waiver.

Figure 1. Adaptive Acquisition Framework
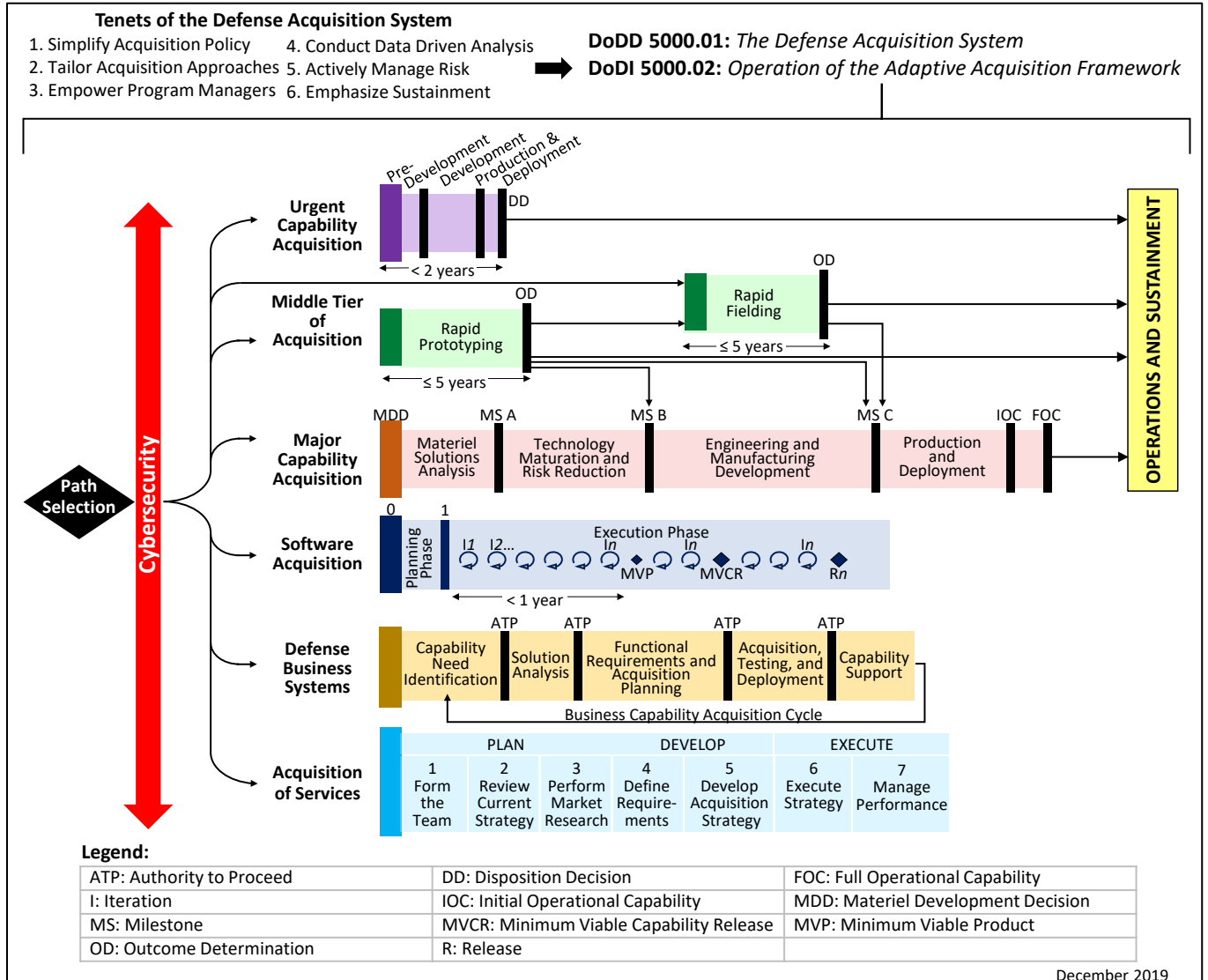
e. Not all programs are appropriate for the MTA pathway. Major systems intended to satisfy requirements that are critical to a major interagency requirement or are primarily focused on technology development, or have significant international partner involvement are discouraged from using the MTA pathway.

f. MTA programs will not be subject to the guidance in Chairman of the Joint Chiefs of Staff Instruction 5123.01H and DoD Directive 5000.01. Each DoD Component will develop a streamlined process that results in a succinct requirement document no later than 6 months from the time the operational needs process is initiated. Approval authorities for each capability requirement will be delegated to a level that promotes rapid action.

g. DoD Component-required procedures will be compliant with applicable statute and consistent with the requirements for acquisition programs stated in this issuance. When necessary, requests for waivers to the provisions of this issuance will be submitted to the DAE.

