



## DoD DIRECTIVE 5000.01

### THE DEFENSE ACQUISITION SYSTEM

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**Originating Component:** Office of the Under Secretary of Defense for Acquisition and Sustainment

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**Approved by:** David L. Norquist, Deputy Secretary of Defense

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**Purpose:** Under the authority vested in the Secretary of Defense by Sections 113 and 133 of Title 10, United States Code (U.S.C.), this issuance establishes policy and assigns responsibilities for managing all acquisition programs.

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## 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 (CJCS) and the Joint Staff, the Combatant Commands, the Office of 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.

The objective of the Defense Acquisition System (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. The acquisition system will be designed to acquire products and services that satisfy user needs with measurable and timely improvements to mission capability, material readiness, and operational support, at a fair and reasonable price. The following overarching policies will govern the DAS:

#### a. Deliver Performance at the Speed of Relevance.

The DAS will:

- (1) Employ the following operating policies:
  - (a) Empower program managers (PMs).
  - (b) Simplify acquisition policy.
  - (c) Employ tailored acquisition approaches.
  - (d) Conduct data driven analysis.
  - (e) Actively manage risk.
  - (f) Emphasize product support and sustainment.
- (2) Use an adaptive acquisition framework to emphasize these principles.

#### b. Conduct System of Systems (SoS) Analysis.

Capability portfolio management, mission engineering, and integration analysis using an effects/kill chain framework will be employed to assess the integration and interoperability of the SoS required to execute critical mission requirements. The objective is to identify operational gaps and develop SoS employment concepts in order to develop system capabilities that improve the warfighters’ ability to execute critical mission threads.

**c. Develop a Culture of Innovation.**

Creativity and critical thinking will guide acquisition business practice. Acquisition professionals will seek, develop, and implement initiatives to streamline and improve the DAS. Managers at every level will consider and adopt innovative practices, including best commercial practices and electronic business solutions, that reduce cycle time and cost, and encourage teamwork.

**d. Develop and Deliver Secure Capabilities.**

Security, cybersecurity, and protection of critical technologies at all phases of acquisition are the foundation for uncompromised delivery and sustainment of warfighting capability. Acquisition managers, in coordination with security and counterintelligence (CI) professionals, will implement initiatives and processes for the identification, integration and continual evaluation of security and CI requirements throughout the life cycle of a system, service, or critical technology.

**e. Emphasize Competition.**

The DoD Components will acquire systems, subsystems, equipment, supplies, product support, sustainment, and services in accordance with the statutory requirements for competition.

(1) Acquisition managers will take all necessary actions to promote a competitive environment, including consideration of alternative systems, data rights, and modular design to meet current and future mission needs.

(2) Planning and contracting for appropriate amounts of data rights, and incorporating a modular and open design to enable upgrades, technology refreshes, and future re-competes may enhance competition throughout the life cycle.

**f. Be Responsive.**

Advanced technology will be integrated into developmental prototypes and production systems, and deployed to the operational community as soon as possible. Approved, time-phased capability needs, matched with available technology and resources, will enable incremental acquisition strategies and continuous capability improvement.

**g. Employ a Disciplined Approach.**

(1) Acquisition programs will be managed consistent with statute, the policy outlined in this issuance, and the regulatory requirements specified in DoD issuances applicable to the operation of the acquisition system.

(2) Program goals for cost, schedule, and performance parameters (or alternative quantitative management controls) will describe the program over its life cycle. Approved program baseline parameters will serve as control objectives. Deviations from approved acquisition program baseline parameters and exit criteria will be documented, recorded, and

reported to the Milestone Decision Authority (MDA) or Decision Authority. Program decisions will be recorded and retained.

#### **h. Manage Efficiently and Effectively.**

Responsibility for the acquisition of systems will be decentralized to the maximum extent practicable.

(1) MDAs will provide PMs sufficient authority to accomplish approved program objectives for development, production, product support, and sustainment.

(2) Managers at every level will be given the authority to manage their programs and will be accountable for results.

(3) Program information requirements must be required by statute or specifically selected (i.e., “tailored-in”) by the PM and approved by the MDA. The DAE or the SAEs may provide implementation guidance to achieve this objective.

#### **i. Focus on Affordability.**

MDAs and acquisition leaders must recognize the impact of fiscal constraints and plan programs based on realistic projections of the funding available in future years.

