



THE ASSISTANT SECRETARY OF THE NAVY

Research, Development and Acquisition
1000 Navy Pentagon
Washington DC 20350-1000

AUG 01 2007

MEMORANDUM FOR DISTRIBUTION

SUBJECT: Rapid Acquisition Processing Update

Reference: (a) ASN (RD&A) Memorandum, Rapid Acquisition Processing of
4 December 2006

In support of the Global War on Terrorism, reference (a) directed the ASN (RD&A) staff to expedite the processing of rapid acquisition requests submitted to ASN (RD&A) by Fleet and acquisition customers.

I have noted an increasing number of such rapid acquisition requests, particularly Rapid Deployment Capability (RDC) requests. Accordingly, attached is a RDC Checklist. The RDC Checklist provides RDC required content and format that will help in the preparation and review of RDC requests.

Please ensure all rapid acquisition requests, principally RDC requests, are formatted in accordance with the attached guidance, and are adequately staffed and funded prior to submitting them to ASN (RD&A).

Delores M. Etter

Attachment: As stated

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RAPID DEPLOYMENT CAPABILITY (RDC) CHECKLIST**I. Introduction**

Paragraph 2.8 of SECNAVINST 5000.2C states that the Rapid Deployment Capability (RDC) process is “[a] tailored approach for initiating and managing development of a capability for rapid deployment that may transition to an ACAT program.”

The following are a checklist of global RDC rules and a RDC drafting checklist for preparing RDC request memoranda for ASN RD&A approval.

II. Checklist of Global RDC Rules

ASN RD&A will typically apply these global checklist rules to RDC requests.

To obtain approval from ASN RD&A, a RDC request typically shall satisfy these rules:

1. The RDC is in the memorandum format required by SECNAVINST 5000.2C.
2. The RDC is endorsed by an appropriate operational commander and by OPNAV (N8) before being submitted to ASN RD&A.
3. The RDC is supported by a validated Service or Joint urgent requirement – for instance, a Joint Universal Operational Needs Statement (JUONS), Immediate Warfighter Needs (IWN) documentation or an Urgent Universal Needs Statement (UUNS) or equivalent requirement validated by N8.
4. RDC Low Rate Initial Production (LRIP) quantities are less than 10% of the anticipated total production quantities for a RDC that is funded at or above the Acquisition Category (ACAT) II funding thresholds.
5. The RDC requirement cannot be met by a joint capability or a capability that is, or soon will be, provided by another military service – for instance, by the Air Force or Army.
6. A same or similar requirement as the RDC requirement is not currently being validated under the Joint Capabilities Integration and Development System (JCIDS) system.
7. Acquisition of RDC supplies lasts less than two fiscal years before transitioning to an ACAT program of record.
8. No significant Research, Development Testing & Evaluation (RDT&E) is required to field the RDC supplies or services.
9. The RDC includes sufficient testing of representative RDC supplies to ensure that fielded supplies meet end user requirements.
10. The RDC includes a fully-funded lifecycle logistics support strategy for fielded RDC supplies.
11. The RDC does not request supplies or services that are unreasonable to procure, field or support.
12. The RDC includes congressional notification for new start programs.

III. RDC Drafting Checklist

The following checklist, in guideline format, is provided for preparing RDC request memoranda. The guidelines correspond to the RDC memorandum format required by section 2.8.2 of SECNAVINST 5000.2.

1.a. Brief description of the threat or urgency

Paragraph 2.8.1 of SECNAVINST 5000.2C states that a “RDC provides the ability to react immediately to a newly discovered enemy threat(s) or potential enemy threat(s) or to respond to significant and urgent safety situations” Accordingly, this section of the RDC memorandum should be written to meet the criteria for a JUONS set forth in CJCSI 3740.01, enclosure (b) (15 July 2005), or be written to meet the criteria for a JRAC Immediate Warfighter Needs (IWN) request set forth in DEPSECDEF Memorandum (Nov. 14, 2004), Appendix A, e.g., or Urgent Operational Need (UON) as outlined in the OPNAV/ASN(RDA) Joint Memorandum (July 26, 2007):

- Describe the threat or operational deficiency that requires a RDC.
- Discuss the impact of the threat or operational deficiency. For instance, discuss how the impact is correlated to a documented Fleet urgent needs requirement.
- Clearly state how the threat or deficiency is “urgent and compelling” namely how it will, if not immediately resolved, will cause mission failure or loss of life (see paragraph 1.b below).
- Discuss (factually describe) what needs to be procured to meet the threat or deficiency (see paragraph 1.c below).
- Discuss (factually describe) what cannot be done without new supplies or services procured under the RDC.
- If the deficiency arises from a newly discovered enemy threat or potential threats, discuss when it was discovered. In evaluating whether a threat is newly discovered, ASN RD&A will consider a requirement that is planned for procurement in the POM or Budget cycle to not be a newly discovered threat, and hence not an appropriate requirement to be met by a RDC.

