

REFERENCES

- (a) Chairman, Joint Chiefs of Staff Instruction (CJCSI) 3170.01B, “*Requirements Generation System*,” April 15, 2001, http://www.dtic.mil/doctrine/jel/cjcsd/cjcsi/3170_01b.pdf
- (b) Chief Financial Officer’s (CFO) Act of 1990, Pub. Law No. 101-576, November 15, 1990 (as amended); 31 U.S.C. § 3512
- (c) CJCSI 6212.01B, “*Compatibility, Interoperability, and Integration of Command, Control, Communications, and Intelligence Systems*,” May 8, 2000
- (d) Clinger-Cohen Act of 1996, Public Law No. 104-106, Div. E, §5001-5703, February 10, 1996 (as amended)
- (e) Deputy Secretary of Defense Memorandum, “*DoD Chief Information Officer (CIO) Guidance and Policy Memorandum (G&PM) No. 11-8450, Department of Defense (DoD) Global Information Grid (GIG) Computing*,” dated April 6, 2001
- (f) DFAS 8400.1-R, Chapter 3, Authority to Connect Non-Government Supplied Workstations and Printers to ELAN, <https://eportal.dfas.mil/content/Reference%20Library/Regulations/HQ/80001r/dfas84001r.pdf>
- (g) DFAS 8400.1-R, Chapter 4, Approval and Installation of Software Applications Supporting Defense Finance and Accounting Service Operations Policy, <https://eportal.dfas.mil/content/Reference%20Library/Regulations/HQ/80001r/dfas84001r.pdf>
- (h) DFAS 8500.1-R, Chapter 1, Information Assurance Policy, <https://eportal.dfas.mil/content/Reference%20Library/Regulations/HQ/80001r/dfas85001r.pdf>
- (i) DFAS Business Evolution Plan (Phase 1), August 7, 2000
- (j) DFAS Organization, Missions, and Functions Guidebook, version 1.3, February, 2002, <http://www.dfas.mil/Technology/pal/reggs/dbeVersion1-3.pdf>
- (k) DFAS Process Asset Library (PAL), <http://www.dfas.mil/Technology/pal>
- (l) DFAS Process Asset Library References, <http://www.dfas.mil/Technology/pal/reggs/>
- (m) DFAS Software Subcontract Management Scenario (SSMS), <http://www.dfas.mil/Technology/pal/ssps/ssms/>
- (n) DFAS System Life Cycle (SLC) process, <http://www.dfas.mil/technology/pal/ssps/slc/>
- (o) DFAS System Life Cycle (SLC) Documentation Standards <http://www.dfas.mil/technology/pal/ssps/docstnds/lcdocstnds.htm>
- (p) DFAS System Modification Scenario (SMS), <http://www.dfas.mil/Technology/pal/ssps/ssp/>
- (q) DFAS System Operations Scenario (SOS), <http://www.dfas.mil/Technology/pal/ssps/sosrell/>
- (r) Director, DFAS Memorandum, “*Appointment as Component Acquisition Executive (CAE)*” dated May 14, 2001
- (s) Director, DFAS Memorandum, “*Milestone Approval for All Systems Development*,” dated May 4, 2000
- (t) Director, DFAS Memorandum, “*Revised DFAS System Acquisition Life Cycle Process*,” dated February 12, 2001
- (u) DoD 5000.2-R, “*Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs*,” April 5, 2002
- (v) DoD Joint Technical Architecture, version 3.1, March 31, 2000
- (w) DoD Telework Policy, http://www.cpms.osd.mil/fas/benefits/pdf/telework/telework_policy.pdf
- (x) DoDD 5000.1, “*Defense Acquisition System*,” March 1996
- (y) DoDD 5000.1, “*Defense Acquisition System*,” with Change 1, January 4, 2001

- (z) DoDD 5200.28, "*Security Requirements for Automated Information Systems (AISs)*," March 21, 1988
- (aa) DoDD 8000.1, "*Defense Information Management (IM) Program*," with Change 1, March 20, 2002
- (bb) DoDI 5000.2, "*Operation of the Defense Acquisition System*," March 1996
- (cc) DoDI 5000.2, "*Operation of the Defense Acquisition System*," April 5, 2002
- (dd) DoDI 5200.40, "*DoD Information Technology Security Certification and Accreditation (C&A) Process (DITSCAP)*," December 30, 1997
- (ee) DoDI 7041.3, "*Economic Analysis for Decision Making*," dated November 07, 1995
- (ff) Draft Global Information Grid Capstone Requirements Document (CRD), dated March 28, 2001
- (gg) Federal Managers Financial Integrity Act (FMFIA), Section 4, 1982
- (hh) Guide to Federal Requirements for Financial Management Systems, Version 3, June 2001
- (ii) Hardware Testing Waiver Request (ELAN Technical Guidance 02-01),
<https://eportal.dfas.mil/content/Technology%20Services/Infrastructure/Policy/tg0201.pdf>
- (jj) Hatch Act (5 U.S.C. Chapter 73, subchapter III, as amended; 5 C.F.R. Part 733; 5 C.F.R. Part 734, <http://www.osc.gov/hatchact.htm>)
- (kk) IEEE/EIA 12207, *Standard for Information Technology*, dated March 1998
- (ll) Office, Under Secretary of Defense (OUSD), Controller (C) Memorandum, "*Financial and Feeder Systems Compliance Process*," dated January 5, 2001
- (mm) OMB Circular 127, "*Financial Management Systems*," dated July 23, 1993
- (nn) OMB Circular A-130, "*Management of Federal Information Resources*," February 8, 1996
- (oo) Public Law 104-208, 104th Congress, "*Federal Financial Management Improvement Act of 1996*"
- (pp) Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794d),
<http://www.access-board.gov/sec508/guide/act.htm>
- (qq) Software Engineering Institute's Capability Maturity Model for Software (CMM),
<http://www.dfas.mil/Technology/pal/cmm/>
- (rr) Under Secretary of Defense, Comptroller (USD (C) Memorandum, "*Defense Financial Management Modernization Program- System Initiatives*," dated October 12, 2001

DEFINITIONS

For definitions of terms used in this publication go to
<http://www.dfas.mil/technology/pal/definitions.htm>.

ABBREVIATIONS AND/OR ACRONYMS

ABL	Allocated Baseline
ACAT	Acquisition Category
ACAT IAM	Acquisition Category Major AIS Program
ACAT IAC	Acquisition Category Major Component System
ACOR	Alternate Contracting Officer's Representative
ADP	Automatic Data Processing
AIS	Automated Information System
AoA	Analysis of Alternatives
APB	Acquisition Program Baseline
AS	Acquisition Strategy
ASDP	Abbreviated System Decision Paper
ASO	Acquisition Support Office
BIE	Business Integration Executive
BPA	Business Process Analysis
BLE	Business Line Executive
BPR	Business Process Reengineering
C&A	Certification and Accreditation
C/PIPT	Cost Performance IPT
C3I	Command, Control, Communications, and Intelligence
C4ISP	Command, Control, Communications, Computer, and Intelligence Support Plan
CAC	Cost Account Code
CAE	Component Acquisition Executive
CARD	Cost Analysis Requirements Description
CARS	Consolidated Acquisition Reporting System
CCA	Component Cost Analysis
CCB	Configuration Control Board
CDR	Critical Design Review
CE	Client Executive
CFO	Chief Financial Officer
CI	Configuration Item
CIO	Chief Information Officer
CJCSI	Chairman, Joint Chiefs of Staff Instruction
CM	Configuration Management
CMIS	Configuration Management Information System
CMP	Configuration Management Plan
COE	Common Operating Environment
COI	Critical Operational Issues
COOP	Continuity of Operations Plan
COR	Contracting Officer's Representative
COTS	Commercial-Off-The-Shelf
CPI	Critical Program Information
CRD	Capstone Requirements Document
CTO	Chief Technology Officer

CTP	Critical Technical Parameters
DAS	Defense Accounting System
DBDD	Database Design Description
DCII	DFAS Corporate Information Infrastructure
DCP	DFAS Cost Position
DCPDT	DFAS Cost Position Development Team
DDDS	Defense Data Dictionary System
DDRS	Defense Data Repository System
DFARS	Defense Federal Acquisition Regulation Supplement
DFAS	Defense Finance and Accounting Service
DFAS-DC	Director for Corporate Resources
DFAS-DCC	Director for Resource Management
DFAS-DI	Director for Internal Review
DFAS-DS	Director for System Integration
DFAS DSRA	Test Director, Systems Integration
DFAS-DT	Director for Information and Technology
DFAS-DTB	Assistant Deputy Director for Policies and Architecture
DFAS-DTC	Assistant Deputy Director for Systems Management
DFAS-T	Director, Technology Services Organization
DII	Defense Information Infrastructure
DIMHRS	Defense Integrated Military Human Resources System
DITSCAP	DoD Information Technology Security Certification and Accreditation (C&A) Process
DITP	Development IPT
DM	Data Management
DMC	Defense Megacenters
DoD	Department of Defense
DoDD	DoD Directive
DoDI	DoD Instruction
DPA	Delegations of Procurement Authority
DT	Developmental Test
DT&E	Development Test and Evaluation
EA	Economic Analysis
EDI	Electronic Data Interchange
ELAN	Enterprise Local Area Network
EOCR	Executable Object Code Record
ESG	Executive Steering Group
FAM	Functional Application Manager
FAR	Federal Acquisition Regulation
FBL	Functional Baseline
FCA	Functional Configuration Audit
FFMIA	Federal Financial Management Information Act
FIP	Federal Information Processing
FIRMR	Federal Information Resources Management Regulation
FM	Functional Manager
FMFIA	Federal Managers Financial Integrity Act