(1) To achieve affordable readiness and maintainability, MDAs and acquisition leaders, in coordination with the DoD Component programming community, will:

- (a) Prepare realistic program life cycle cost estimates;
- (b) Prioritize portfolio capability requirements;
- (c) Project funding available within a given portfolio.

(2) The DoD Components must balance a program's requirements and cost in light of the funding and priorities within and across portfolios. In doing this, the DoD Component must consider both near-term development and production costs and the long-range operations and sustainment costs of deployed fleets and fielded systems.

#### **j. Emphasize Environment, Safety, and Occupational Health (ESOH) and Requirements Management.**

ESOH risks and requirements will be managed to minimize the injury to or loss of Service members and degradation of their equipment, and to reduce impact on the environment. In accordance with Military Standard 882E, ESOH hazards will be eliminated when possible, and managed by the PM when not. System safety engineering will be employed to identify, document, and mitigate system hazards and reduce residual risk from those hazards.

### **k. Employ Performance Based-Acquisition Strategies.**

To maximize competition, innovation, and interoperability, acquisition managers will consider and employ performance-based strategies for acquiring and sustaining products and services. “Performance-based strategy” means a strategy that supports an acquisition approach structured around the results to be achieved as opposed to the manner by which the work is to be performed. This approach will be applied to all new procurements and upgrades, as well as re-procurements of systems, subsystems, and spares that are procured beyond the initial production contract award.

#### **l. Plan for Product Support.**

Product support strategies (PSSs) will be informed by a business case analysis conducted pursuant to Section 2337 of Title 10, U.S.C. The PSS is designed to facilitate enduring and affordable sustainment consistent with warfighter requirements. Support metrics will be established, tracked, and adjusted where needed to ensure product support objectives are achieved and sustained over the system life cycle. PSSs include the best use of public and private sector capabilities through government and industry partnering initiatives, in accordance with statutory requirements.

#### **m. Implement Effective Life-Cycle Management.**

The PM is accountable for achieving program life-cycle management objectives throughout the program life cycle. Planning for operations and support will begin at program inception, and supportability requirements will be balanced with other requirements that impact program cost, schedule, and performance. Performance based life-cycle product support implements life-cycle system management.

#### **n. Implement Reliability and Maintainability by Design.**

DoD Components, MDAs, and acquisition leaders must implement fundamentals of design, manufacturing, and management that result in reliable and maintainable systems. These key fundamentals must be established early in the acquisition process and improved over the service life of the system.

#### **o. Conduct Integrated Test and Evaluation.**

(1) Test and evaluation will be integrated throughout the defense acquisition process. Test and evaluation will be structured to provide essential information to decision makers, assess attainment of technical performance parameters, and determine whether systems are operationally effective, suitable, survivable, and safe for intended use.

(2) The conduct of test and evaluation, integrated with modeling and simulation, will:

- (a) Facilitate learning.
- (b) Assess technology maturity and interoperability.

(c) Facilitate integration into fielded forces.

(d) Confirm performance against documented capability needs and adversary capabilities as described in the system threat assessment.

**p. Apply Human Systems Integration.**

Human systems integration planning will begin in the early stages of the program life cycle. The goal will be to optimize total system performance and total ownership costs, while ensuring that the system is designed, operated, and maintained consistent with mission requirements.

**q. Deploy Interoperable Systems.**

Joint concepts, standardization, and integrated architectures will be used to the maximum extent possible to characterize the exchange of data, information, materiel, and services to and from systems, units, and platforms to assure all systems effectively and securely interoperate with other U.S. forces and coalition partner systems.

**r. Plan for Corrosion Prevention and Mitigation.**

Acquisition managers will implement corrosion prevention and control procedures early in the program life cycle to prevent it from impacting the availability, cost, and safety of military equipment.

**s. Employ Artificial Intelligence, Machine Learning, Deep Learning, and Other Related Capabilities throughout Execution of the Acquisition Process.**

To ensure a culture of performance that yields a decisive and sustained U.S. military advantage, the acquisition system will leverage capabilities including artificial intelligence, machine learning, and deep learning to maximize efficiency and streamline the acquisition of goods and services.

**t. Plan for Coalition Partners.**

To enable allies and partners to enhance U.S. military capability, collaboration opportunities, potential partnerships, and international acquisition and exportability features and limitations will be considered in the early design and development phase of acquisition programs.