SECTION 2: RESPONSIBILITIES

2.1. UNDER SECRETARY OF DEFENSE FOR ACQUISITION AND SUSTAINMENT (USD(A&S)). In addition to the responsibilities in Paragraph 2.6., the USD(A&S):

a. Establishes policy and provides guidance for the MTA pathway in consultation with the Under Secretary of Defense for Research and Engineering (USD(R&E)), the Under Secretary of Defense (Comptroller)/Chief Financial Officer, Department of Defense (USD(C)/CFO); and the Vice Chairman of the Joint Chiefs of Staff (VCJCS).

b. Determines when a program is not appropriate for the MTA pathway. The USD(A&S) may disapprove use of the MTA pathway and direct use of an alternate acquisition pathway. Programs exceeding the dollar thresholds for a major defense acquisition program (MDAP) pursuant to Section 2430 of Title 10, United States Code (U.S.C.), require written approval prior to using the MTA pathway.

c. Advises the decision authorities (DA) on their MTA programs, and works with them to ensure streamlined processes.

d. Advises DoD Components and makes recommendations to the Secretary of Defense on the use of Rapid Acquisition Authority.

e. Maintains responsibility for prototyping activities within the MTA pathway.

2.2. USD(R&E). In addition to the responsibilities in Paragraph 2.6., the USD(R&E):

a. Consults with the USD(A&S) on policies and guidance for the MTA pathway.

b. Advises the USD(A&S) on MTA program technologies, program protection, developmental testing, program risks, and other areas as appropriate.

c. Advises the USD(A&S) on MTA program performance and execution metrics.

d. Manages the DoD rapid prototyping fund established in Section 804 of the National Defense Authorization Act for Fiscal Year 2016, as amended.

e. Advises DoD Components on program planning that anticipates the evolution of capabilities to meet the changing threats, technology insertion, and interoperability.

2.3. USD(C)/CFO. The USD(C)/CFO:

a. Consults with the USD(A&S) on policies and guidance for the MTA pathway.

b. Reviews and advises on funding for programs using the MTA pathway through the normal planning, programming, budgeting, and execution processes of the DoD.

2.4. DIRECTOR, OPERATIONAL TEST AND EVALUATION (DOT&E). The DOT&E:

a. Advises the USD(A&S) and DoD Components and monitors the planning and execution of MTA program operational demonstrations.

b. Selects MTA programs for DOT&E operational and/or live fire test and evaluation oversight using the authority in Sections 139, 2366, 2399, and 2400 of Title 10, U.S.C., as applicable.

c. Reviews and coordinates tailored test strategies for operational demonstration plans and assessments for MTA programs designated for DOT&E oversight.

d. Establishes operational demonstration planning and assessment guidelines for MTA programs, as appropriate.

2.5. DIRECTOR OF COST ASSESSMENT AND PROGRAM EVALUATION (DCAPE). The DCAPE:

a. Advises the USD(A&S) on schedule, resource allocation, affordability, systems analysis, cost estimation and the performance implications of proposed MTA programs.

b. Establishes policies and prescribes procedures for the collection of cost data and cost estimates for MTA programs, as appropriate.

2.6. DOD AND OSD COMPONENT HEADS WITH MTA PROGRAMS. The DoD and OSD Component heads oversee their MTA programs through their component acquisition executives (CAEs) and program managers (PMs):

a. CAEs will designate a PM and Product Support Manager (PSM) for each program using the MTA pathway. CAEs will serve as the DA for programs approved for the MTA pathway, unless delegated by the CAEs, and will implement the procedures in this issuance.

b. PMs will develop acquisition strategies, execute approved program plans, field capabilities, and report program status. They will employ an innovative and disciplined approach and will seek appropriate alternatives to any regulatory requirements that increase burden without adding value to their programs. PMs will "tailor- in" reviews, assessments, and relevant documentation that results in an acquisition strategy customized to the 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 relevant provisions.

(1) (Added)(DAF). PMs will develop and propose an acquisition strategy for the DA that includes milestones, metrics, execution guardrails, and any other required documentation. (T-0). PMs execute MTA programs following the approved acquisition documents prepared according to DA guidance.

(2) (Added)(DAF). PMs will leverage approved documented requirements and consult with the requirements sponsor and other stakeholders to ensure a clear understanding of the expected operational concept and the required system-level performance or function. Expected system employment and operating environment informs system performance and interoperability constraints, as well as the supporting strategies to include test, maintenance, logistics, and intelligence.

c. PMs, with the support of the PSMs, will develop and implement sustainment programs addressing each of the Integrated Product Support (IPS) elements to deliver affordable readiness.

2.7. VCJCS. In addition to the responsibilities in Paragraph 2.6., the VCJCS:

a. Consults with the USD(A&S) as appropriate on policies and guidance for the MTA pathway.

b. Maintains a library of MTA requirement documents available to DoD Components.

c. Advises DoD Components on interoperability across the joint force, cybersecurity of military networks, and alignment with future warfighting concepts.