FOC	Full Operational Capability
FP	Functional Proponent
FRR	Functional Requirements Review
FSA	Financial Systems Activity
FSA	Functional System Audit
FSO	Financial Systems Organization
GCSS	Global Combat Support System
GIG	Global Information Grid
GSA	General Services Administration
HQ	Headquarters
IA/SR	Independent Assessment/Sufficiency Review
IA	Information Assurance
IDIQ	Indefinite Delivery and Indefinite Quantity
IER	Independent Evaluation Report
IM	Information Management
IMAS	Interim Migratory Accounting Systems
IOC	Initial Operational Capability
IPR	In-Progress Review
IPT	Integrated Product Team
IRD	Information Requirements Document
ISDN	Integrated Services Digital Network
ISO	Infrastructure Services Organization
ISR	Infrastructure Service Request
I&T	Information and Technology
IT	Information Technology
IT OIPT	IT Overarching Integrated Product Team
ITAA	IT Acquisition Approval
ITB	Information Technology Budget
ITMRA	Information Technology Management Reform Act
JCL	Job Executive/Control Language
JITC	Joint Interoperability Test Command
JSS	Joint Systems Software
JTA	Joint Technical Architecture
LCCE	Life Cycle Cost Estimate
LCM	Life Cycle Management
MAIS	Major Automated Information System
MAISRC	Major Automated Information Systems Review Council
MDA	Milestone Decision Authority
MDAP	Major Defense Acquisition Program
MIPR	Military Interdepartmental Purchase Request
MNS	Mission Need Statement
MOP	Measures of Performance
MOU	Memorandum of Understanding
MS	Milestone
OASD(C3I)	Office of the Assistant Secretary of Defense (C3I)
OASN	Office of the Assistant Secretary of the Navy

OBL	Operational Baseline
OIPT	Overarching IPT
OM	Operations Manual
OMB	Office of Management and Budget
ORD	Operational Requirements Document
OSD	Office of the Secretary of Defense
OT&E	Operational Test and Evaluation
OTA	Operational Test Activity
OTRR	Operational Test Readiness Review
OUUSD(A&T) D,TSE&E	Office of Undersecretary of Defense for Acquisition and Technology Test, Software Engineering, and Evaluation
OUUSD(C)	Office, Under Secretary of Defense, Comptroller
PAL	Process Asset Library
PBL	Product Baseline
PCA	Physical Configuration Audit
PIR	Post Implementation Review
PLE	Product Line Executive
PM	Program Manager
PMO	Project Management Office
PMP	Program Management Plan
PO	Project Officer
POC	Point of Contact
POE	Program Office Estimate
PPBS	Programming and Budgeting System
PTR	Problem Trouble Report
RIPT	Requirements IPT
ROI	Return-on-Investment
SAD	System Architecture Description
SAR	System Architecture Review
SARAD	System Architecture and Requirements Allocation Description
SAT	Software Acceptance Test
SCIR	Source Code Index Record
SCR	System Change Request
SDD	Software Design Document
SDP	Software Development Plan
SEO	Systems Engineering Organization
SID	Systems Inventory Database
SIDD	Software Interface Design Description
SIT	Software Integration Test
SLC	System Life Cycle
SM	System Manager
SMS	System Modification Scenario
SQA	Software Quality Assurance
SQT	Software Qualification Test
SRD	Software Requirements Description
SRS	System Requirements Specification

SSAA	System Security Authorization Agreement
ST	String Test
ST&E	Security Test and Evaluation
T&E	Test and Evaluation
TEMP	Test and Evaluation Master Plan
TIDR	Test Integration Data Repository
TIPT	Test IPT
TOC	Total Ownership Cost
TPO	Technical Project Officer
TRR	Test Readiness Review
TSO	Technology Services Organization
UM	User Manual
UPS	Un-interruptable Power Supply
USD(C)	Under Secretary of Defense, Comptroller
UT	Unit Test

C1. CHAPTER 1DFAS INFORMATION TECHNOLOGY LIFE CYCLE MANAGEMENT POLICY

C1.1. PURPOSE. This Regulation defines the Defense Finance and Accounting Service (DFAS) Information Technology (IT) Life Cycle Management (LCM) policies, guidance, roles and responsibilities, and techniques, implementing DoDD 5000.1, DoDI 5000.2, and DoD 5000.2-R. LCM is a management process applied throughout the life of each Automated Information System (AIS) to make sound business decisions, reduce program risk, and facilitate program success. This LCM policy is managed by DFAS-DTC, 1931 Jefferson Davis Highway, Crystal Mall 3, Arlington VA 22240-5291.

C1.1.1. This document provides a framework for program planning, execution and decision points to realistically project and control cost, schedule, and performance objectives and to ensure that DFAS AIS programs are well documented, implemented, secured, operated, and maintained.

C1.1.2. Key DFAS LCM Objectives. Active customer participation; accurate and timely implementation of customer requirements; realistic and achievable planning; sound management accountability; responsible system development, deployment/implementation, and operation; trusted security administration; and establishment of cost, schedule, and requirements control mechanisms that facilitate high visibility for executive oversight.

C1.2. APPLICABILITY AND SCOPE. This policy applies to all DFAS components responsible for acquiring, developing and/or maintaining DFAS AISs. The DFAS IT LCM policy applies to all DFAS AIS programs from business process improvement/reengineering and identification of a new mission need through system closeout. The scope of oversight for each AIS program is defined in each program manager's (PM) charter. The application of this LCM policy does not circumvent or replace the requirements of the DFAS acquisition policy.

C1.3. DFAS IT LCM POLICY AND SYSTEM LIFE CYCLE PROCESS.

C1.3.1. DFAS LCM Policy. It is DFAS IT LCM policy that:

C1.3.1.1. A Milestone Decision Authority (MDA) shall be assigned for each DFAS AIS program in accordance with references (y) and (cc) (see subsection C1.4.1.).

C1.3.1.2. A program manager shall be assigned to each development and AIS under major change.

C1.3.1.3. The Director, Information and Technology (DFAS-DT), working with the Director of Technology Services Organization (DFAS-T), establishes and maintains the DFAS System Life Cycle (SLC) process. The SLC description shall be published on a DFAS web site (<http://www.dfas.mil/technology/pal/ssps/slc/>) and made available to DFAS and contractor personnel.

C1.3.1.4. All AIS programs shall follow a project-specific SLC approved by the MDA. This process is tailored from the DFAS SLC process.

C1.3.1.4.1. All DFAS AIS shall comply with the DFAS SLC process and related LCM documentation requirements as tailored.

C1.3.1.4.2. All new DFAS AIS (including internal development and purchase of COTS) shall comply with the standards of reference (pp).

C1.3.1.4.3. AISs under \$2M Total Ownership Cost (TOC) shall use the Abbreviated System Decision Paper (ASDP) (reference (n)) to document program needs, requirements funding and test requirements.

C1.3.1.5. Each program shall establish and monitor the status of their program's performance, cost, and schedule threshold and objective values. Any breach shall be reported to the applicable Business Line Executive and MDA within 30 days.

C1.3.1.6. All new AIS requirements shall be analyzed against DFAS initiatives that currently exist to determine whether they are unique or a part of an existing or planned capability. New programs will be established only for new unique requirements approved by the appropriate MDA.

C1.3.1.7. A program manager's charter shall be approved by the assigned MDA and implemented for each DFAS AIS under development or AIS undergoing major change. AIS programs proposed for development with projected TOC under \$2 million shall prepare an approved ASDP for MDA approval that addresses PM charter requirements.

C1.3.1.8. A technical project officer (TPO) shall be assigned by the DFAS chief technology officer for each DFAS AIS.

C1.3.1.9. Each AIS program, working with the customer and applicable DFAS business line executive (BLE), shall:

C1.3.1.9.1. Establish realistic performance, cost, and schedule objectives and identify benefits, acquisition strategy and associated measures (metrics).

C1.3.1.9.2. Ensure that each of the AIS program's derived benefits meet valid mission needs.

C1.3.1.9.3. Ensure that risks are identified and abatement plans established.

C1.3.1.9.4. Ensure that each metric is testable and achievable.

C1.3.1.9.5. Ensure that functional requirements are technically sufficient to meet customer, DoD and DFAS target environment requirements.

C1.3.1.9.6. Ensure that the DoD Information Technology Security Certification and Accreditation Process (DITSCAP) (reference (dd)) is followed.

C1.3.1.10. All DFAS major automated information systems (MAIS) and mission critical/essential acquisition programs will have two cost estimates: the Program Office Estimate (POE), taken directly from the Life Cycle Cost Estimate (LCCE), and the Component Cost Analysis (CCA). The CCA is developed by the DFAS Corporate Resources Directorate (DFAS-DC) under the Director for Resource Management (DFAS-DCC) and is performed independently from the LCCE. For DFAS non-MAIS programs, DFAS-DC shall conduct an independent assessment/sufficiency review (IA/SR) to resolve any differences. If no cost issues are raised, the DFAS POE is the DFAS cost position.

C1.3.1.10.1. At the discretion of DFAS-DCC, a DFAS cost position development team (DCPDT) shall be established to analyze the two estimates and resolve any differences.

C1.3.1.10.2. The DCPDT shall review the POE and CCA or IA/SR recommendations and provide a recommended DFAS cost position. To obtain a DFAS cost position for both MAIS and non-MAIS programs, the following efforts shall be performed:

C1.3.1.10.2.1. The DCPDT findings and recommendations shall be documented and presented in a cost analysis brief to the Chief Information Officer/Business Integration Executive (CIO/BIE) Council.

C1.3.1.10.2.2. When deemed necessary by the MDA, a more detailed economic analysis will be conducted (reference (ee)) and the results compared to the LCCE.

C1.3.1.10.2.3. A revised DFAS cost position shall be established for the program using cost analysis brief inputs generated by the DCPDT.

C1.3.1.10.2.4. The program's LCCE shall be updated to reflect the DFAS cost position.

C1.3.1.11. The status of an AIS program's established performance metrics (see C1.3.1.9.1), including measures of the program's management efforts, of the system development efforts, and of the business process, shall be presented to the DFAS CIO/BIE Council at designated milestone decision review points, as defined in references (cc) and (n) (SLC process), and as described in the approved acquisition strategy for the program.

C1.3.1.12. A DFAS AIS program shall only receive funding to progress from one life cycle phase to the next after a successful milestone decision is issued by the MDA.

C1.3.1.13. Once an AIS program becomes operational and fully deployed, the DFAS AIS PM's role ends and a DFAS System Manager (SM). Until transition to the SM is completed, the PM is responsible for operating and maintaining the AIS and employing security controls. The PM shall retain program authority until development is complete.

C1.3.1.14. The AIS program shall be documented in the DFAS Systems Inventory Database (SID) and its description kept up to date. The PM is responsible for maintaining SID data until the program is deployed and transitioned to the SM. Once transition is accomplished, the SM is responsible for keeping SID program data current.