**u. Maintain a Professional Workforce.**

The acquisition workforce is a critical asset and essential to achieving the defense strategy. Consequently, the DoD must recruit, develop, and maintain a fully proficient military and civilian acquisition workforce that is highly skilled across a broad range of management, technical, and business disciplines.



**v. Comply with Statute and International Agreements.**

The acquisition and procurement of DoD weapons and information systems must be consistent with all applicable domestic law, and the resulting systems must comply with applicable treaties and international agreements (for arms control agreements, see DoD Directive (DoDD) 2060.01), customary international law, and the law of armed conflict (also known as the laws and customs of war). An attorney authorized to conduct such legal reviews in the DoD must conduct the legal review of the intended acquisition of weapons or weapons systems.

**w. Maintain Data Transparency.**

Data should be transparently shared, to the greatest extent possible, in its native form and require minimal formatting and manipulation. All DoD data will be shared as widely as possible across the Military Services and OSD. Options to frustrate or prevent data transparency should not be entertained.

**x. Manage Records Effectively.**

DoD records must be managed in compliance with DoD Instruction 5015.02 and Title 44 of U.S.C., while protecting the legal and financial rights and interests of the Federal Government and of persons affected by U.S. Government activities.

**y. Employ a Collaborative Process.**

The DAS should be a collaborative process in which the DoD Components consult and coordinate with one another. However, if a Principal Staff Assistant or Service Secretary has an objection to a fundamental aspect of the acquisition process, he or she may raise this objection to the Deputy Secretary of Defense in the form of a briefing. The briefing serves to notify the Deputy of a dissenting view, but does not preemptively halt the acquisition process, unless the Deputy chooses to intercede.

## **SECTION 2: RESPONSIBILITIES**

### **2.1. UNDER SECRETARY OF DEFENSE FOR ACQUISITION AND SUSTAINMENT (USD(A&S)).**

The USD(A&S):

- a. Executes the acquisition responsibilities in DoDD 5135.02.
- b. Serves as an advisor in the preparation of major defense acquisition program (MDAP) analysis of alternatives (AoA) study guidance.
- c. 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 acquisition category (ACAT) ID programs.
- d. Issues and maintains requirements for the content, review, and approval process for ACAT ID acquisition strategies.
- e. 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 before using the MTA pathway for a program that exceeds the MDAP dollar threshold.

### **2.2. UNDER SECRETARY OF DEFENSE FOR RESEARCH AND ENGINEERING (USD(R&E)).**

The USD(R&E):

- a. Executes the research and engineering responsibilities in DoDD 5137.02.
- b. Serves as a technical advisor in the preparation of MDAP AoA study guidance.
- c. Confirms that a materiel solution that addresses the validated need or capability gap for the MDAP is technically feasible and achievable.
- d. Conducts and approves independent technical risk assessments (ITRAs) for ACAT ID Programs.
- e. Provides guidance for Military Department-conducted ITRAs for ACAT IB and IC programs. Approves Military Department-conducted ITRAs (the number of Military Department ITRAs that USD(R&E) reviews will be at USD(R&E)'s discretion). Military Department ITRAs conducted on non-MDAP programs will follow USD(R&E)-published ITRA policy.
- f. Maintains authority over early development prototyping policy outside of MTA.

g. Serves as the approval authority for the developmental test and evaluation (DT&E) plan in the Test and Evaluation Master Plan (TEMP), test strategy, or other overarching program test planning document for all ACAT ID programs. Reviews and advises the MDA on the DT&E plan in the TEMP, test strategy, or other overarching program test planning document for ACAT IB and IC programs.

### **2.3. UNDER SECRETARY OF DEFENSE FOR INTELLIGENCE AND SECURITY (USD(I&S)).**

In accordance with DoDD 5143.01, the USD(I&S):

- a. Advises and assists the integration of intelligence data, CI, and security throughout the acquisition life cycle.
- b. Oversees Defense Intelligence Enterprise and Defense Security Enterprise performance in meeting critical intelligence needs of life-cycle acquisition.
- c. Provides intelligence and security advice for ACAT ID programs.
- d. Manages a professional certification program for the intelligence workforce that supports the DoD acquisition process.