2.8. (Added)(DAF). The Assistant Secretary of the Air Force (Acquisition, Technology and Logistics)(SAF/AQ), as the Component Acquisition Executive (CAE) (Note: The term Service Acquisition Executive (SAE) is equivalent to the term CAE used in DoD directives and instructions), will:

a. (Added)(DAF). Provide guidance and oversight for MTA activities for the DAF in consultation with the Deputy Chief of Staff for Strategy, Integration, and Requirements (AF/A5), the Deputy Chief of Staff for Plans and Programs (AF/A8), the Assistant Secretary of the Air Force for Financial Management (SAF/FM), the Assistant Secretary of the Air Force for Space Acquisition and Integration, (SAF/SP), the Deputy of Space Operations for Strategy and Resourcing (SF/S5/8), and the Director, Air Force Test and Evaluation (AF/TE).

b. (Added)(DAF). Serve as the DA for MTA efforts or delegate to the Program Executive Officer (PEO), with further delegation allowed as identified in AFI 63-101/20-101. Note: The DA may also be referred to as Milestone Decision Authority.

c. (Added)(DAF). In consultation with AF/A5, AF/A8, and SF/S5/8, submit additional funding requests that represent opportunities to accelerate MTA activities to the Assistant Secretary of the Air Force for Financial Management (SAF/FM) for inclusion on the Unfunded Requirements List for future reprogramming requests.

d. (Added)(DAF). Report status of MTA activities to the Congressional Defense Committees.

2.9. (Added)(DAF). The Deputy Chief of Staff for Strategy, Integration, and Requirements (AF/A5) and the Deputy of Space Operations for Strategy and Resourcing (SF/S5/8) consult with SAF/AQ on guidance and oversight of MTA activities, and oversees

the process for defining and documenting the Operational Needs and approved capability requirements to support Middle Tier of Acquisition activities.

2.10. (Added)(DAF). The Deputy Chief of Staff for Plans and Programs (AF/A8) and the Deputy of Space Operations for Strategy and Resourcing (SF/S5/8) will perform planning and programming for MTA activities.

2.11. (Added)(DAF). The Director, Air Force Test and Evaluation (AF/TE) will:

    a. (Added)(DAF). Provide guidance, direction, and oversight for all matters pertaining to the formulation, review, and execution of test and evaluation plans, policies, programs, and budgets for MTA programs.

    b. (Added)(DAF). Act as the final DAF test and evaluation review authority and signatory for Master Test Plans or Test and Evaluation Master Plans of MTA programs requiring SAE approval prior to SAE approval and signature. AF/TE will approve and sign Test and Evaluation Master Plans for any program on DOT&E oversight.

    c. (Added)(DAF). Review or prepare test and evaluation information from MTA programs for release to the Office of the Secretary of Defense (OSD) and ensure timely availability of test and evaluation results to decision makers.

    d. (Added)(DAF). Collaborate with requirements sponsors and system developers to improve the development, testing, and fielding of DAF systems or subsystems under the MTA pathway.

    e. (Added)(DAF). Participate in high performance teams, integrated test teams, and integrated product teams of MTA programs as necessary to help ensure program success.

    f. (Added)(DAF). Respond to and mediate DAF test and evaluation issues on MTA programs between HQ USAF principals, HQ USSF principals, MAJCOMs, field commands, DAF testers, the Services, OSD, and Congress.

    g. (Added)(DAF). Oversee the DAF test and evaluation infrastructure and ensure adequate facilities are available to support MTA test and evaluation activities.

    h. (Added)(DAF). Provide advice on Integrated Test Team charter development and membership requirements for MTA programs. Review Integrated Test Team charters for MTA programs on OSD oversight.

    i. (Added)(DAF). Provide policy, guidance, and oversight through the DAF modeling and simulation (M&S) governance structure on modeling and simulation in support of test and evaluation of MTA programs.

    j. (Added) (DAF). Directly advises the Vice Chief of Staff of the Air Force on issues pertaining to classified test programs.

2.12. (Added)(DAF). The Assistant Secretary of the Air Force for Financial Management (SAF/FM) will:

a. (Added)(DAF). Support funding for MTA efforts. Funding requests are submitted using the normal Planning, Programming, Budgeting and Execution process managed by the DAF and DoD.

b. (Added)(DAF). Support development of a Service Cost Position or a Non-Advocate Cost Assessment as required to support approved MTA programs.

2.13. (Added)(DAF). The DA will:

a. (Added)(DAF). Ensure all MTA efforts have approved capability requirements prior to MTA program start date.

b. (Added)(DAF). Ensure MTA programs are included in the Investment Master List (IML) as MTA Rapid Prototyping or Rapid Fielding entry with appropriate justifying documentation unless waived by the SAE.