C1.3.1.15. Memorandum of Understanding (MOU). Several types of MOU are required and are listed below.

C1.3.1.15.1. The program office shall ensure that an approved MOU between DFAS and each of the program's customers is in place (reference (ll)). The MOU shall document each customer's expectations; define a process for obtaining customer acceptance; define functional requirements (including the minimum AIS security requirements); define the minimum level of customer participation (e.g., Integrated Product Team (IPT) support, requirement generation sessions, and test events); and, define the customer's funding.

C1.3.1.15.2. In order that the appropriate service/agency interfacing with DFAS systems has proper visibility over financial system architecture, all DFAS AIS program initiatives (including those AIS programs migrating to the DFAS Corporate Information Infrastructure (DCII)) shall have a MOU on system interfaces with all feeder system agencies or customers.

C1.3.1.15.2.1. For those systems where an interface currently exists but where a MOU does not, requests for new or significant changes to existing interfaces shall be coordinated by the DFAS AIS PMs and SMs with the owner of each feeder system to identify and resolve any impacts.

C1.3.1.15.2.2. For new development and migratory systems, the PM shall coordinate with the owner of any feeder system(s) to define the necessary interface requirements and establish an MOU. (For DFAS AIS programs interfacing with U.S. Navy feeder systems, the Office of the Assistant Secretary of the Navy (Financial Management) has stipulated that the Office of the Assistant Secretary of the Navy (OASN) have final approval of the MOU.)

C1.3.1.15.2.3. Each interface agreement shall include how information exchanged between external systems and the DFAS AIS will be controlled to ensure the Federal Financial Management Information Act of 1996 (FFMIA) compliance of the transaction exchanged. For interfaces with external systems not owned by customers of the AIS, separate interface MOUs need to be developed, including a section to address FFMIA compliance of exchanged transactions.

C1.3.1.16. DFAS AIS applications shall adhere to the DoD Global Information Grid (GIG) computing requirements as defined in reference (e) and (ff).

C1.3.1.17. All AIS programs shall ensure that their program supports the DFAS corporate strategies and architectures and is approved by the CIO/BIE Council.

C1.3.1.18. As part of the Defense Financial Management Modernization program described in reference (rr), all new system initiatives must complete the pre-Milestone A requirements: Business Process Review, Mission Need Statement, and Trade-off studies, and present the results to the Under Secretary of Defense, Comptroller (OUSD (C)) in a formal brief prior to approval of Milestone A. Absolutely no one may begin a new system without written concurrence from the OUSD (C). Likewise, a system that has been in development may not enter into production or be deployed without written concurrence from the OUSD (C).

C1.3.2. DFAS SLC Process. The DFAS SLC defines processes for system acquisition, implementation, and maintenance, complying with references (a), (b), (c), (d), (u), (y), (aa), (cc),

and (nn). The SLC process defines the programmatic, technical and system baseline processes for all DFAS AISs. It contains activities with associated tasks, design and test reviews, and documentation templates (reference (n)). Using the SLC process allows DFAS management the visibility to ensure that DFAS's strategic goals and objectives, investment portfolio requirements, and user community requirements are being addressed and successfully implemented.

C1.3.2.1. Reference (t) discusses recent changes to the DoD directives and identifies the necessity to have more than one DFAS SLC process for the immediate future.

C1.3.2.1.1. Systems past Milestone II shall continue to use the old SLC process shown in Appendix 2. This is to ensure that cost and schedule of systems past a Milestone II decision point are not adversely affected by recent changes.

C1.3.2.1.2. All other systems shall use the SLC process shown in Appendix 3, and also found in the DFAS Process Asset Library (PAL) on DFAS web sites, that reflects the policy in reference (u).

C1.3.2.1.3. The System Modification Scenario (SMS) (reference (p)) defines the process, activities, tasks, and required documentation to implement proposed system changes for operational systems deployed prior to the effective date of this policy. This includes defining system change requirements, modifying, implementing, testing, documenting, and tracking changes for a deployed system.

C1.3.2.1.4. The degree of LCM formality applied to programs will vary based on several factors. The factors include acquisition category, implementation strategy, program complexity, projected funding requirements, and the amount of risk the MDA is willing to take. The DFAS SLC process should be tailored for each program. Since risk will vary from program to program, the MDA may adjust a program's LCM process depending on many factors.

C1.3.2.1.4.1. Once an acquisition category (see Appendix 1) has been identified and an MDA assigned to a program, the MDA assigns a PM. The PM, with consultation from the DFAS Systems Management (DFAS-DTC) staff, shall review the DFAS SLC process and tailor the program's SLC process to fit the acquisition strategy.

C1.3.2.1.4.2. The AIS program shall document the proposed process as part of the formal acquisition strategy (or ASDP for program's whose TOC is projected to be under \$2M) for the submission to the CIO/BIE Council to gain MDA approval.

C1.3.2.2. As part of the approval process for a system change or software release, the Configuration Control Board (CCB) chair, with advice from the SM, TPO, and Security Officer, shall provide to the BLE an impact analysis and recommendation of approval or disapproval of the change or release.

C1.3.2.2.1. All LCM programmatic and technical documentation affected by the change(s) shall be kept current by either new document versions or change pages.

C1.3.2.2.2. If a single modification or software release package causes more than a 30% change to the system or a 30% increase to total program cost, it will be considered a major modification

to the baseline. As soon as the SM is aware of a need for a major modification, the SM shall notify the BLE and DFAS-DT. DFAS-DT will work with the SM to determine how this change will be reported to the CIO/BIE Council.

C1.3.2.2.3. All major modifications require Operational Test and Evaluation (OT&E). The SM and TPO shall brief the modification to the CIO/BIE Council at an In-Progress Review (IPR) prior to deployment.

C1.3.2.3. System Closeout. As a system nears the end of its useful life various activities and tasks need to be performed to ensure that DFAS interests are protected, that functions which need to be absorbed by other systems are identified, and that a closeout procedure is implemented. The DFAS process for system closeout is contained in Appendix 4.

C1.4. RESPONSIBILITIES. The LCM roles and responsibilities addressed in this policy adhere to the requirements called out in references (j) and (i). This section provides an overview description of these roles and responsibilities for each DFAS position that supports LCM within DFAS.

C1.4.1. Milestone Decision Authority (MDA). The MDA is the only individual with the authority to approve funding, at each milestone, for the next LCM phase. Assignment of an MDA depends on the ACAT of each program. An assigned code at the end of the ACAT designates the level of review the system will receive. Typically, this code represents the dollar threshold of a system as shown in Appendix 1. A system identified as ACAT IAM is considered to be a MAIS and the MDA will be the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (OASD C3I). ACAT IAC is also a major system but OASD (C3I) has delegated MDA authority back to the Director, DFAS. Any other ACAT designations are considered non-major and the MDA is the Director, DFAS. Director, DFAS has delegated MDA responsibility to the DFAS Component Acquisition Executive (CAE). The DFAS MDA shall:

C1.4.1.1. Approve or disapprove each assigned AIS PM's charter.

C1.4.1.2. For all programs at the DFAS approval level, the MDA shall determine where the AIS program shall enter the DFAS SLC process (Milestone A or B).

C1.4.1.3. Based on the DFAS CIO/BIE Council's recommendation, the MDA shall approve, conditionally approve, or disapprove where a program enters into the acquisition life cycle and whether a program may progress to its next phase.

C1.4.1.4. If the CIO/BIE Council determines that a program no longer supports corporate strategies and architectures, or if it becomes clear the projected return-on-investment (ROI) cannot be achieved, the MDA shall consider termination of the program. The ROI should include intangibles, such as how significantly the termination of the system will impact the mission.

C1.4.2. DFAS Leadership Council. The DFAS Leadership Council consists of DFAS Executives and is a forum for executive interchange that offers advice to the Director regarding DFAS mission, vision, functions, goals, strategies, business practices and related topics. The

DFAS Leadership Council's principal LCM role is to address and resolve any AIS program differences elevated by the DFAS CIO/BIE Council.

C1.4.3. DFAS CIO/BIE Council. The CIO/BIE Council is a DFAS forum co-chaired by Director, for Information and Technology (Chief Information Officer (CIO) and Director for Business Integration Executive (BIE) (DFAS Component Acquisition Executive (DFAS CAE). Membership includes Director for Accounting, Director for Finance, Business Line representatives, Director for Systems Integration, Defense Integrated Military Human Resources System (DIMHRS) Executive, Director for Corporate Resources, Director for Technology Services (Chief Technology Officer (CTO)), and Director for Internal Review (DFAS-DI). The CIO/BIE Council performs the following LCM roles:

C1.4.3.1. Conduct corporate oversight of DFAS operational, system, and technical architectures.

C1.4.3.2. Review capital budget proposals to ensure compliance with DFAS strategic direction, architecture, and business/support area process reengineering activities.

C1.4.3.3. Coordinate and integrate business processes across business lines, and prioritize changes resulting from Business Process Analysis/Business Process Reengineering (BPA/BPR) efforts within DFAS into the overall DFAS strategy for business process improvement.

C1.4.3.4. Conduct LCM milestone reviews to:

C1.4.3.4.1. Ensure that each program's programmatic and technical requirements have established testable performance measures; have met customer needs; have met DFAS investment portfolio needs; have met system integrity and security requirements; and contain documented system baselines.

C1.4.3.4.2. Ensure that cost factors are well described in each program's proposed DFAS cost position and are justified.

C1.4.3.4.3. Make recommendations to the MDA.

C1.4.3.4.4. If necessary, recommend higher-level review of selected issues to the DFAS Leadership Council prior to MDA action.

C1.4.3.5. Approve or disapprove the DFAS cost position for each DFAS non-MAIS Program.

C1.4.3.6. Oversee execution of the DCII. The CIO/BIE Council shall:

C1.4.3.6.1. Adjudicate cross-architecture issues raised by application system and infrastructure system CCBs.

C1.4.3.6.2. Review DCII waivers and provide recommendations to the DFAS Leadership Council.

C1.4.3.6.3. Review DCII release plans for compliance with DFAS plans, priorities, specifications, and policy.

C1.4.3.6.4. Charter DCII Working Groups and approve Working Group proposals.

