**MIDDLE TIER ACQUISITION**

**PROTOTYPING PLAN**

**FOR**

**Program XYZ**

**DATE**

**Program XYZ**

**SUBMITTED BY:**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

John Doe Date

Program Manager, Program XYZ

PEO ABC

**APPROVAL:**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_

Jane Smith Date

PEO ABC

**EXECUTIVE SUMMARY**

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**Purpose.**

*State the reason the Prototyping Plan is being prepared (e.g., milestone review, full rate production decision, change in strategy, etc.)*

1. Capability Need
   1. Requirements Summary

*Summarize the requirement. Indicate the key operational and sustainment requirements for this system (i.e., the time-phased capability requirements as described in the Top Level Requirements Letter, Initial Capabilities Document, Capability Development Document, and/or Capability Production Document.*

* 1. Performance Goals

*Summarize the expected operational mission of this program. Identify the user and summarize the user‘s Concept of Operations (CONOPS). Indicate how the program fits into current and future integrated architectures.*

* 1. Threat

*Summarize the threat assessment in relation to the capabilities or operational concepts the system will support (see the applicable System Threat Assessment document for details). Specify which elements of the threat (if any) are not yet fully defined, and which elements of the threat (if any) will not currently be countered by the system capabilities or CONOPS. Include a projected plan/schedule to define and counter the remaining threat elements.*

* 1. Operational View

*Optional. Include an Operational View (OV)-1 Illustration. (See example in Figure 1, below.)*

1. Prototype Acquisition Strategy
   1. Acquisition Approach

*Indicate whether the program strategy will be evolutionary or single step to full capability.*

3.1.1 Evolutionary Acquisition

*If this program employs an evolutionary acquisition approach, summarize the cost, schedule, and performance drivers for the increment under consideration, and the plan to transition from the initial increment to later increments.*

3.1.2Planned Prototype Quantity

*In a table showing quantity per year, indicate the total planned prototype quantity.*

**Table 1. Example Program XYZ Phase 2 AAO Procurement/Fielding**

3.1.3 Benefit Analysis and Determination

*Applies to bundled acquisitions only. If the contract is a bundled acquisition (consolidating two or more requirements for supplies or services, previously performed under smaller contracts, into a single contract that is likely to be unsuitable for award to a small business), indicate the specific benefits anticipated to be derived from bundling. Reference FAR section 7.107, Acquisition Planning. (15 USC 644.)*

3.2 Business Strategy

3.2.1Competition

*Explain how a competitive environment will be sought, promoted, and sustained throughout all program phases. If Market Research has been done and summarize the results (e.g., any Small Business Opportunities and Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) Program Technologies)*

3.2.2 Major Contracts Planned

*Provide a table (see example Table 2) that identifies the purpose, type, value, performance period, and deliverables of the contract.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **MAJOR CONTRACTS** | | | | | |
| **Contract** | **Purpose** | **Type** | **Value** | **Performance Period** | **Major Deliverables** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

**Table 2. Example Projected Major Contracts**

3.2.3 Technical Data Rights Strategy

*Summarize the Technical Data Rights Strategy for meeting product life-cycle data rights requirements and to support the overall competition strategy.*

3.3  International Involvement

*Indicate if foreign contractors will be allowed to participate at the prime contractor level; and any plans for cooperative development with foreign governments or cognizant organizations.*

3.4 Risks

*Summarize the approach used to identify, analyze, mitigate, track, and control performance/technical/manufacturing cost, schedule, sustainment, and programmatic risk throughout the life of the program.*

*Discuss key programmatic, technologies and interdependency risks and mitigation plans. If any deferred risks, explain why they were deferred.*

**4. Program Schedule**

4.1 Schedule

*Provide a graphic illustrating phases, and events including RFP release, contract awards, deliveries and key test activities.*

4.2 Knowledge Points

*Knowledge points are the key decision points at which critical pieces of information will be used to enable knowledge-based decision-making. Discuss timeline and required information and criteria for Knowledge Points. Typically,*

* *Knowledge Point 1 occurs after the completion of the technology development phase. A good gauge of whether a match is made is noting the level of technology maturity at the beginning of the development stage. A match occurs when a program has demonstrated that the critical technologies have been verified to work in their intended environment.*
* *Knowledge Point 2 (Knowledge that design will work as required) represents the fact that a product’s design should be demonstrated to function as planned and meet the requirements that have been established. The decision-maker is provided with actual information/data to assure that the system design is stable and will perform in a way that was expected by the user. As an example, an indicator of design stability is the completion of at least 90 percent of engineering drawings by the Critical Design Review.*
* *Knowledge Point 3 (Knowledge that the design can be produced within cost, schedule, and quality targets). An important indication is the system can be created over and over with the same level of performance and. A best practice is to make certain that all critical manufacturing processes are in statistical control at the start of production.*

4.3 Program Interdependencies

*Specify programmatic interdependencies with other programs. Discuss the relationship of the interdependencies with program activity on the critical path*

5. System Experimentation and Assessment Plan

*Summarize plan for prototype experimentation and assessment.*

6. Prototype Deployment Strategy

*Summarize prototype deployment strategy.*

7. Cost and Funding

7.1 Investment Program Funding and Quantities.

*Provide a copy of the program’s “Investment Program Funding and Quantities” Chart (see Figure 2), with a current “as of date.” A template and instructions for the development of this chart are provided at:* [*https://extranet.acq.osd.mil/dab/what\_funding\_chart.html*](https://extranet.acq.osd.mil/dab/what_funding_chart.html) *(login with password or Common Access Card required)*

*If the chart reflects funding shortfalls, indicate how they will be addressed and state programmatic impacts if they are not.*



**Figure 2. Example “Investment Program Funding and Quantities”**

7.2 Joint Participant Funding Contributions Chart

*If the program is jointly funded, provide a separate chart reflecting the funding contributions required of each joint participant.*

7.3 Working Capital Fund Support

*Provide and briefly explain funding support from the Working Capital Fund, if any.*

7.4 Cost and Cost Control

*Indicate the established cost goals for the increment and the rationale supporting them. See table 5 below for example. Also summarize plans to control program costs, specifically Program Acquisition Unit Cost, Average Procurement Unit Cost, and Life-Cycle Cost.*



**Table 5. Example - APB Objective and Threshold Values**

**GLOSSARY**

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| --- | --- |
| **Acronym** | **Description** |
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