SECTION 3: PROCEDURES

3.1. RAPID PROTOTYPING.

a. **Operational Needs.** DoD Components will develop a merit-based process for the consideration of innovative technologies and new capabilities to meet needs communicated by the Joint Chiefs of Staff and the Combatant Commanders. This process will result in an approved requirement and a DA signed acquisition decision memorandum (ADM) that validates the rationale for using the MTA pathway and identifies the full funding required.

b. **Acquisition and Funding Strategies.** DoD Components will develop a process to implement acquisition and full funding strategies for the program. This process will result in an acquisition strategy, which includes security, schedule and production risks, and a cost estimate.

c. **Demonstrating and Evaluating Performance.** DoD Components will develop a process for demonstrating performance and evaluating for current operational purposes the proposed products and technologies. This process will result in a test strategy or an assessment of test results, included in the acquisition strategy, documenting the evaluation of the demonstrated operational performance, to include validation of required cybersecurity and interoperability as applicable. Programs on the DOT&E oversight list will follow applicable procedures.

d. **Transitioning Rapid Prototyping Programs.** For each MTA program, DoD Components will develop a process for transitioning successful prototypes to new or existing acquisition programs for production, fielding, and operations and sustainment under the rapid fielding pathway or other acquisition pathway. This process will result in a transition plan, included in the acquisition strategy, which provides a timeline for completion within 2 years of

all necessary documentation required for transition, as determined by the DA, after MTA program start. **(Added)(DAF). Rapid prototyping actions end when the PM, in consultation with the using community, test community, and other stakeholders, presents a recommendation to the DA for transition. The DA, in consultation with the lead command, AF/A5, AF/A8, SF/S5/8, and other stakeholders, approves implementation. Note: A Department of the Air Force Review Board, as defined in AFI 63-101/20-101, may be convened by the DA. Prototype efforts may be implemented through incorporation into an existing acquisition program, a new acquisition program, modification of a fielded system, or termination. The focus should be on the results of operational demonstrations addressing approved requirements.**

3.2. RAPID FIELDING.

a. **Operational Needs.** DoD Components will develop a merit-based process for the consideration of existing products and proven technologies to meet needs communicated by the Joint Chiefs of Staff and the Combatant Commanders. This process will result in an approved requirement and a DA signed ADM, with minimum fielding plan criteria, identifying the full funding required.

b. **Demonstrating and Evaluating Performance.** DoD Components will develop a process for demonstrating performance and evaluating for current operational purposes the proposed products and technologies. This process will result in a test strategy or an assessment of test results, included in the acquisition strategy, documenting the evaluation of the demonstrated operational performance, to include validation of required cybersecurity and interoperability as applicable. The operational demonstration assessment will support the initial production decision by the DA. Programs on the DOT&E oversight list will follow applicable procedures.

c. **Acquisition and Funding Strategies.** DoD Components will develop and implement acquisition and full funding strategies for the program. This process will result in an acquisition strategy, which includes security, schedule and production risks, and a cost estimate.

d. **Lifecycle Cost, Logistics Support, and Interoperability.** DoD Components will develop a process for considering lifecycle costs and address issues of logistics support and training; system, joint, and coalition interoperability; and planning for cooperative opportunities, to include foreign sales. This process will result in a tailored lifecycle sustainment plan.

e. **Reducing Total Ownership Cost.** DoD Components will develop a process for identifying and exploiting opportunities to use the rapid fielding pathway to reduce total ownership costs. Success in this process will result in a tailored lifecycle sustainment plan that considers the integrated product support elements.

f. **Transitioning Rapid Fielding Programs.** For each MTA program, DoD Components will develop a process for transitioning successful programs to operations and sustainment. This process will result in a transition plan, included in the acquisition strategy, which provides a timeline for completion within 2 years of all necessary documentation required for transition, as determined by the DA, after MTA program start. **(Added)(DAF). The benchmark for completing fielding should be determined based on the circumstances of the particular**

program and can include required assets available, initial operating capability, limited deployment, and block fielding of systems.

3.3. (ADDED)(DAF). RAPID PROTOTYPING AND RAPID FIELDING COMMON GUIDANCE.

a. (Added)(DAF). Operational Needs.

(1) (Added)(DAF). Exemption from the Joint Capabilities Integration and Development System (JCIDS) does not exempt MTA programs from needing approved documented requirements. MTA programs are still required to meet the stipulations of the statutory authority, the overarching DoD Instruction, and the FAR regarding approved requirements.