C1.4.3.6.5. Review programs and applications to ensure that applications to be migrated or developed are integrated as part of the DCII and DoD Enterprise initiatives (i.e., Joint Technical Architecture (JTA), Defense Information Infrastructure (DII) Common Operating Environment (COE), GIG, Global Combat Support System (GCSS)).

C1.4.4. Director for Information and Technology (DFAS-DT). DFAS-DT serves as the DFAS CIO and develops, promulgates, and oversees DFAS IT plans and policies. The DFAS CIO is responsible for ensuring IT is acquired and managed to achieve DFAS strategic goals in compliance with the Clinger-Cohen Act (reference (d)). The LCM role of the DFAS CIO is to:

C1.4.4.1. Review all DFAS AIS migration and development Programs to identify if they are managed to, and comply with, the DFAS Strategic Plan.

C1.4.4.2. Ensure that DFAS strategic goals are addressed.

C1.4.4.3. Ensure that a DFAS IT Investment Management Process is developed, implemented, and maintained and that status is tracked.

C1.4.4.4. Ensure that each DFAS AIS program establishes, tests, and tracks measurable performance indicators and systematically tracks progress made in achieving predetermined goals.

C1.4.4.5. Establish and manage the DFAS Information Assurance (IA) Program in accordance with references (d), (u), (y), (z), (cc), and (dd).

C1.4.4.6. Certify each DFAS AIS comply with the Clinger-Cohen Act (reference (d)).

C1.4.4.7. Ensure that all DFAS systems address Critical Program Information (CPI) requirements as defined in references (u) and (cc).

C1.4.4.8. In defining an acquisition strategy that meets DFAS SLC process requirements (e.g., required LCM documentation), ensure that LCM support is provided to each development and migration AIS PM.

C1.4.4.9. Ensure that each DFAS AIS program defines, tracks, and documents system compliance with the Clinger-Cohen Act.

C1.4.4.10. Serve as the CIO/BIE Council co-chair.

C1.4.4.11. Designate a DFAS-DT participant as a member of DCPDT to develop a DFAS cost position and a cost analysis brief.

C1.4.4.12. Assign a DFAS-DT participant to serve as a member of each program's Executive Steering Group (ESG), as required.

C1.4.4.13. Oversee the DFAS acquisitions to ensure that the GIG requirements are addressed as required by references (e) and (ff).

C1.4.4.14. Ensure that each DFAS AIS meet system integrity requirements.

C1.4.4.15. Ensure that each DFAS AIS meet IA security requirements (reference (d), (z), and (dd)).

C1.4.4.16. Evaluate tailoring of the DFAS SLC process to recommend approval or disapproval to the MDA.

C1.4.4.17. Oversee provisioning of telecommunications and computing services to support DFAS missions.

C1.4.5. DFAS Business Line Executive (BLE). The DFAS BLE is responsible for the overall business line (e.g., Accounting, Military and Civilian Pay Services, and Commercial Pay Services). The BLE provides executive oversight in developing, deploying, operating and supporting a system, and establishing functional policies, procedures, processes, and practices. Relevant to LCM, the BLE shall:

C1.4.5.1. Establish for each new DFAS development or migration system, on a needed basis, a program level ESG. The ESG membership shall include customer representative(s), the PM, Client Executive, and applicable DFAS Client Service Executive(s). The BLE shall ensure that customer representatives participation enables them to monitor the Program's development, assure Customer requirements are identified and met, confirm customer system integrity and security requirements are addressed, and participate in the program's milestone decision reviews.

C1.4.5.2. Ensure that a BPA/BPR effort has been considered prior to approving any Mission Need Statement (MNS) for a new AIS development or other significant investment in information technology.

C1.4.5.3. Create business area strategic plans and budgets.

C1.4.5.4. Oversee mission area analysis efforts to determine system shortfalls, identify mission deficiencies, assess mission needs, determine if investment portfolio needs are being addressed, and determine if nonmaterial solutions are available to satisfy proposed mission needs.

C1.4.5.5. Provide consultation to the MDA on all functional issues, including validating and approving the MNS and functional requirements.

C1.4.5.6. Implement the Director's guidance on AIS support within their business area.

C1.4.5.7. Act as chairman of the AIS program's CCB for each AIS program assigned under his/her business line. The CCB chairman's role can be delegated but the final approval or disapproval of all changes coming through the CCB must be signed by the BLE.

C1.4.5.8. Forward to the CIO/BIE Council for adjudication any proposed program level changes that could potentially affect the DCII release baseline(s) and/or raise cross-architecture issues.

C1.4.5.9. Evaluate and approve requests for support services, budgets, and performance metrics.

C1.4.5.10. Designate a participant to serve as a member of the DCPDT in developing a DFAS cost position and cost analysis brief, as required.

C1.4.5.11. Participate as a CIO/BIE Council member as required.

C1.4.5.12. Appoint a SM prior to a program's transition to an operational system to help facilitate the transition of the system.

C1.4.6. DFAS Product Line Executive (PLE). A PLE is responsible for a product line (e.g., Military Pay, Contract Pay, Disbursing) within a business line. The PLE is assigned as an executive agent to perform key management tasks for the product line. Relevant to LCM, the PLE shall:

C1.4.6.1. Support definition of system functional requirements and approve final requirements to ensure that systems support customer requirements, established business processes and business areas, and conform to the policies and procedures established by the BLE.

C1.4.6.2. Establish, maintain, review, improve, and report on assigned system(s).

C1.4.6.3. Specify requests for support services and aid managers in defining support service goals, budgets, and performance metrics.

C1.4.6.4. Within their product lines, be responsible for FFMIA requirement compliance and for end-to-end interfaces with other business areas and/or support services.

C1.4.6.5. Participate as a CIO/BIE Council member, as required.

C1.4.7. DFAS Client Executive (CE). The DFAS CE's LCM role is to be accountable for the customer relationship within a customer domain. The CE shall:

C1.4.7.1. Establish a working arrangement with the customer(s) to document needs, identify any new initiatives, coordinate and communicate customer-related system and interface requirements to the DFAS BLE and PLEs, and coordinate with the PMs or SMs to fulfill customer needs and program requirements.

C1.4.7.2. Establish, with the customer(s), each program's customer-related functional requirements, acceptance criteria, funding availability and priorities for inclusion in a MOU between the customer and PM or SM.

C1.4.7.3. Participate as a member of the CIO/BIE Council, as required.

C1.4.7.4. Participate as a member of the applicable program ESG, as required.

C1.4.8. Director for DFAS Systems Integration (DFAS-DS). The primary role of DFAS-DS is to manage and oversee chartered acquisition programs, as assigned by the Director, DFAS. DFAS-DS shall:

- C1.4.8.1. In support of the DFAS mission, manage the life cycle of assigned AISs through deployment.
 - C1.4.8.2. Plan and implement an AIS system strategy for each migration and development AIS program.
 - C1.4.8.3. Develop, coordinate, and monitor system cost, schedule, and benefit baselines.
 - C1.4.8.4. Support each PM in developing a Cost Analysis Requirements Description (CARD) or POE.
 - C1.4.8.5. Provide a DFAS-DS participant as a DCPDT member in developing a DFAS cost position and cost analysis brief.
 - C1.4.8.6. Ensure that proper program management discipline is applied to all chartered programs.
 - C1.4.8.7. Oversee training and certification of DFAS program managers.
 - C1.4.8.8. Direct or oversee independent testing and certification for agency AISs.
 - C1.4.8.9. Nominate a PM for each assigned DFAS AIS under development.
 - C1.4.8.10. Serve as advisor to the MDA on priorities for DFAS program efforts and integrated implementation strategies.
 - C1.4.8.11. Directly manage PMs responsible for assigned AISs under development.
 - C1.4.8.12. Provide senior executive representation to ESGs for program management of DFAS migratory systems.
 - C1.4.8.13. Develop and implement integration strategy, objectives, goals and associated schedules and milestone plans.
 - C1.4.8.14. Oversee development of LCM decision support documentation and submit for coordination to obtain the appropriate approvals.
 - C1.4.8.15. Manage, coordinate, and integrate individual system program requirements, resources, cost analyses, system plans, and budgetary requirements.
 - C1.4.8.16. Assign a DFAS-DS participant to serve as a member of each program's ESG.
 - C1.4.8.17. Participate as a CIO/BIE Council member.
- C1.4.9. Director for Resource Management (DFAS-DCC). The LCM responsibilities for the Director for Resource Management include performing the DFAS Planning, Programming and Budgeting System (PPBS) oversight functions, program analysis in terms of requirements-to-cost considerations, management reporting of unit cost, performance contract, and performance

measurement. DFAS-DCC reviews program cost related documentation for adequacy and completeness. The Director for Resource Management shall:

C1.4.9.1. Facilitate development of an independent CCA.

C1.4.9.2. Maintain approved DFAS cost positions and cost analysis briefs.

C1.4.9.3. Participate as a CIO/BIE Council member.

C1.4.9.4. Establish a DCPDT to resolve cost position issues.

C1.4.10. DFAS AIS Program Manager (PM). (For brevity, this policy uses the term PM to refer to those individuals chartered as either a PM or a Program Officer. LCM responsibilities are the same, regardless of designated title.) The DFAS AIS PM responsibilities are designated in the PM charter and approved by the MDA during the AIS's Concept and Technology Development Phase. The PM is the principal official of an assigned AIS and shall:

C1.4.10.1. Plan, direct, document, coordinate, and control AIS program activities during life cycle development and fielding phases.

C1.4.10.2. Plan, document, implement, and manage an acquisition strategy, with the assistance of DFAS-DTC staff. Tailor the DFAS SLC process to support the acquisition strategy and to establish activities, tasks, and documents appropriate to the size and complexity of the program.

C1.4.10.3. Develop all required AIS program and technical documentation required by the tailored SLC process as documented in the program's approved acquisition strategy.

C1.4.10.4. Establish, test, and track measurable program performance indicators to ensure systematic tracking of program progress made in achieving predetermined goals.

C1.4.10.5. Ensure that the program's derived benefits meet valid mission needs.

C1.4.10.6. Ensure that program risks are identified and abatement plans are established and tracked.

C1.4.10.7. Appoint a program test director, certified in Test and Evaluation (T&E), who shall be responsible for coordinating and planning all test requirements.