### **2.4. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)).**

In addition to the responsibilities in DoDD 1322.18 and DoDD 5124.02, the USD(P&R) establishes policy and oversees implementation of training capabilities for defense systems.

### **2.5. CHIEF MANAGEMENT OFFICER (CMO) OF THE DOD.**

The CMO, operating under the Deputy Secretary's guidance, is responsible for the business functions of Defense-wide organizations. In addition to the responsibilities in DoDD 5105.82 and the February 1, 2018 Secretary of Defense memorandum, the CMO executes the certification responsibilities, pursuant to Section 2222 of Title 10, U.S.C., to allow a priority defense business system, or any other defense business system that is not under the authority of a military department CMO, to:

- a. Proceed into development (or, if no development is required, into production or fielding);  
or
- b. Continue with development or sustainment on an annual basis thereafter.

## **2.6. DOD CHIEF INFORMATION OFFICER.**

In accordance with applicable federal law and regulations and in accordance with DoDD 5144.02 and DoD Instruction 8500.01, and policies cited therein, the DoD Chief Information Officer:

- a. Establishes cybersecurity policy and standards, and provides guidance for incorporating cybersecurity and cyber risk management in the DoD.
- b. Coordinates with the USD(R&E) and the USD(A&S) to ensure that cybersecurity policies and standards are integrated into the DAS.
- c. Develops, maintains, and manages the implementation of a sound, secure, and integrated DoD information technology (IT) and cybersecurity architecture; ensures the interoperability of IT throughout the DoD; and prescribes IT standards, including network and cybersecurity standards that apply throughout the DoD.
- d. Supports and informs the USD(A&S) on all IT and cyber infrastructure acquisition matters and investment decisions, including IT-intensive software systems, such as business systems, to ensure that cybersecurity policies and standards are integrated into the DAS.
- e. Coordinates with the USD(A&S) to develop and maintain a process for maximizing the value of, and assessing and managing the risks related to, DoD IT acquisitions.
- f. Coordinates with the USD(A&S) to develop, provide oversight, and support integration of the statutory cybersecurity strategy for programs acquiring or employing mission critical or mission essential IT.

## **2.7. DIRECTOR OF OPERATIONAL TEST AND EVALUATION (DOT&E).**

In addition to the acquisition responsibilities in DoDD 5141.02, the DOT&E has overarching responsibility for operational and live fire test and evaluation in accordance with Section 139 of Title 10, U.S.C, by:

- a. Prescribing policies and procedures for the conduct of operational and live fire test and evaluation in the DoD.
- b. Reviewing and approving operational and live fire test plans for MDAPs and programs designated for DOT&E oversight.
- c. Providing an independent evaluation of system operational effectiveness, suitability, and survivability, including cybersecurity, in reports to DoD acquisition leadership, the Secretary of Defense, and the congressional defense committees, based on the operational and live fire testing that was conducted.
- d. Advising programs on the testability of system requirements.

e. Tailoring operational test and evaluation and live fire test and evaluation to fit within each program's unique acquisition strategy.

f. Coordinating with DT&E personnel to ensure test resources are used efficiently across the program life cycle.

## **2.8. DIRECTOR OF COST ASSESSMENT AND PROGRAM EVALUATION.**

In addition to the responsibilities assigned in DoDD 5105.84, the Director of Cost Assessment and Program Evaluation:

a. Conducts or approves independent cost analysis and issues the policies for collection of cost data.

b. Provides analysis and advice on matters relating to the planning and programming phases of the planning, programming, budgeting, and execution system, and the preparation of materials and guidance for such system.

c. Develops AoA study guidance, approves AoA study plans, and evaluates the adequacy of AoAs for all MDAPs, in accordance with DoDD 5105.84.

d. Conducts analysis and provides advice to inform the establishment of program cost and fielding goals pursuant to Section 2448a of Title 10, U.S.C.

## **2.9. DOD COMPONENT HEADS.**

a. The DoD Component heads:

(1) Implement this issuance consistent with applicable domestic law, treaties, and international agreements; the policies that govern the DAS; and other DoD Component-assigned authorities.

(2) Provide oversight of aggregation, coordination, storage, and analysis of data that:

(a) Supports development, acquisition, product support, sustainment, and affordability of systems, platforms, and capabilities.

(b) Assures timely and accurate submissions of congressionally required reports and responses.