(2) (Added)(DAF). The DCS AF/A5 and USSF counterpart oversee capability development, including documentation and approval of capability requirements for efforts intended to satisfy operational needs. This ensures capability development efforts align with overarching strategy, capability development guidance, and resourcing priorities. Refer to AFI 10-601, *Operational Capability Requirements Development*, for guidance on capability requirements documentation to support MTA activity.

b. (Added)(DAF). Acquisition Strategies. The PM will prepare and receive DA approval on a tailored acquisition strategy in accordance with FAR Subpart 7.105, Defense Acquisition Regulation Supplement Subpart 207.1, and Air Force Federal Acquisition Regulation Supplement Subpart 5307.1. (T-0). The acquisition strategy includes, but is not limited to, the following items:

(1) (Added)(DAF). Acquisition programmatic information including, but not limited to, program goals/objectives and the acquisition schedule to include the timing, criteria for, and scope of decision reviews, potential follow-on activities, and relationship with other acquisition programs or activities.

(2) (Added)(DAF). Contract strategy information including competition, market research, demonstration of use of appropriate statutory or regulatory authority, solicitation and evaluation methodology, contractual approach to obtain intellectual property rights that support the expected service life, and acquisition or assistance instrument.

(3) (Added)(DAF). Funding requirements and funding strategy.

(4) (Added)(DAF). Guardrails that identify how success will be measured and when DA notification and review of breaches must occur.

(5) (Added)(DAF). Risks and risk management process.

(6) (Added)(DAF). Test planning developed in coordination with test communities (may be addressed in a tailored Test and Evaluation Master Plan).

(7) (Added)(DAF). Intellectual property strategy.

(8) (Added)(DAF). Threat and intelligence strategy. Include impacts of Validated Online Life cycle Threat Report (requested through the implementing command intelligence focal point) and other threat information and documentation if available.

(9) (Added)(DAF). Program protection strategy, including cyber security (may also be addressed in a tailored Program/Technology Protection Plan).

(10) (Added)(DAF). Product support strategy.

(11) (Added)(DAF). Modular Open Systems Approach considerations including, but not limited to, the approach in general, major system components and interfaces, how these components and interfaces will evolve throughout the lifecycle, the intellectual property and technical data necessary to support the approach, major system components developed outside the program and how they will be integrated, and the approach to systems integration and configuration management.

c. (Added)(DAF). Funding Strategies. For all MTA Programs, the Deputy Assistant Secretary for Cost and Economics (SAF/FMC) and the Deputy Assistant Secretary for Acquisition Integration (SAF/AQX) will collaborate on what program events drive the need for a life-cycle cost estimate or cost estimate update. SAF/FMC will conduct life-cycle cost estimates on all MTA pathway programs likely to exceed major system thresholds (reference Table 1). All life-cycle cost estimates on MTA pathway programs/efforts anticipated to be non-major systems are delegated to the responsible field-level cost organization commensurate with the delegated DA for the program.

d. (Added)(DAF). Demonstrating and Evaluating Performance.

(1) (Added)(DAF). PMs will use AFI 99-103, *Capabilities-Based Test and Evaluation*, as the basis to tailor test appropriately for MTA programs in order to demonstrate and evaluate the performance of fieldable prototypes in operational environments for rapid prototyping and to demonstrate and evaluate the operational utility of products and technologies for rapid fielding. (T-1).

(2) (Added)(DAF). Test scope and methodology are developed with testers and, wherever possible, should include end users. User inputs should be documented as part of test planning.

(3) (Added)(DAF). Certification that sufficient user input supports classification of testing as "operationally relevant" will be approved by the DA prior to final testing. (May be waived by the SAE.)

(4) (Added)(DAF). The PM will demonstrate that major system risks (i.e., ones without technical or operational "work-arounds") are resolved by the end of testing with only moderate/minor risks (i.e., ones with work-arounds) remaining. The PM, as part of test planning, will document accepted risks in the acquisition strategy. (May be waived by the DA.)

e. (Added)(DAF). Systems Engineering. The PM uses the acquisition strategy to document the systems engineering approach required to achieve speed with discipline.

(1) (Added)(DAF). PMs should implement digital engineering to the maximum extent practicable.

(2) (Added)(DAF). The PM must ensure environment, safety, and occupational health risks are accepted prior to exposing people, equipment, or the environment to known environment, safety, or occupational health hazards. (T-1). The DA is the high-risk acceptance authority, unless delegated, and the PM is the risk acceptance authority for all other risk levels. The requirements owner must approve any risk acceptance decision in advance. In addition, the PM should identify risks to program cost, schedule, and performance from applicable environment, safety, and occupational health requirements (e.g., analyses required by the National Environmental Policy Act, Airworthiness Approvals, Explosive Safety Board reviews).