C1.4.10.8. Initiate and manage required IPTs and approve their results. At a minimum, each program shall establish the IPTs listed below and ensure that the IPTs include customer and designated user representative(s) to assist the PM in defining program requirements.

C1.4.10.8.1. Requirements IPT (RIPT). The RIPT shall define functional and technical requirements and compliance (reference (a), (b), (d), (gg), and (hh)), setting threshold and objective values as acceptance criteria for each performance parameter.

C1.4.10.8.2. Test IPT (TIPT). The TIPT shall develop test parameters, measures, schedules and acceptance test requirements to be included in the Test and Evaluation Master Plan (TEMP).

The test criteria shall address customer, user, regulatory, legislative business process, and system interface requirements (references (b), (d), (gg), (hh), and (nn)).

C1.4.10.8.3. Cost/Performance IPT (C/PIPT). The C/PIPT shall identify the program's cost of managing, developing, testing, deploying, and maintaining the proposed system.

C1.4.10.8.4. Development IPT (DIPT). Prior to Milestone B, the PM shall establish and charter the DIPT to oversee the development of software requirements, design, development, and unit testing performed as part of the DFAS SLC process, including meeting requirements of references (c), (z), (dd), (gg), (hh), (kk), (mm), and (oo). The DIPT shall be chaired by the TPO or PM and shall include Subject Matter Expert(s), testing representative(s), and customer representative(s). The DIPT shall:

C1.4.10.8.4.1. Conduct In-Progress Reviews of the system's development during the System Development and Demonstration phase.

C1.4.10.8.4.2. Identify risks of performance, cost, and schedule.

C1.4.10.8.4.3. Assess the degree of readiness to proceed in the development.

C1.4.10.8.4.4. Establish a plan of action for development efforts to be conducted prior to the next DIPT meeting and assign responsibility or action items to resolve issues.

C1.4.10.9. Establish an MOU with each customer (see C1.3.1.15) documenting the customer's and user's expectations, providing a set of detailed requirements including interfaces (see reference (ll)), defining PM and customer agreements on acceptance criteria, and establishing customer funding needs for fielding the requirements.

C1.4.10.9.1. The PM shall ensure that each customer is involved in the development of the AIS's technical project planning efforts.

C1.4.10.9.2. The PM shall ensure that each customer is included in establishing system integrity and security criteria.

C1.4.10.9.3. The PM shall ensure that each customer and users are included in requirements definition sessions and in defining test scripts that will be used to validate that the requirements have been met. They shall also be included in acceptance test events.

C1.4.10.9.4. The PM shall ensure that customer representatives are included at each formal review, including design and test reviews, and are involved in reviewing the design, identifying and resolving testing discrepancies, and prioritizing discrepancy reports.

C1.4.10.10. Monitor and satisfy, through consensus or resolution, issues surfaced during requirements validation, design reviews, and test reporting. Document such issues and their resolution (or non-resolution). These documents should be signed by all parties and represent the official record on resolutions.

C1.4.10.11. Satisfy milestone decision reviews as defined in reference (cc).

C1.4.10.12. Create a cost position to be reported in a CARD or POE. The cost position should be based on requirements and cost recorded in applicable LCM documents.

C1.4.10.13. Document in a Program Management Plan or ASDP (if program TOC is less than \$2M) funding requirements by fiscal year and increment, including identifying which activities must continue to be funded whether approval to proceed to the next phase is granted or not.

C1.4.10.14. Plan the transition of system responsibility from the PM to the SM. Include the customer(s) as a part of transition discussions.

C1.4.10.15. Enter and maintain program definition and status information in the DFAS SID. The PM is responsible for maintaining SID data until the program is deployed and transitioned to the SM.

C1.4.10.16. Maintain system integrity and security controls and features to ensure that the system is designed, implemented, deployed, and capable of operating within acceptable security risk levels.

C1.4.10.17. Ensure that changes to current DFAS policies and procedures are reviewed and changes implemented into the development or migration system as appropriate.

C1.4.10.18. Establish internal program controls for the development and deployment effort.

C1.4.10.19. Appoint a Configuration Management manager.

C1.4.10.20. Oversee the conduction of a Functional Configuration Audit (FCA) and a Physical Configuration Audit (PCA) and provide results to the BLE.

C1.4.10.21. Obtain access to the Joint Interoperability Test Command (JITC) Test Integration Data Repository (TIDR) from the DFAS Test Director, Systems Integration (DFAS-DSRA). The data contained in the TIDR should be available to the PM staff to facilitate preparing key LCM documentation (Operational Requirements Document, Test and Evaluation Master Plan, JTA (see reference (v)) profile, and System Requirements Specification. The PM should also provide JITC with the approved LCM documentation used for defining test requirements to assist the independent testers in participating in the TIPT and preparing and performing independent OT&E testing.

C1.4.11. DFAS System Manager (SM). The BLE assigns a SM for each AIS program. The SM takes over day-to-day management of an AIS from the AIS PM upon transition to the operation and maintenance phase of the system life cycle. The SM shall:

C1.4.11.1. In accordance with the DFAS SLC process, and in close coordination with the DFAS-T, plan, coordinate, direct, and control the operations and maintenance of assigned systems through system closeout.

C1.4.11.2. Comply with all prescribed DoD policies and procedures associated with the AIS.

C1.4.11.3. Ensure the annual completion of the Federal Managers Financial Integrity Act (FMFIA) Section 4 review (reference (gg)).

C1.4.11.4. Use the DFAS SLC process in maintaining the AIS Program. The SMS may be used for systems deployed prior to the effective date of this policy.

C1.4.11.5. Include customer(s) in the requirements review, change prioritization, change development and implementation, cost and schedule definition, tests definition and execution, security compliance, and overseeing system changes and releases.

C1.4.11.6. Track, coordinate, and manage system specific requirements, system integrity and security requirements, budget estimates, incurred costs, prioritization of system changes, and program execution.

C1.4.11.7. Enter and maintain program definition and status information in the DFAS SID.

C1.4.11.8. Ensure that changes to current DFAS policies and procedures are reviewed and changes implemented into the operational system as appropriate.

C1.4.11.9. Maintain the established internal program controls of the operational and maintenance efforts of the program.

C1.4.11.10. Collect and evaluate program performance metrics and statistics and provide status to BLE to address program success.

C1.4.12. DFAS Functional Application Manager (FAM). The FAM is responsible for planning, coordinating, directing, and controlling the operation and maintenance of an AIS that represents a minority portion of a mixed system (a non-DFAS owned system). The FAM supporting finance and accounting in a mixed system is the DFAS Manager who shall:

C1.4.12.1. Ensure appropriate integration of finance and accounting functional requirements.

C1.4.12.2. Ensure that all interpretations of policy and procedure guidance for the system are consistent with those in other systems throughout DoD which support the same transactions.

C1.4.12.3. Ensure annual completion of the FMFIA Section 4 review (reference (gg)).

C1.4.12.4. Coordinate, with the SM, regarding function-specific system requirements, customer requirements, security requirements, budget estimates, prioritization of system changes, and program execution.

C1.4.12.5. Participate in or concur with LCM reviews and decisions.

C1.4.12.6. Obtain funding for DFAS related system development, modification, and maintenance.

C1.4.12.7. Serve as a member on the system CCB.

C1.4.12.8. Participate in the DITSCAP process when required.

C1.4.12.9. Ensure that changes to current DFAS policies and procedures are reviewed and changes addressed for implementation into the development or operational non-DFAS mixed system as appropriate.

C1.4.13. Director, Technology Services Organization (DFAS-T). DFAS-T serves as the Director for the Technology Services Organization (TSO) and as the DFAS CTO. The CTO, based on DFAS corporate strategy and mission needs, oversees the strategic planning, engineering, acquisition and development, implementation, operation, and maintenance of all DFAS operational, technical, infrastructure systems and application systems architectures, including evolution of the DCII. The CTO shall:

C1.4.13.1. Serve as the DFAS principal technology consultant.

C1.4.13.2. Establish software engineering standards, methods, tools, and procedures in conjunction with DFAS DT/CIO to comply with DoD policies.

C1.4.13.3. Establish DFAS Enterprise Local Area Network (ELAN) architecture, standards (including information assurance considerations), guidelines and operating procedures.

C1.4.13.4. Design, acquire, install, operate and maintain ELAN services.

C1.4.13.5. Establish DCII infrastructure systems architecture, standards, guidelines and operating procedures.

C1.4.13.6. Establish and operate the DCII design, development, and test computing and telecommunications environments.

C1.4.13.7. Establish and manage CPI efforts within DFAS as required by reference (u) and (cc).

C1.4.13.8. Assign the TPO for each DFAS AIS.

C1.4.13.9. Provide general software engineering services for DFAS developed systems and selected external Customer application system programs to include: planning, specifying requirements, costing, acquiring, prototyping, designing, developing, documenting, testing, evaluating, deploying, maintaining and operating information systems (applications and databases).

C1.4.13.10. Maintain the DFAS SLC tool and SMS and the Process Asset Library for the publication of LCM scenarios, procedures, and standards.

C1.4.13.11. Participate as a member on the CIO/BIE Council.

C1.4.13.12. Approve the tailoring of the SLC development tasks as documented in the program's Software Development Plan (SDP).

C1.4.14. Technical Project Officer (TPO). The TPO is assigned for an AIS's life cycle. The TPO is the individual within DFAS responsible for planning, coordinating, directing, and controlling the AIS's technical development and maintenance. The TPO responds to functional

requirements provided by the AIS PM or SM. The TPO is assigned to the DFAS Technology Services Organization. The TPO shall:

C1.4.14.1. Tailor and use the SLC process in designing, developing, integrating and deploying each AIS.

C1.4.14.2. Develop technical alternatives and ensure conformance to established architectures.

C1.4.14.3. Identify, document, coordinate requirements with the Assistant Deputy Director for Policies and Architecture (DFAS-DTB) staff and the AIS PM, obtain DISA JTA profile (references (a), (c), and (u)) approval, and ensure that tests validate the AIS JTA profile and other technical standard requirements.

C1.4.14.4. Perform system analysis for defining and refining requirements of each AIS.

C1.4.14.5. For in-house developed systems, design and develop the AIS.

C1.4.14.6. Support each AIS's DIPT through assignment of technical resources and project planning, tracking and oversight.

