Non-Major Acquisition Process (NMAP) Manual
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COMMANDANT INSTRUCTION M5000.11A

Subj: NON-MAJOR ACQUISITION PROCESS (NMAP) MANUAL

Ref: (a) Major System Acquisition Manual (MSAM), COMDTINST M5000.10 (series)
(b) Department of Homeland Security Directive 102-01
(c) Coast Guard Independent Logistics Assessment (ILA), COMDTINST 4081.19 (series)
(d) Coast Guard Logistics Readiness Review (LRR), COMDTINST 4081.3 (series)
(e) Coast Guard Handbook of Acquisitions Logistics and Templates, COMDTINST M4105.13 (series)
(f) Command, Control, Communications, Computers and Information Technology (C4&IT) Systems Development Life Cycle (SDLC) Policy, COMDTINST 5230.66 (series)
(g) Command, Control, Communications, Computers and Information Technology (C4&IT) Configuration Management Policy, COMDTINST 5230.69 (series)

1. PURPOSE. To define a structured, disciplined process for the designation, management, and oversight of Non-Major Acquisitions. Non-Major Acquisitions are those investments that are below the threshold for Level 1 or 2 investments as defined in references (a) and (b) and are relatively high risk, complex, essential to mission execution, or require significant integration. These investments warrant a disciplined project management process to include oversight through formal milestone reviews. This manual has been tailored in response to the requirements in references (b) through (e).
Exclusions. This manual provides acquisition procedures for projects other than facilities/construction; service contracts; and non-major Command, Control, Communications, Computers and Information Technology (C4IT) projects. Non-Major C4IT projects shall follow references (e) through (g).

2. **ACTION.** All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with provisions of this manual. Internet release is authorized.

3. **DIRECTIVES AFFECTED.** The Non-Major Acquisition Process Instruction, COMDTINST 5000.11 is cancelled.

4. **ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.** Environmental considerations under the National Environmental Policy Act of 1969 (NEPA) were examined in the development of reference (a). Development of this manual is an action categorically excluded from further NEPA analysis and documentation requirements under current USCG Categorical Exclusion # (33) in accordance with COMDTINST M16475.1D, Figure 2-1. An Environmental Checklist or Categorical Exclusion Determination is not required.

5. **FORMS/REPORTS.** None.

R. J. Rábago /s/
Assistant Commandant for Acquisition
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Non-Major Acquisition Process

The goal of the Non-Major Acquisition Process is to efficiently acquire assets and systems to meet Coast Guard mission objectives. This requires employing an appropriate level of oversight and project management discipline that is tailored for the effort, yet is robust enough to address any of the risks associated with these projects.

1. **INTRODUCTION.**

This Instruction:

- Defines Non-Major Acquisitions.
- Establishes criteria for selection and designation of planned procurements as Non-Major Acquisitions.
- Provides a disciplined process for oversight and management of Non-Major Acquisitions.
- Establishes the documentation requirements for Non-Major Acquisitions.
- Defines the applicability of the Systems Engineering Life Cycle (SELC) process to Non-Major Acquisitions.
- Establishes the roles and responsibilities of Coast Guard organizations with respect to Non-Major Acquisitions.

DISCLAIMER: This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.

2. **NON-MAJOR ACQUISITION DEFINED.**

- A Non-Major Acquisition is normally a procurement greater than $10M in procurement costs and less than $300M in life cycle costs, that is not designated as a major system acquisition. In addition, the procurement has specific attributes that are determined to warrant a disciplined project management approach and a structured oversight regimen. The relative importance and level of risk of the below listed attributes leads to a Non-Major acquisition designation. Those attributes include:
  1. The procurement is of a system or asset that requires the process planning and monitoring elements typically seen in larger acquisitions (i.e., involves conceptualization, initiation, design, development, test, production, deployment, logistics support, and disposal of an asset or system).
  2. There is a significant safety concern associated with the procurement in either the development or use of the asset or system being procured.
  3. The procurement of a complex system or asset that requires significant systems integration, has high risk, or requires high performance parameters that are essential for Coast Guard mission execution.
  4. There is a significant logistics or personnel impact resulting from the procurement.

The process and requirements identified in this manual are not applicable to non-major acquisitions/procurements for Command, Control, Computers, Communications and...
Information Technology (C4IT), services, or shore facilities. References (e) through (g) apply to C4IT Non-Major Acquisitions.