(3) (Added)(DAF). The PM must obtain engineering technical data rights required to support product lifecycle management. (T-1).

f. (Added)(DAF). Product Support. Disciplined product support planning is a critical enabler to rapidly field and sustain capability. The PM integrates product support considerations into the acquisition strategy and ensures sustainment metrics (e.g., material reliability, availability, and operations and sustainment costs) that support operational requirements are established. The PM develops plans to optimize implementation of each product support element , and develops a robust contractual approach to obtain intellectual property rights that support the expected service life.

g. (Added)(DAF). Breaches.

(1) (Added)(DAF). If a PM has a reasonable cause to believe cost, schedule, or performance have exceeded guardrails/thresholds, the PM will, at a minimum, immediately notify the Program Executive Officer and submit to the DA within 30 days to report similar to, or modeled on, a program deviation report. (T-1). (Timing of report may be waived by the SAE). Reference DAFPAM 63-128, *Integrated Life Cycle Management*, for information on breach types, breach criteria, and program deviation reports.

(2) (Added)(DAF). The PM for all MDAP-equivalent MTA programs will submit the breach report with a PM and Program Executive Officer signed memorandum to the SAE, and provide a copy to SAF/AQX. (T-0).

(3) (Added)(DAF). For MDAP-equivalent programs, the PM, the Program Element Monitor, SAF/AQX, the Secretary of the Air Force General Counsel Office Acquisition Office (SAF/GCQ), and the Acquisition, Fiscal Law and Litigation Division of the Office of the Judge Advocate General (DAF/JACQ), will work together to determine whether the breach requires external reporting for SAE consideration.

(a) (Added)(DAF). The SAE will review cost, schedule and performance deviations on MDAP-level MTA programs and may direct execution of an Independent

Program Assessment or the PM to provide or brief courses of action to address the deviations.

(b) (Added)(DAF). If the SAE determines a breach requires external reporting, the Program Element Monitor will draft a letter for SAE signature informing SecAF and OSD stakeholders. (T-1). Congress is informed concurrent with reporting as specified in Section 4.

SECTION 4: IMPLEMENTATION

4.1. ENTRANCE.

a. The DA will approve MTA program documentation within their purview. Table 1 describes the documentation CAEs will ensure is available via Defense Acquisition Visibility Environment (DAVE) interfaces.

Table 1. MTA Entrance Documentation Deliverables

	Major System[1]	**Non-Major System**[2]
Rapid Prototyping	• ADM signed by the DA • Approved Requirement[3] • Acquisition Strategy[4] • Cost Estimate	• ADM signed by the DA
Rapid Fielding	• ADM signed by the DA • Approved Requirement[3] • Acquisition Strategy[5] • Cost Estimate • Lifecycle sustainment plan	• ADM signed by the DA

1. Above threshold as defined pursuant to Section 2302d of Title 10, U.S.C.
2. Equal to or below threshold as defined pursuant to Section 2302d of Title 10, U.S.C.
3. CAEs will ensure the approved requirement document is available in the Knowledge Management and Decision Support system.
4. Rapid prototyping acquisition strategies will include security, schedule and technical risks; a test strategy or an assessment of test results; and a transition plan that includes a timeline for completion within 2 years of all necessary documentation required for transition, as determined by the DA, after MTA program start.
5. Rapid fielding acquisition strategies will include security, schedule, and production risks; either a test strategy or an assessment of test

> results; and a transition plan that includes a timeline for completion within 2 years of all necessary documentation required for transition, as determined by the DA, after MTA program start.

b. For any MTA program expected to require an eventual total expenditure that exceeds the threshold defined pursuant to Section 2302d of Title 10, U.S.C., CAEs will ensure documentation in Table 1 is available via DAVE at the time of the President's budget submission. Full funding plans for the MTA program (to include year of execution), will be reflected in the documentation, consistent with the cost estimate.

c. Any MTA program expected to exceed the MDAP threshold defined pursuant to Section 2430 of Title 10, U.S.C. requires a written decision from the USD(A&S), after consultation with the advisory board defined in Paragraph 4.2, approving use of the MTA pathway, or direction to use an alternative strategy, before obligation of funds to a performing activity. Considerations will include the strategic risks involved, the scope and criticality of the desired capability, and whether programs are well positioned to meet statutory requirements based on review and input from relevant advisors.

d. Documentation shown in Table 1 for non-major systems will be made available via DAVE interfaces at least 10 workdays before the desired obligation of funds to a performing activity.

e. In addition to the documentation listed in Table 1, CAEs will ensure availability of the program identification data (PID) via DAVE interfaces. (For a description of PID requirements and connection to the submission portal, see the MTA pathway at the Adaptive Acquisition Framework page on the Defense Acquisition University Website at: https://www.dau.edu/aaf/) PID requirements are tiered between major and non-major systems. CAEs will submit updated PID via DAVE interfaces with the President's Budget and Program Objective Memorandum submissions to OSD. CAEs must comply with the online PID requirements, consistent with the policy specified in this issuance. Substantive changes to online content not required by law must be formally coordinated following the guidelines in DoD Instruction 5025.01. Substantive changes include any additional requirements that add to the financial and personnel burden of any DoD Components.