(c) Provides DoD stakeholders with access to data consistent with statute or approved charters.

b. DoD Component heads, including the Directors of the Defense Agencies with acquisition authority but **not** the CJCS, Defense Agency Directors without acquisition authority, or Directors of the DoD Field Activities, designate a civilian official within their Component to be the

acquisition executive. In addition to duties assigned by the DoD Component head, the acquisition executive:

(1) Provides overall management and oversight of technology development, acquisition, and product support.

(2) Is responsible for sustainment of programs (unless otherwise directed), platforms, and systems that deliver effective, safe, secure, sustainable, and affordable capabilities.

c. DoD Component heads implementing policy will limit additional guidance related to the operation of adaptive acquisition framework pathways to that needed for efficient operations. Component policy may supplement but may not conflict with this issuance or other DoD acquisition policy documents or issuances.

## **2.10. CJCS.**

In addition to the responsibilities in Paragraph 2.9., the CJCS:

a. Provides advice and assessment on joint military capability needs to the Secretary of Defense, the Deputy Secretary of Defense, and other DoD Component heads.

b. Is responsible for preparing military analysis, options, and plans related to the DAS, to include providing advice and analysis to other DoD Component heads through validated and approved capabilities documents.

c. May engage the DoD Component heads to assist with providing advice and assessment on acquisition matters. Procedures developed to carry out this responsibility must be consistent with this issuance and be coordinated with the USD(A&S).

## GLOSSARY

### G.1. ACRONYMS.

<b>ACRONYM</b>	<b>MEANING</b>
ACAT	acquisition category
AoA	analysis of alternatives
CI	Counterintelligence
CJCS	Chairman of the Joint Chiefs of Staff
DAS	Defense Acquisition System
DoDD	DoD directive
DOT&E	Director of Operational Test and Evaluation
DT&E	developmental test and evaluation
ESOH	environment, safety, and occupational health
IT	information technology
ITRA	independent technical risk assessments
MDA	milestone decision authority
MDAP	major defense acquisition program
MTA	middle tier of acquisition
PM	project manager
PSS	product support strategy
SoS	system of systems
TEMP	test and evaluation master plan
U.S.C	United States Code
USD(A&S)	Under Secretary of Defense for Acquisition and Sustainment
USD(I&S)	Under Secretary of Defense for Intelligence and Security
USD(R&E)	Under Secretary of Defense for Research and Engineering

### G.2. DEFINITIONS.

A complete glossary of the terms used in this directive is maintained on the Defense Acquisition University Website at <https://www.dau.edu/tools/t/DAU-Glossary>.

## REFERENCES

- “Summary of the 2018 National Defense Strategy of the United States of America,” 2018
- DoD Directive 1322.18, “Military Training,” October 3, 2019
- DoD Directive 2060.01, “Implementation of, and Compliance with, Arms Control Agreements,” June 23, 2020
- DoD Directive 5105.82, “Deputy Chief Management Officer (DCMO) of the Department of Defense,” October 17, 2008
- DoD Directive 5105.84, “Director of Cost Assessment and Program Evaluation,” August 14, 2020
- DoD Directive 5124.02, “Under Secretary of Defense for Personnel and Readiness (USD(P&R)),” June 23, 2008
- DoD Directive 5135.02, “Under Secretary of Defense for Acquisition and Sustainment (USD(A&S)),” July 15, 2020
- DoD Directive 5137.02, “Under Secretary of Defense for Research and Engineering (USD(R&E)),” July 15, 2020
- DoD Directive 5141.02, “Director of Operational Test and Evaluation (DOT&E),” February 2, 2009
- DoD Directive 5143.01, “Under Secretary of Defense for Intelligence and Security (USD(I&S)),” October 24, 2014, as amended
- DoD Directive 5144.02, “DoD Chief Information Officer (DoD CIO),” November 21, 2014, as amended
- DoD Instruction 5015.02, “DoD Records Management Program,” February 24, 2015, as amended
- DoD Instruction 8500.01, “Cybersecurity,” March 14, 2014, as amended
- Military-Standard 882E, “DoD Standard Practice for System Safety,” May 11, 2012
- Secretary of Defense Memorandum, “Disestablishment of the Deputy Chief Management Officer and Establishment of the Chief Management Officer,” February 1, 2018
- United States Code, Title 10
- United States Code, Title 44