Note: Sponsors and project managers should consult CG-1B3 System Safety when considering procurement or acquisition of any system with known safety/mishap concerns, high risk, or a requirement for significant systems integration or high performance parameters, regardless of whether the system is COTS or developmental.

b. In addition, procurements under $10M may be designated as a Non-Major Acquisition upon notification from the Sponsor to Commandant (CG-924), and therefore subject to addressing each event of the process at an appropriate level of detail and documentation based on:
   1. Importance to Department of Homeland Security (DHS) and USCG strategic and performance plans disproportionate to its size.
   3. Has a significant program, project or policy implication.
   4. Other reasons, as determined by the Coast Guard Chief Acquisition Officer (CAO/CG-9).

3. NON-MAJOR ACQUISITION SELECTION AND DESIGNATION PROCESS.


   Commandant (CG-924) shall review the DHS Acquisition Planning Forecast System (APFS) database at least semi-annually (April and October) to identify any planned procurements that appear to be Non-Major Acquisitions, and after consultation with the sponsoring office, present those procurements to the Commandant (CG-9) chaired Executive Oversight Council (EOC). The sponsoring office may also submit a project to be presented before the EOC without being on the DHS APFS database. The EOC shall review these planned procurements, anticipated to cost less than $300M in life cycle costs, and determine if any should be recommended (taking into consideration procurements subject to one year funding and the risk associated with entering the Non-Major Acquisition Process) for designation as a Non-Major Acquisition for approval by the Deputy Commandant for Mission Support (DCMS). Commandant (CG-924) shall draft the Non-Major Acquisition nomination memorandum in accordance with the template provided in the appendix to this manual for DCMS signature, Appendix A, Non-Major Acquisition Process Handbook.

   The EOC will follow the guidelines and process outlined in Figure 1: Non-Major Acquisition Selection Process, in identifying procurements to recommend for designation as a Non-Major Acquisition.
If the EOC determines a planned procurement does not warrant designation as a Non-Major Acquisition, those procurements are authorized to proceed with contracting without being subject to the process and requirements of this manual.

If the EOC designates a planned procurement as a Non-Major Acquisition, the procurement shall follow the process and requirements of this manual.

Commandant (CG-924) will forward the EOC’s recommendations to DCMS who will then designate the selected procurements as Non-Major Acquisitions. Commandant (CG-924) will notify the sponsoring office of the designated Non-Major Acquisition by DCMS. Commandant (CG-924) will provide the draft Non-Major nomination memorandum in a review package to DCMS for approval, and the memorandum will serve as the formal notification to the respective Sponsor.

Note: Major Acquisitions that are downgraded to a Non-Major by DHS reflect a separate DHS designation process. The DHS Acquisition Decision Memorandum (ADM) that designates the downgrade serves as the official designation as a Non-Major Acquisition. The designated acquisition shall continue from the same point/phase as when it was a Major Acquisition, but in compliance with the process in this manual (evaluated at the appropriate level) for the remainder of the acquisition life-cycle.

Figure 1: Non-Major Acquisition Selection Process
4. OVERSIGHT OF NON-MAJOR ACQUISITIONS

Non-Major Acquisitions are required to obtain approval at discrete knowledge points called Acquisition Decision Events (ADE) in the project’s life cycle. DCMS is the Decision Authority (DA) for ADE-1. Commandant (CG-9) is the DA for ADE-2 and ADE-3.

a. ADE-1 occurs when DCMS designates a planned procurement as a Non-Major Acquisition.

b. ADE-2 approves the acquisition’s proposed alternative and authorizes the acquisition to acquire the initial asset or system for testing.

c. ADE-3 approves full production, deployment and fielding of the acquisition.

5. MANAGEMENT OF NON-MAJOR ACQUISITIONS

The Non-Major Acquisitions will be managed using a process made up of three Acquisition Decision Events and three phases (similar to a Major Systems Acquisition). The ADEs are discrete knowledge points to assess the readiness and maturity of the acquisitions to proceed to the next phase. The phases represent work that must be accomplished to demonstrate readiness to proceed to the next phase.

Note: Sponsoring offices, with concurrence of the DA, have the authority to terminate an acquisition due to a change in funding priorities or requirements.

Figure 2: Non-Major Acquisition Decision Events and Phases graphically represents the ADEs and phases of the Non-Major Acquisition Process.

Commandant (CG-9) will charter a currently certified Project Manager (PM) for all designated Non-Major Acquisitions immediately following ADE-1 approval. A Non-Major PM must be at least DHS Level I certified PM or higher. Commandant (CG-924) will draft the PM Charter based on the template provide in the appendix of this Manual, Non-Major Acquisition Process Handbook. The Appendix A Handbook contains documentation templates that can be scaled and tailored for use of the Sponsor’s Representative or the PM.

a. **ADE-1**: ADE-1 occurs when DCMS designates the procurement as a Non-Major Acquisition and approves the acquisition to enter the Analyze/Select Phase.