Appropriate sections of a validated JUONS, IWN or UUNS may be cited or cut-and-pasted to write this section of the RDC memorandum.

1.b. Description of the requirement and whether it is a Service or Joint requirement

This section of the RDC memorandum discusses how the RDC request arises from a validated Service or Joint requirement. This section also discusses whether OPNAV (N8) has concurred with the validated requirement. Accordingly:

- Discuss the validated Joint or Service urgent needs requirement that supports the RDC request. Generally, ASN RD&A will not approve a RDC unless it is supported by a validated JUONS, IWN, UON, UUNS or similar validated urgent needs requirement. Attach the validated requirements document to the RDC memorandum. If the RDC request is not supported by such a validated requirement, explain why not. For instance, if the RDC request originates in urgent needs identified by OPNAV to push urgently needed capabilities to fleet or expeditionary forces, explain how such needs will later be validated under a JUONS or similar process grounded in the Fleet or Combatant Commanders.
- Discuss whether the requested RDC capability is presently being addressed under the JCIDS system.¹ Generally, ASN RD&A will not approve a RDC that is the same as or similar to a requirement that is being addressed, or that will soon be addressed, under the JCIDS system.²
- Discuss how the validated urgent needs requirement has been endorsed by OPNAV N8 (N81) - e.g., has N81 given their cognizance over issues relating to the seriousness of the threat and the urgency of the requirement? If not, explain why not.

1.c. A description of known products, domestic and foreign, that can provide the capability

This section of the RDC memorandum discusses the supplies and services known to provide the requested RDC capability. Accordingly, this section should be written in view of section 3.3 of the Defense Acquisition Guidebook (Analysis of Alternatives) and the definition of "commercial item" in Section 2.1³ of the Federal Acquisition Regulation (FAR), e.g.,:

¹ See CJCSI 3170.01E, JCIDS (11 May 2005).

² This is, in part, driven by law – e.g., the preeminent role of CJC and staff in identifying, assessing and prioritizing joint military capability needs arises from statute. See, e.g., 10 U.S.C. §§ 163, 181.

³ Under case law, the definition of a commercial item under FAR 2.101 is analogous to the definition of Commercial off the Shelf (COTS) item. See, e.g., *Chant Engineering v. United States*, No. 02-282C at 17 (Ct. Cl., Feb. 7, 2007), available at <http://www.uscfc.uscourts.gov/Opinions/Horn/07/HORN.CHANT011007.pdf>.

- Describe known supplies or services that can meet the RDC requirement.
- Describe nonviable alternatives – e.g., supplies and services considered, but decided do not meet the RDC requirement.
- Describe whether the selected RDC supplies or services are COTS or Non-Developmental Items (NDI). COTS or NDI are preferred (see next bullet).
- If the RDC supplies or services are not COTS/NDI, describe why not. Capabilities that requiring extensive RDT&E do not normally qualify for RDC. Here, ASN RD&A will generally apply the procurement standard for a JUON set forth in paragraph 1.c of Enclosure A of CJCSI 2470.01, namely the supplies or services, “should not involve the development of a new technology or capability; however, the acceleration of an Advanced Concept Technology Demonstration (ACTD) or minor modification of an existing system to adapt to a new or similar mission is within the RDC process.” ASN RD&A will interpret “minor modification” to mean that same as defined in FAR 2.101, namely, “modifications that do not significantly alter the nongovernmental function or essential physical characteristics or an item or component, or change the purpose of a process.”⁴ Thus, the RDC supplies or services should be a mature, ready-to-field technology. Militarization, fabrication of adaptors or mounts, and basic interoperability modifications will typically be authorized, but technology development efforts will not be authorized under a RDC.
- Describe any supplies or services of other military Services that might fulfill the RDC requirement – for instance, describe Army or Air Force supplies or services might fulfill the RDC requirement. If other Services supplies or services are not being considered, discuss why not. For instance, is the RDC requirement in some way unique to the Department of Navy such that it precludes a Joint procurement?
- Describe whether the supplies or services fulfill requirements identified in current or planned JCIDS documentation – for instance, if an Initial Capabilities Document (ICD), Capability Development Document (CDD) or Capability Production Document (CPD) is being or is planned to be drafted. Generally, ASN RD&A will not approve a RDC request that is within the scope of current or planned JCIDS documentation (see second bullet of paragraph 1.b above).