C1.4.14.7. Ensure that AIS technical documentation is developed in accordance with the DFAS SLC process.

C1.4.14.8. Support design and development technical reviews, security reviews, and audits.

C1.4.14.9. Perform application level testing and support enterprise level testing.

C1.4.14.10. Implement and maintain software in accordance with the DFAS SLC process or SMS (references (n) and (p)).

C1.4.14.11. Include customer(s) representatives in defining the AIS's technical reviews, tests, and acceptance criteria and assisting in the execution of tests.

C1.4.14.12. Establish and manage CPI efforts within the AIS's development and implementation as required by reference (u) and (cc).

C1.4.14.13. Establish and execute continuous process improvement.

C1.4.15. Assistant Deputy Director for Policies and Architecture (DFAS-DTB). The DFAS-DTB mission is to support DFAS-DT in identifying, developing, and maintaining DFAS IT polices and architectures. DFAS-DTB role in LCM is to:

C1.4.15.1. Specify requirements for Data Management (DM) plans.

C1.4.15.2. Review and approve DM plans.

C1.4.15.3. As requested, counsel PMs on DM practices.

C1.4.15.4. Review development and migration system's operational, system and technical architectures and provide PMs and TPOs assistance in defining the program's JTA profile.

C1.4.15.5. Assist PMs and TPOs in obtaining certification of the system's JTA profile.

C1.4.15.6. Assist PMs and TPOs in developing and gaining approval of the system's Command, Control, Communication's, Computer, and Intelligence Support Plan (C4ISP) (references (c) and (u)).

C1.4.16. Assistant Deputy Director for Systems Management (DFAS-DTC). The DFAS-DTC mission is to support DFAS-DT in providing each DFAS AIS PM or SM with advice and support, managing the DFAS LCM program, administering the DFAS configuration management (CM) program, and managing the DFAS/DoD inventory of each AISs financial management and migration data. As part of LCM responsibilities, the Assistant Deputy Director for Systems Management shall:

C1.4.16.1. Act as a consultant advisor to PMs in developing and tailoring an acquisition strategy using the DFAS SLC process, defining required LCM documentation given the tailored SLC process acquisition scenario, and preparing for life cycle decisions.

C1.4.16.2. Conduct analyses of IT system proposals, for effectiveness and efficiency, from a LCM perspective (including systems migration, architecture compliance, LCM, CM, economic analysis validation, and information security).

C1.4.16.3. Ensure that DFAS LCM policy, processes, and practices comply with DoD and other regulatory guidelines and directives.

C1.4.16.4. Ensure that DFAS LCM objectives are met.

C1.4.16.5. Provide the liaison between the DFAS PMs and the IT Overarching Integrated Product Team (IT OIPT) in OASD (C3I), unless otherwise designated.

C1.4.16.6. Oversee the Defense Acquisition Executive Summary generated on the Consolidated Acquisition Reporting System (CARS) prior to submission to OASD (C3I), unless otherwise designated.

C1.4.16.7. Organize and coordinate milestone and management reviews of MAIS and non-MAIS Programs.

C1.4.16.8. Conduct LCM audits of DFAS systems.

C1.4.16.9. Resolve DoD policy conflicts within DFAS and issue clarifying guidance whenever new DoD, OASD, or Joint Chief of Staff instructions, directives, regulations and guidelines are issued.

C1.4.16.10. Serve as record-of-approval for DFAS LCM and acquisition milestone decision documentation.

C1.4.16.11. Oversee IA and security compliance.

C1.4.16.12. Coordinate the review for approval of required LCM documentation for each Program, adjudication of comments, and track the approval status of required milestone LCM documentation.

AP1. APPENDIX 1ACQUISITION CATEGORIES AND PROGRAM THRESHOLDS

Categories of Systems and Milestone Decision Authority

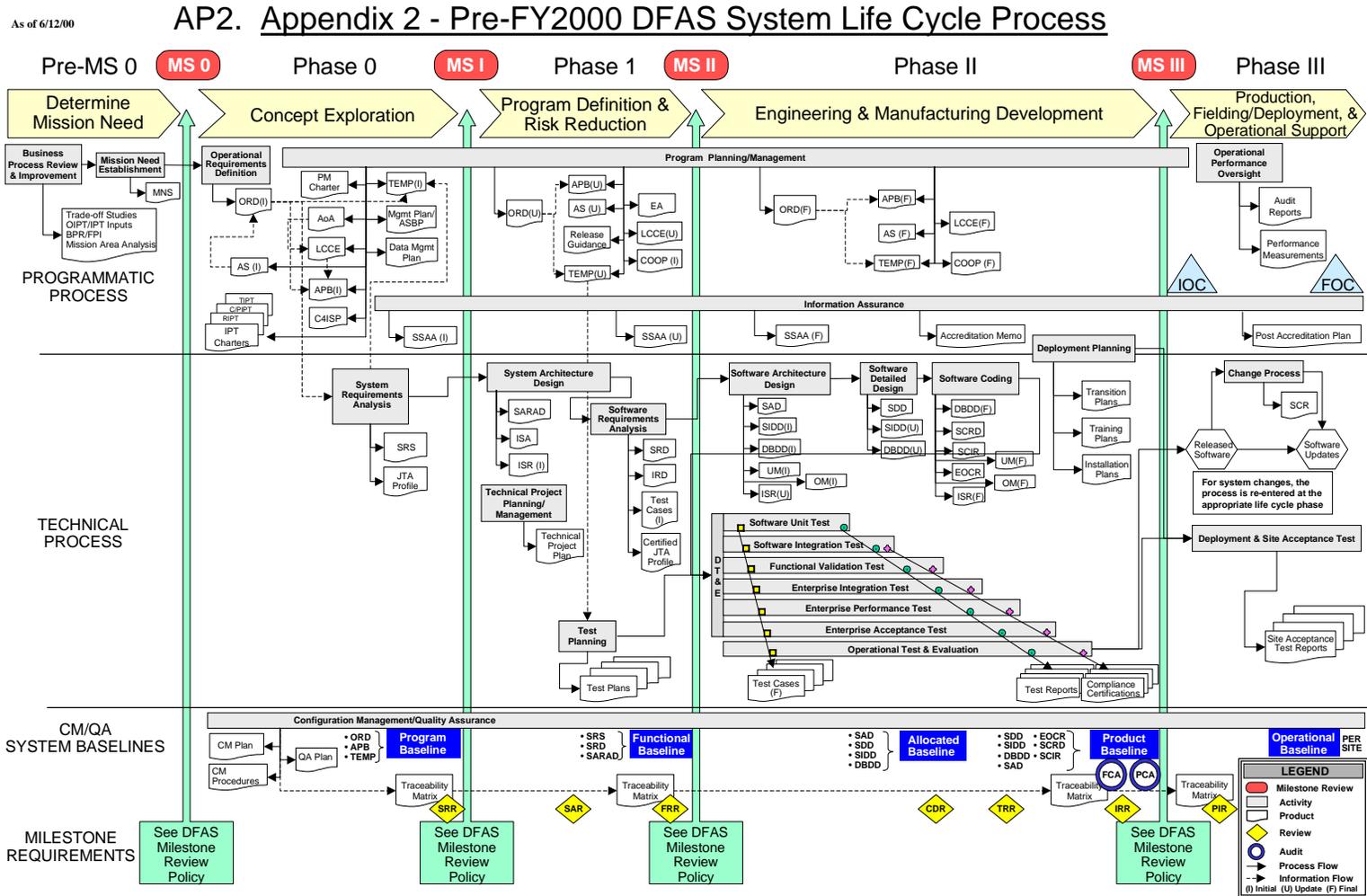
Acquisition Category (ACAT)	Cost Threshold (All Types of Funding in FY2000 Constant Dollars)	Decision Authority	Notes
ACAT IA	\$126 M total program cost, or \$32 M in any one Year, or \$378 M total life cycle cost, or Designated special interest (by IT OIPT)	DoD IT OIPT for MAIS, or DFAS CAE (for non-MAIS)	Note 1 Note 2
ACAT III-A	\$60 M - \$126 M total program cost, or \$18 M in any one year, or \$180 M - \$378 M total life cycle cost.	DFAS CAE	Note 1 Note 2
ACAT III-B	\$12 M - \$60 M total program cost, or \$36 M - \$180 M total life cycle cost	DFAS CAE	Note 2 Note 3
ACAT III-C	Less than \$12 M total program cost, or Less than \$36 M total life cycle cost	DFAS CAE	Note 2 Note 3

NOTES:

1. All AISs, regardless of type, size or cost, will follow the management discipline in DoDD 5000.1, DoDI 5000.2, and DoD 5000.2-R. All types of funding are included.
2. ACAT IA through III-B systems must produce all mandatory documents required by DFAS SLC process.
3. ACAT III-C systems will submit documentation tailored to the size, scope, and complexity of the AIS. The MDA will decide which documents are essential for effective program management. As a minimum, the MDA will require a MNS and an Acquisition Program Baseline (APB). ACAT III-C systems with program costs under two million dollars may use an Abbreviated System Decision Paper (ASDP) (Attachment 2).