f. CAEs will ensure that MTA program names and budget reporting clearly and discretely indicate the scope of the effort being conducted under the MTA pathway, especially when the MTA program is a subprogram of a larger program or is a program spiral, increment, or block upgrade. USD(A&S) will maintain the authoritative list of MTA programs for the Department.

g. (Added)(DAF). Reporting. The PM will provide information to support DAF evaluation of cost, schedule, and performance to support DA, Office of the Secretary of Defense, and congressional reporting where required. (T-0).

(1) (Added)(DAF) All MTA activities will be included on the Acquisition Master List (AML) unless waived by the SAE and be categorized as a Section 804 (Middle Tier)

program. (T-1). Note: Waiver from AML does not waive reporting requirements mandated by this publication.

(2) (Added)(DAF) To ensure the availability of the PID required in paragraph 4.1.e, the PM shall update acquisition reporting for MTA efforts in Comprehensive Cost and Requirement System/Program Management Resource Tools, to include monthly or quarterly Monthly Activity Report submittals as directed by the SAE. (T-1).

(3) (Added)(DAF) To ensure consistent and transparent reporting, summaries for MTA activities meeting the criteria of an MDAP will contain information similar to a Selected Acquisition Report and will be submitted to Congress. (T-0). Submittal of the summary report does not indicate the program is an MDAP, nor require entry or tracking in the Selected Acquisition Report database. Submittal may be made through the Program Management Resource Tools.

(4) (Added)(DAF) The PM shall complete a PID for submission to the Under Secretary of Defense for Acquisition and Sustainment (USD(A&S)) as identified in paragraph 4.1.e. (T-0). The PID will be used by USD(A&S), the Under Secretary of Defense for Research and Engineering (USD(R&E)), and the DCAPE to conduct governance through data collection and analysis, rather than individual program oversight. Note: Submittal may be made through the Program Management Resource Tools.

(5) (Added)(DAF) Test reports should be relevant, timely, factual, and concise. Test reporting and coordination should be tailored to minimize impact to production and fielding while meeting the DA and requirement owner's needs.

(6) (Added)(DAF) Capabilities and Limitations Reports may be appropriate for prototypes provided to units for training or deployed directly to operational units. These reports have no prescribed format. Reference AFI 99-103 for more information.

4.2. GOVERNANCE. The USD(A&S) will chair an advisory board comprised of the CAEs, the VCJCS, the USD(R&E), the DCAPE, the DOT&E, the USD(C)/CFO, and others as requested by the USD(A&S), to assess the use of the MTA authority when a request is made by a CAE for a program that exceeds the MDAP threshold to use the MTA pathway, as provided in Paragraph 4.1.c. In the event of a USD(A&S) decision that any program is not appropriate for the MTA pathway, the USD(A&S) will direct the program to use an alternate acquisition pathway.

4.3. EXIT. No later than 60 calendar days after the MTA program completion date, CAEs will submit the following documentation via DAVE interfaces:

a. Outcome determination ADM signed by the DA.

b. An assessment of test results.

c. Final PID capturing updated entries, to include the outcome, sustainment, and final budget of the MTA program.

4.4. PRE-EXISTING MTA PROGRAMS. MTA programs designated prior to the effective date of this issuance will maintain their MTA program start date of funds first obligated. No later than 60 calendar days after the effective date of this issuance, pre-existing MTA programs will comply with this issuance, to include Table 1 deliverables.

4.5. MTA COMPANION GUIDE. Additional information will be available to expand upon the MTA policy established in this issuance at the Adaptive Acquisition Framework page on the Defense Acquisition University Website at: https://www.dau.edu/aaf/.

G.2. DEFINITIONS. Unless otherwise noted, these terms and their definitions are for the purpose of this issuance.

(Added)(DAF) Capabilities and Limitations Report. An optional, quick-look report of limited scope that operational testers provide to operational commands and operational units to support rapid and/or early fielding of developing capabilities before dedicated operational testing is complete and formal production begins. It provides the most current operational test perspectives on system capabilities and limitations based on testing done to date, and describes any untested or unknown areas.

(Added)(DAF) Guardrail. A threshold, defined by the PM and approved by the DA, that triggers a notice to, or a review by, the decision authority if triggered.

(Added)(DAF) Independent Program Assessment. An independent, comprehensive, and systematic review of major space system managerial and technical progress. IPAs are designed to identify program cost, schedule, and performance risks; formulate risk mitigation plans; and provide feedback to the program manager and the DA.