⁴ “Factors to be considered in determining whether a modification is minor include the value and size of the modification and the comparative value and size of the final product. Dollar values and percentages may be used as guideposts, but are not conclusive evidence that a modification is minor.” FAR 2.101 (part of definition of “commercial item”).

1.d. Quantities required

This section of the RDC memorandum discusses the quantities of supplies and services required to provide the requested RDC capability. This section should be written to tie the quantities of supplies and services requested to the threat or urgency discussed in paragraph 1.a above. Quantities should be limited to those needed to directly respond to the documented threat or urgency.

Further, quantities that require funding above the ACAT II program level (see paragraph 1.e below), should be limited to LRIP articles necessary to provide production-configured or representative test articles, establish an initial production based for the RDC system and to permit an orderly increase in the production rate for the RDC system to lead to full-rate production upon completion of operational testing (see paragraph 1.g below). Accordingly, this section of the RDC memorandum should be written in view of Section 2.5.4.7 of SECNAVINST 5000.2C (Milestone C) and Section 3.8.3 of the Defense Acquisition Guidebook (LRIP), e.g.,:

- Describe the quantities of supplies or services required to meet the RDC requirement.
- If the quantities are greater than necessary for addressing mission failure or loss of life - for instance if the RDC procures quantities for the entire Fleet - discuss why this quantity should be procured under a RDC.
- If quantities are required to conduct operational test and evaluation, discuss what percentage these quantities are compared to the total production quantity requested. If the percentage is greater than 10% of the total anticipated RDC production quantities, provide justification for such greater quantities.
- For quantities that require funding greater than the ACAT II program level, discuss how RDC quantities requested meet Low Rate of Initial Production (LRIP) requirements – e.g., how the RDC quantities provide production configured or representative articles for operational testing; how the quantities are necessary to establish an initial production base for the system; and how the quantities permit and orderly increase in the production rate for the system sufficient to lead to full rate production (under an ACAT II program) upon successful completion of operational testing.

1.e. Identification of funding (amount and source)

This section of the RDC memorandum discusses the types and amounts of funding that will used to procure supplies and services under the RDC. This section should be written in view of the ACAT program funding thresholds set forth in Table E2.T1 in

SECNAVINST 5000.2C. RDC requests that fall at or below the ACAT III funding thresholds are generally good candidates for an RDC. RDC requests that fall at or above ACAT II funding thresholds are generally not good candidates due to mandatory legal requirements for such programs.⁵ Accordingly:

- Describe the Fiscal Year (FY), types and total amounts of funding for the RDC. Total amounts should include all approved spiral requirements – e.g., the full amount of currently identified requirements, including any beyond the RDC request. (If the funding required for the RDC is in the POM, President's Request (PR) or Budget it may not be an appropriate candidate for a RDC under the urgency analysis of paragraph 1.a above).
- Describe whether the total RDC funding is equivalent to an ACAT III or below program.
- If the total RDC funding is equivalent to an ACAT II program or above, describe what LRIP quantities are requested under a RDC in preparation for transition to fulfilling the remainder of the under requirement under an ACAT II program or above. Generally, LRIP quantities should be limited to the quantities necessary to provide production-configured or representative test articles for operational testing; to establish and initial production base for the system; and to permit the orderly increase in the production rate for the system sufficient to lead to full-rate production upon successful completion of operational testing.⁶ Discuss how the LRIP quantities requested meet these requirements.

Reference tables of ACAT program funding thresholds are available through Naval Center for Cost Analysis at <http://www.ncca.navy.mil/>:⁷

RDC requests that are at or above the ACAT II funding levels will probably be approved only for LRIP quantities. Additional quantities will be required procured under an ACAT program of record designated and overseen by ASN RD&A.⁸

⁵ E.g., legal requirements under 10 U.S.C. §§ 2366, 2399, 2400 and other federal laws.

⁶ See 10 U.S.C. § 2400(b) (LRIP for weapons systems).

⁷ Naval Center for Cost Analysis (NCCA), *Inflation Calculator for FY 08- Ver. 1* (Multiple Appn. Table) (Jan. 2007), available at <http://www.ncca.navy.mil/>.