LINK FOLLOWS:

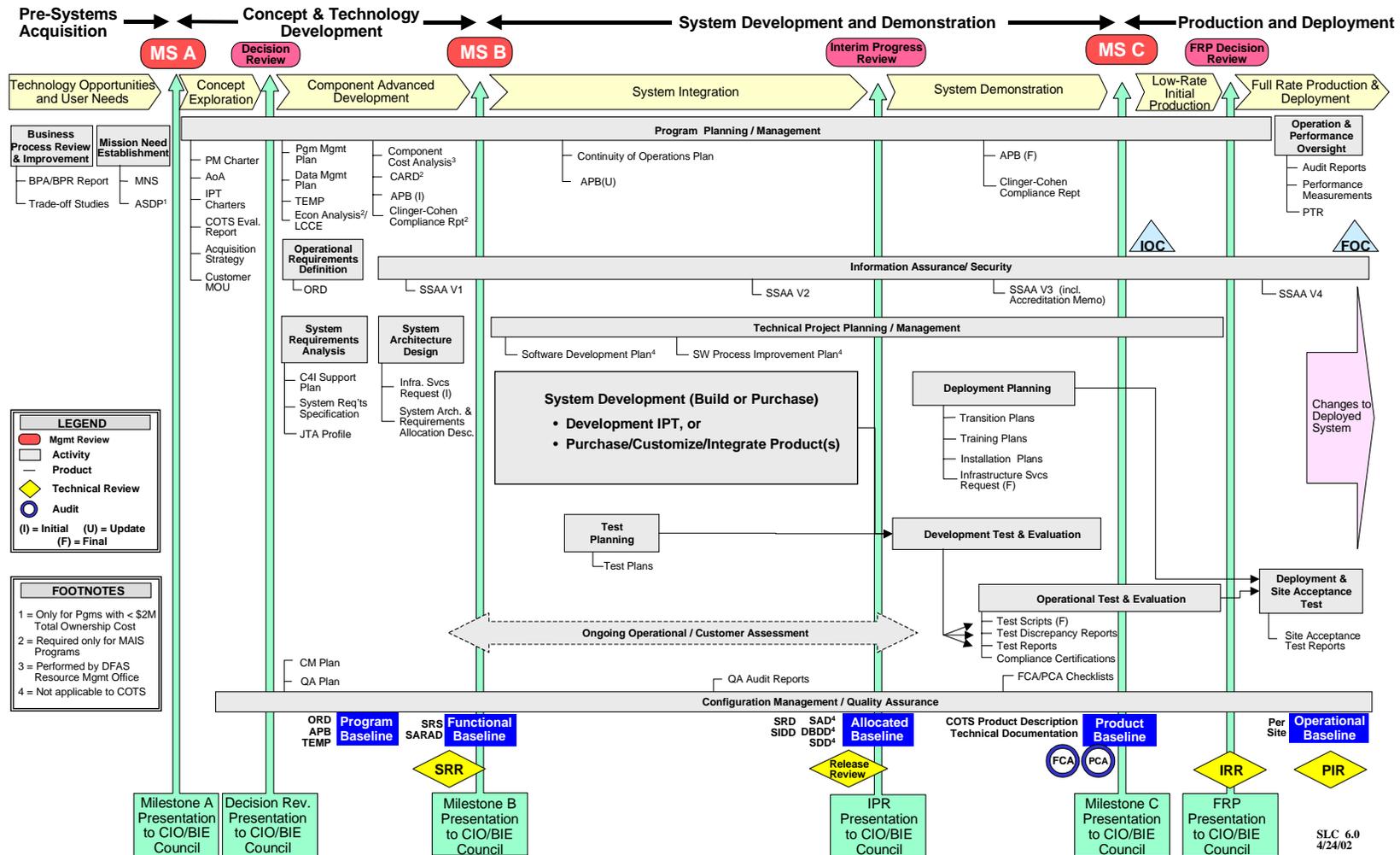
NARRATIVE DESCRIPTIONS OF THE PRE-FY2000 DFAS SYSTEMS LIFE CYCLE PROCESS, DFAS SYSTEM LIFE CYCLE-SYSTEM ACQUISITION AND DEVELOPMENT ALTERNATIVE CHARTS CAN BE FOUND AT [APPENDIX 5](#).



LINK FOLLOWS:

NARRATIVE DESCRIPTIONS OF THE PRE-FY2000 DFAS SYSTEMS LIFE CYCLE PROCESS, DFAS SYSTEM LIFE CYCLE-SYSTEM ACQUISITION AND DEVELOPMENT ALTERNATIVE CHARTS CAN BE FOUND AT [APPENDIX 5](#)

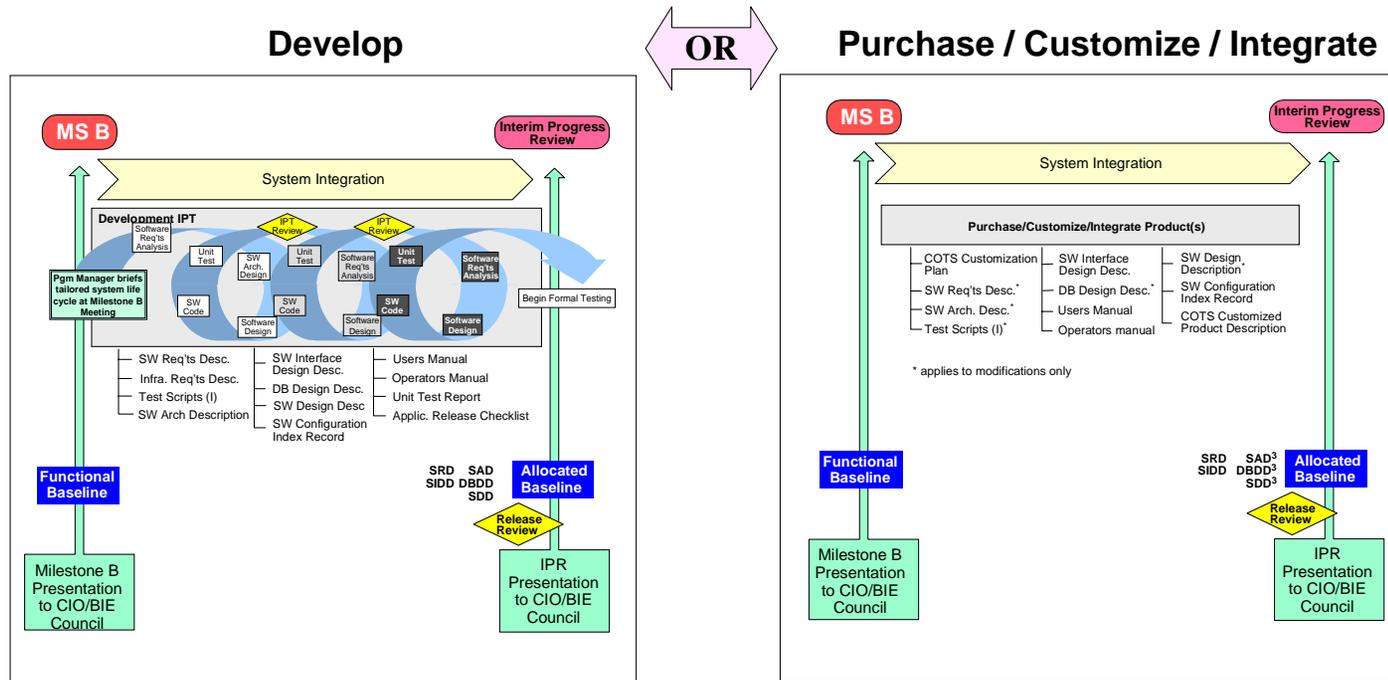
AP3. APPENDIX 3 - DFAS System Life Cycle - System Acquisition



LINK FOLLOWS:

NARRATIVE DESCRIPTIONS OF THE PRE-FY2000 DFAS SYSTEMS LIFE CYCLE PROCESS, DFAS SYSTEM LIFE CYCLE-SYSTEM ACQUISITION AND DEVELOPMENT ALTERNATIVE CHARTS CAN BE FOUND AT [APPENDIX 5](#)

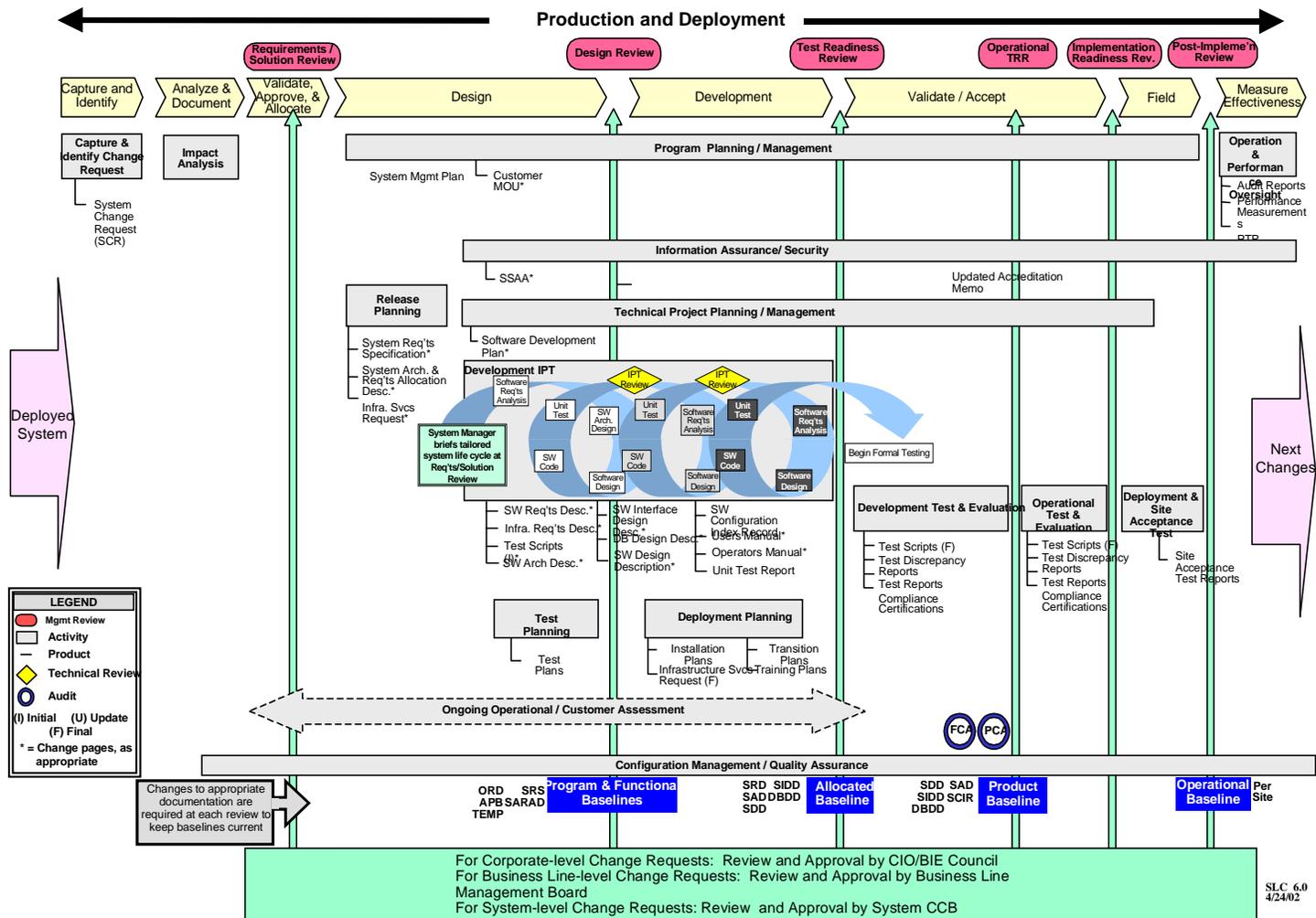
AP3. APPENDIX 3 Continued - DFAS System Life Cycle - Development Alternatives



LINK FOLLOWS:

NARRATIVE DESCRIPTIONS OF THE PRE-FY2000 DFAS SYSTEMS LIFE CYCLE PROCESS, DFAS SYSTEM LIFE CYCLE-SYSTEM ACQUISITION AND DEVELOPMENT ALTERNATIVE CHARTS CAN BE FOUND AT [APPENDIX 5](#)

AP3. APPENDIX 3 Continued _ DFAS System Life Cycle - System Maintenance



AP4. APPENDIX 4SYSTEM CLOSEOUT PROCESS

AP4.1. Purpose. In the event an operational DFAS system is determined appropriate for closeout, several steps should be taken to assure the closeout is orderly and, if necessary, the system can be restarted.