(Added)(DAF) Investment Master List. The Investment Master List includes both the DAF acquisition master list and acquisition master list exemptions. Investment funds are mapped to an IML activity. Program offices map research, development, test and evaluation funds; procurement funds; and program data by using the Comprehensive Cost and Requirement System to manage and execute programs.

MTA program completion date. The date of an outcome determination ADM signed by the DA stating that the rapid prototyping program has transitioned to an existing acquisition program, transitioned to a new acquisition program, transitioned to a different acquisition pathway, has residual operational capability sustained in the field, transitioned to rapid fielding, or terminated. For rapid fielding programs, the date of an outcome determination ADM stating that the minimum fielding plan criteria approved by the DA, have been met.

MTA program production start. The date of funds first obligated to perform production activities.

MTA program start date. The date an ADM is signed by the DA initiating the effort as an MTA rapid prototyping or MTA rapid fielding program, consistent with this issuance.

operational environment. A set of operational conditions, selected by the users in coordination with the appropriate independent operational testing agency that are representative of the desired spectrum of operational employments.

(Added)(DAF) Program Deviation Report. A report describing Acquisition Program Baseline deviations (also called "breaches") to the Defense Acquisition Executive (DAE) and the applicable Component Acquisition Executive (CAE).

prototype. A model built to evaluate and inform its feasibility or usefulness. Non-physical models are acceptable if the non-physical model is the residual operational capability to be fielded.

residual operational capability. For rapid prototyping programs, residual operational capability will be considered any military utility for an operational user that can be fielded.

(Added)(DAF) Selected Acquisition Report. Standard, comprehensive, summary status report of a Major Defense Acquisition Program (MDAP) (Acquisition Category I) required for periodic submission to Congress. It includes key cost, schedule, and technical information.

(Added)(DAF) Test and Evaluation Master Plan. A document detailing the overall structure and objectives of the T&E program. It provides a framework within which to generate detailed T&E plans, and it documents schedule and resource implications associated with the T&E program. The Test and Evaluation Master Plan identifies the necessary developmental, operational, and live-fire test activities. It relates program schedule, test management strategy and structure, and required resources to critical operational issues; critical technical parameters; objectives and thresholds documented in the requirements document; and Milestone decision points. The Test and Evaluation Master Plan may be included in an Acquisition Strategy as a T&E annex.

(Added)(DAF) Unfunded Requirements List. A list of requirements not currently funded. Refer to AFI 65-601 Vol 1, *Budget Guidance and Procedures*, 16 August 2012.

(Added)(DAF) Unit Cost Report. A quarterly written report submitted by the program manager to the service acquisition executive on the unit costs of a Major Defense Acquisition Program (i.e., the Program Acquisition Unit Cost and Average Procurement Unit Cost). Unit Cost Report information is submitted in the Defense Acquisition Executive Summary (DAES) report. Breaches of Unit Cost Report baselines are also reported in the DAES, and depending on the extent of the breach, require reports and/or certifications to Congress. Unit Cost Report breaches are commonly referred to as Nunn-McCurdy breaches.

REFERENCES

Chairman of the Joint Chief of Staff Instruction 5123.01H, "Charter of the Joint Requirements Oversight Council (JROC) and Implementation of the Joint Capabilities Integration and Development System (JCIDS)," August 31, 2018

Deputy Secretary of Defense Memorandum, "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," July 13, 2018

DoD Directive 5000.01, "The Defense Acquisition System," May 12, 2003, as amended

DoD Directive 5134.01, "Under Secretary of Defense for Acquisition, Technology, and Logistics," December 9, 2005, as amended

DoD Instruction 5000.02, "Operation of the Defense Acquisition System," January 7, 2015, as amended

DoD Instruction 5025.01, "DoD Issuances Program," August 1, 2016, as amended

Public Law 114-92, Section 804, "National Defense Authorization Act of Fiscal Year 2016", November 25, 2015, as amended

United States Code, Title 10

(Added)(DAF) AFI 33-322, "Records Management and Information Governance Program," 23 March 2020

(Added)(DAF) AFI 63-101/20-101, "Integrated Life Cycle Management," 30 June 2020

(Added) (DAF) DAFPAM 63-128, "Integrated Life Cycle Management, " 17 February 2021

(Added) (DAF) AFI 10-601, "Operational Capability Requirements Development", 06 November 2013

(Added)(DAF) AFI 99-103, "Capabilities-Based Test and Evaluation," 17 Dec 2020
(Added)(DAF) DAFI 33-360, "Publications and Forms Management," 01 December 2015

(Added)(DAF) Prescribed Forms: None

(Added)(DAF) Referenced Forms: AF Form 847, "Recommendation for Change of Publication"