⁸ For relevant policy, see, e.g., SECNAVINST 5420.188F, *Acquisition Category (ACAT) Program Decision Process* (2 Nov. 2005), available at <http://doni.daps.dla.mil/default.aspx>.

1.f. Required deployment date for RDC units

This section of the RDC memorandum discusses the required deployment date for RDC supplies or services. Generally, ASN RD&A will use the deployment standard of the JRAC IWN process set forth in paragraph 4.2 of the OSD JRAC IWN policy of Nov. 15, 2004, namely "an urgent operational need requiring a timely (120 days or less) materials or logistics solution that, if left unfulfilled, could result in the loss of live and/or percent the successful completion of a near-term military mission."

ASN RD&A will also consider the FY funding of the RDC, with a presumption that RDC's that require funding beyond the current fiscal year do not meet the IWN deployment standard. Accordingly:

- Describe the deployment timeline for the RDC supplies or services, including the estimated completion dates for production of test articles, testing completion dates and deployment dates for all increments or spirals of RDC supplies and services.
- Discuss the funding that will be used to procure the RDC supplies or services. If funding extends beyond the current FY, explain how such funding relates to the required deployment date.

1.g. Description of all testing

This section of the memorandum discuss developmental and operational testing that will be conducted on the RDC supplies to ensure that they function safely and effectively when they are fielded to the RDC end users. This section should be written in view of the training guidance in section E5.1.2 of DODI 5000.1 and sections 9.1 and 9.4 (notably 9.4.3) of the Defense Acquisition Guidebook. Accordingly:

- Discuss what test articles will be procured for testing – quantity and procurement schedule, and whether these articles will be tested by the RDC contractor, by the Government, or by both, prior to deploying the RDC supplies.
- Discuss whether testing will be coordinated with or conducted by DOD or Service testing agencies – for instance, DOT&E, COMOPTEVFOR, or the Army's Aberdeen Test Center. If such activity is not planned, discuss why not.
- Discuss testing of RDC supplies that will ensure the operational effectiveness and suitability of the RDC supplies under realistic operational conditions, including combat. Specifically, discuss the operational and live fire testing of RDC supplies, including measures to evaluate the performance of the system during testing; the test schedule; and the funding and manpower requirements to accomplish the planned testing.

- Discuss whether a quick reaction assessment of test results will be provided to the RDC program office, and if not why not.
- Discuss whether testing will include typical end users operating and maintain the RDC supplies conditions simulating combat stress and peacetime conditions.
- Discuss how upgrades and future spirals of RDC supplies will be tested to ensure operational effectiveness.

1.h. Description and/or concept of logistics support required

This section of the RDC memorandum discusses the lifecycle logistics support required for RDC supplies. This section should be written in view of the lifecycle logistics guidance of Sections 5.1 and 5.2 of the Defense Acquisition Guidebook and Sections 2.2, 3.2.1 and, as applicable, Sections 3.3, 3.4 and 3.5 of OSD Publication, Designing and Assessing Supportability in DOD Weapon Systems: a Guide to Increased Reliability and Reduced Logistics Footprint.⁹ Accordingly:

- Discuss logistics support funding, including the amount, type and period of availability of funds. Logistics support requirements must be fully funded under the RDC contract(s).
- Discuss how obsolescence of RDC supplies will be addressed. For instance, discuss whether obsolescence will be addressed by replacing the RDC supplies or whether obsolescence will be addressed by repair or maintenance (see paragraph 1.i below).
- Discuss alternative logistics support strategies. For instance, if the RDC supplies are going to be logistically supported by the RDC contractor, discuss what other contractors are known that could perform the logistics support work if the RDC contractor is not available.
- Discuss anticipated technical refresh for RDC supplies. For instance, discuss whether commercially available electronics procured under a RDC contract will be refreshed during deployment, and why and how such refresh will be accomplished.
- Discuss logistics workload. For instance, will any parties other than the RDC contractor – e.g., Government personnel or assets – be involved in supporting the

⁹ (Oct .2003 ed.), available at <https://acc.dau.mil/CommunityBrowser.aspx?id=32566>.

RDC supplies? Note that ASN RD&A generally will not approve RDC requests that procure supplies that are unreasonable to procure, field or support.