AP4.2. Closeout Phases. There are four basic steps in the closeout phase with the effort required driven by the size and complexity of the AIS. The four phases and associated factors a manager should consider during each phase are provided in the following sections.

AP4.2.1. Preliminary Phase. The preliminary phase of an AIS closeout begins the planning process to identify and notify users impacted by the closeout. Efforts performed during this phase include:

AP4.2.1.1. Identify the finance and accounting functions performed by the AIS planned for closeout that will be performed by another AIS; performed manually; and not performed at all.

AP4.2.1.2. Identify, where appropriate, any modules or components of the AIS that must remain operational to deliver functional capability not provided by replacement systems.

AP4.2.1.3. The Business Line Executive (BLE), with recommendations from the system's Product Line Executive (PLE), should determine if the AIS application should be formally archived with restart parameters or saved on magnetic media without archiving (difficult or impossible to restart).

AP4.2.1.4. The BLE shall prepare an SDM to formally document the system closeout decision.

AP4.2.1.5. The System Manager (SM) shall inform system customers/users of the closeout with enough advance notice that any unforeseen problems can be accommodated. Formally notify the supported DoD Military Services, Defense Agencies, and technical service provider(s).

AP4.2.1.6. In the case of a major system or development effort being closed out, DFAS Public Affairs should be notified, and provided information on the decision's consistency with DFAS Planning.

AP4.2.2. Accommodation Phase. DFAS, the technical service provider and system users should develop an overall system specific milestone plan for system closeout that, as a minimum, should include the following:

AP4.2.2.1. Prepare alternative customer functional and technical support plans.

AP4.2.2.2. Plan for the reassignment of functional and technical support personnel resources, the realignment of system funds, the disposition of system hardware and software, the phase out of contractual support, and if necessary, increased support to the alternative systems.

AP4.2.2.3. Develop, where appropriate, database transition plans (to the alternative systems' databases).

AP4.2.2.4. Assure all related contracts are included in closeout planning.

AP4.2.2.5. Ensure that all related support agreements (including those for back up and recovery) are included in the closeout planning.

AP4.2.3. Execution Phase. Tasks to be performed during the execution phase include:

AP4.2.3.1. Notify back-up and recovery sites that their support is no longer needed.

AP4.2.3.2. Discontinue forms that are unique to the system.

AP4.2.3.3. Rescind regulations and supplements unique to the AIS, if applicable.

AP4.2.3.4. Develop a transition plan, to include training, to shift customers from the current system to the alternative systems.

AP4.2.3.5. Assure the technical service provider(s) has contacted appropriate internal and external support elements to include telecommunications, security (codes/passwords), records manager, executive software (regarding terminal specific issues such as unique sign on software), and operations and database management.

AP4.2.3.6. Provide guidance to the technical service provider regarding the potential for system retrieval at a later date. If there is any possibility the system could be needed in the future, the technical service provider must save all data files and programs, save system documentation and record the exact computer operating environment (e.g., executive software, DBMS release versions, and compiler versions).

AP4.2.3.7. Identify any software modules that might be useful elsewhere in the DFAS systems environment.

AP4.2.3.8. Assure the technical service provider has provided the software source code to the DoD software reuse library as appropriate.

AP4.2.3.9. If the closeout system is a DFAS migration system that has been modeled and the data elements standardized and registered in the Defense Data Dictionary System (DDDS), the data elements must be researched in the DDDS and marked/flagged/identified for subsequent archiving or removal. If the registered data elements are used only in the closeout system, then those data elements are archived in the DDDS. If the data elements are shared, then the closeout system is removed from the DDDS list of active systems using those data elements.

AP4.2.3.10. Data and data model(s) (if available) for the closeout system must be mapped to the data and the data models of the replacement system for compatibility and functionality. There are two types of replacement systems:

AP4.2.3.10.1. A migration system with data models produced through reverse engineering that are available or will be available.

AP4.2.3.10.2. A new start developed system using “to be” data and process models as the basis of the system specifications.

AP4.2.3.11. Monitor the system closeout in conjunction with DFAS customers and the technical service provider(s).

AP4.2.4. Notification Phase. Provide notification of the system closeout to DFAS-DTC.

AP5. APPENDIX 5SYSTEM LIFE CYCLE 508 NARRATIVE

AP5.1. There are three charts that make up Appendix 2 and Appendix 3. The first chart addresses the old life cycle process, the next chart addresses the new life cycle process and the third chart addresses the two strategies for software acquisition: Develop or Purchase/Customize/Integrate.

AP5.2. The first chart is titled Appendix 2 - Pre-FY 2000 DFAS Life Cycle Process.

AP5.3. This chart reflects the old life cycle that will continue to be used by systems past milestone 2.

AP5.4. The chart identifies the five phases in the Life Cycle: Pre-MS0 - Determination Mission Need, Phase 0 - Concept Exploration, Phase 1 - Program Definition and Risk Reduction, Phase 2 - Engineering and Manufacturing Development and Phase 3 - Production Fielding Deployment and Operational Support.

AP5.5. Between these phases are the milestones designated MS 0, MS 1, MS 2 and MS 3. Reviews are called for just prior to each mile stone with the exception of MS 0. SRRs are conducted prior to MS1; SARs and FRRs are conducted prior to MS2; CDRs, TRRs and IRRs are conducted prior to MS3 and PIRs are conducted after implementation.

AP5.6. The chart goes on to display every activity within phases. The chart shows products produced by each activity and the location of audits within each phase. Process flow and information flow through activities is also displayed. Activities, documents, audits and flows are categorized as Programmatic Process, Technical Process or CM/QA System Baseline.

AP5.7. The second chart is titled Appendix 3 - DFAS System Life Cycle - System Acquisition.

AP5.8. This chart reflects the new life cycle that will be used for systems that have not progressed to milestone 2.

AP5.9. The chart identifies three milestones titled MS A, MS B and MS C. Each milestone has an associated presentation to CIO/BIE Council.

AP5.10. There are four phases described in the life cycle:

AP5.10.1. The pre-systems acquisition phase prior to MS A.

AP5.10.2. The Concept and Technology development phase prior to MS B.

AP5.10.3. The System Development and Demonstration phase prior to MS C.

AP5.10.4. The Production and Development phase following MS C. Phases consist of activities that contain the tasks that use and produce documents throughout the lifecycle. The activities are grouped within phases under the following headings:

AP5.10.4.1. Technology Opportunities and User Needs within the Pre-Systems Acquisition phase.

AP5.10.4.2. Concept Exploration and Component Advanced Development within the Concept and Technology development phase.

AP5.10.4.3. System Integration and System Demonstration within the System Development and Demonstration phase.

AP5.10.4.4. Low-Rate Initial Production and Full Rate Production and Deployment within the Production and Development phase.

AP5.11. Each of the main phases of the lifecycle include a mid phase decision review. These reviews are in addition to the milestone reviews at the end of phases.

AP5.12. The tasks that are contained in activities are listed in the Standard Process Structure at the following:

LINK: (<http://www.dfas.mil/technology/pal/ssps/slc/indexslcstructure.htm>).

AP5.13. The documents that are produced and used by tasks within activities are listed in the Document Matrix at the following:

LINK: (<http://www.dfas.mil/technology/pal/ssps/docstds/docslst.xls>).

AP5.14. This life cycle supports systems acquisition either through purchase and implementation of commercial off the shelf software or the development of software. The decision to build or buy is made in the “System Development” activity during the System Development and Demonstration phase. The decision is approved at the Interim Process Review. This chart is titled Appendix 3 - DFAS System Life Cycle – Development Alternatives.

AP5.15. The third chart reflects the two strategies for software acquisition: Develop or Purchase/Customize/Integrate.

AP5.16. The development portion of the chart depicts spiral approach, repeating Software Requirements Analysis, Software Design, Software Coding and Unit Testing until IPT reviews determine that the product is ready for formal testing. Products of the development spiral include:

AP5.16.1. Software Requirements Description.

AP5.16.2. Infrastructure Requirement Description.

AP5.16.3. Test Scripts.

AP5.16.4. Software Architecture Description.

AP5.16.5. Software Interface Design Description.

AP5.16.6. Database Design Description.

AP5.16.7. Software Design Description.

AP5.16.8. Software Configuration Index Report.

AP5.16.9. Users Manual.

AP5.16.10. Operators Manual.

AP5.16.11. Unit Test Report.

AP5.16.12. Application Release Checklist.

AP5.17. For the Purchase/Customize and Integrate strategy the products are identified as follows:

AP5.17.1. COTS Customization Plan.

AP5.17.2. Software Requirements Description.

AP5.17.3. Software Architecture Description.

AP5.17.4. Test Scripts.

AP5.17.5. Software Interface Design Description.

AP5.17.6. Database Design Description.

AP5.17.7. Users Manual.

AP5.17.8. Operators Manual.

AP5.17.9. Software Design Description.

AP5.17.10. Software Configuration Index Record.

AP5.17.11. COTS Customized Product Description.