1.i. Description and/or concept of support required for long-term maintenance

This section of the RDC memorandum discusses sustainment of RDC supplies after they are fielded. This section should be written in view of the same references as paragraph 1.h, notably sections 4.4.9 and 5.1.3.7 of the Defense Acquisition Guidebook. Accordingly:

- Discuss the logistics support plan for RDC supplies, with emphasis on the sustainment strategy for fielded RDC supplies. For instance, discuss RDC contract requirements for the contractor to provide logistics support to delivered COTS supplies.
- Discuss anticipated logistics lifecycle issues. For instance, discuss what is known about the replacement lifecycle for major components of the RDC supplies, including components that are anticipated to need special or short turnaround logistics support attention.
- Discuss warranty provisions. For instance, discuss contractor-provided warranties for RDC supplies. If a warranty is not provided, discuss why not (e.g., too costly?).
- Discuss demilitarization and disposal of obsolescent or old RDC supplies.
- Discuss lifecycle assessment that will identify and properly address performance, readiness, ownership cost, and support issues. For instance, discuss what pre- and post-deployment evaluations will be conducted to assess performance of fielded RDC supplies and the support strategy for insertion for continuous modernization and product affordability improvements.
- Discuss sustainment strategy funding. The RDC supplies must be supportable, sustainable, and affordable with the support infrastructure already in-place. (e.g. All support requirements must be fully funded).

1.j. A statement that a plan will be developed for conducting a quick reaction assessment to verify that deployment of the RDC unit will not adversely affect interoperability and integration, compatibility or safety

This section of the RDC memorandum discusses the quick reaction assessment for interoperability and integration, compatibility and safety. This section should be written

in view of Chapters 4, 6 and Section 10.5 of the Defense Acquisition Deskbook. Accordingly:

- Describe how a quick assessment will be used to verify whether deployment of the RDC supplies or services will not adversely affect interoperability and integration, compatibility, or safety. Discuss anticipated adverse impacts in these areas – for instance, if it is anticipated that the RDC supplies will not interoperate with existing military systems.
- For RDC information technology supplies or services, discuss how the quick assessment will assess whether the RDC supplies or services comply with Clinger-Cohen Act (CCA) requirements.¹⁰
- Discuss how the quick assessment will assess, as necessary whether the RDC supplies or services comply with interoperability, GIG compliance, and Information Assurance requirements.

1.k. Consideration of manpower, personnel, and training requirements for fielding the RDC

This section of the RDC memorandum discusses training that will be provided to end users of RDC supplies. This section should be written in view of the testing guidance in Section 6.2.3 of the Defense Acquisition Guidebook. Accordingly:

- Discuss the concept of operations to provide initial training to RDC end users for safe and timely use the RDC supplies or services.
- Discuss the concept of operations to provide follow-on training to additional RDC end users during the RDC procurement lifecycle, including training to modernized RDC supplies due to technical refresh.
- Discuss training logistics necessary to support the planned training. For instance, discuss what Department of Navy manpower and resources will have to be used to ensure adequate training to end users of RDC supplies. Generally, ASN RD&A will not approve RDC requests that require significant additional manpower/personnel resources to deploy or maintain (see paragraph 1.h above).
- Discuss funding provided for training, including year, type and amount.

¹⁰ See DODI 5000.2, Encl. 4 for CCA requirements.

IV. Additional Considerations

These considerations provide information on additional regulations and policies that ASN RD&A may consider in determining whether to approve a RDC request.

1. New Start Programs

A “new start” program is a “program, subprogram, modification, project, or subproject not previously justified by the Department and funded by the Congress through the normal budget process.”¹¹ New start programs generally require Congressional approval prior to execution.¹²

For general guidance, a new start notification will be required if the RDC will cause any of the following conditions to be met:

- a new weapon system is added to the inventory;
- a new capability is added to an existing weapon system; or
- a capability which exists on a special purpose variant of existing weapons system is added to the baseline weapon system.

Accordingly, prior to submitting a RDC request, consider the following questions:

- Does this RDC system/effort constitute a new start?
- Has a previous President’s Budget addressed this effort to some degree?
- Has the Congress provided direction or approval to proceed with this effort (through support of the budget, PE/Project line efforts, etc.)?

If the RDC is a new start program, a new start notification to Congress will probably be required before the RDC will be approved by ASN RD&A. ASN RD&A will make the new start notification in consultation with ASN (FM&C).

¹¹ DOD Financial Management Regulation, 060401(E) (Aug. 2000), at http://www.dod.mil/comptroller/fmr/03/03_06.pdf.

¹² *Id.*