**Analyze/Select Phase**: The Analyze/Select Phase activities are primarily aimed at developing an approved requirements document and positioning the acquisition for successful execution. Key activities that occur during this phase include:

**Project Management Activities**

- Develop a preliminary acquisition strategy.
- Prepare Project Plan.
- Conduct market research to identify available alternatives.
- Develop a Life Cycle Cost Estimate.
- Prepare Resource Proposals (in conjunction with Commandant (CG-8) Chief Financial Officer (CFO) Technical Authority) and Office of Management and Budget (OMB) Exhibit-300 Business Case to support the project in the Coast Guard’s budget requests (if applicable).
- Develop Obtain Phase Exit Criteria.

**Sponsor’s/Sponsor’s Representative Activities**

- Provide operational test planning information for the Project Plan.
- Prepare the Requirements Document.

**Systems Engineering Activities**

- Support operational requirements development.
- Explore alternatives and assess the major strengths and weaknesses of each.
- Initiate preparation of system specification.
- Prepare the Configuration Plan and identify/or charter Configuration Control Board.
- Identify Human Systems Integration issues.
- Identify any Environmental, Safety, and Occupational Health issues.
- Provide input for the Project Plan for the system engineering approach.

**Logistics Management Activities**

- Establish support concept.
- Develop initial support strategy.
- Establish maintenance concept.
- Prepare the Logistics Support Plan.
- Determine staffing and training needs.
- Conduct Independent Logistics Assessment (see reference c).

**Test and Evaluation Activities**

- Initiate test and evaluation planning.
- Provide input to the Project Plan for the Master Test Plan section.
- Predict/Forecast manpower and training requirements meet system needs to operate, maintain, support and instruct the system.

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b. **ADE-2.** The primary purpose of ADE-2 is to approve the alternative proposed by the project and to assess the readiness of the acquisition for a contract award. The requirement for Low Rate Initial Production, if applicable, should also be identified at this point.

**Obtain Phase.** The Obtain Phase activities are intended for the acquisition and testing of a first article prior to its deployment and fielding. Logistics support is to be ready for implementation by the end of the phase. Key activities that occur during this phase include:
<table>
<thead>
<tr>
<th><strong>Project Management Activities</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish contract administration procedures, process and organization with the Contracting Officer.</td>
</tr>
<tr>
<td>Document completion of Operational Test Readiness Review (OTRR) (unless waived).</td>
</tr>
<tr>
<td>Coordinate with the Sponsor to initiate deployment planning.</td>
</tr>
<tr>
<td>Document completion of Production Readiness Review (PRR) (unless waived).</td>
</tr>
<tr>
<td>Assist and support the development of the sustainment Resource Proposal.</td>
</tr>
<tr>
<td>Update the Resource Proposal and the OMB Exhibit-300 Business Case to support the project as a line item in the Coast Guard’s budget requests (if applicable).</td>
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<tr>
<td>Develop Produce/Deploy and Support Phase Exit Criteria.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Sponsor’s/Sponsor’s Representative Activities</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Update the sustainment Resource Proposal (RP) (in conjunction with Commandant (CG-8)).</td>
</tr>
<tr>
<td>Initiate deployment planning.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Systems Engineering Activities</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluate whether the proposed solution can effectively meet the functional requirements.</td>
</tr>
<tr>
<td>Address Human Systems Integration issues.</td>
</tr>
<tr>
<td>Evaluate Human factors and training concept effectiveness.</td>
</tr>
<tr>
<td>Refine and mature design and conduct Critical Design Review (if applicable).</td>
</tr>
<tr>
<td>Validate, mitigate or assign residual risk for Environment, Safety, and Occupation Health (ESOH) issues.</td>
</tr>
<tr>
<td>Analyze capability design documentation, user manuals, capability specifications, and other documentation to determine the degree the capability performs its intended purpose.</td>
</tr>
<tr>
<td>Validate Human Systems Integration requirements meet system needs to operate.</td>
</tr>
<tr>
<td>Conduct Operational Test Readiness Review (if applicable).</td>
</tr>
<tr>
<td>Conduct Production Readiness Review (if applicable).</td>
</tr>
<tr>
<td>Complete production design specifications (if applicable).</td>
</tr>
<tr>
<td>Implement project configuration management program.</td>
</tr>
<tr>
<td>Review and recommend for approval or disapproval all configuration changes and proposed alterations that will modify a system’s functional characteristics or operational requirements through the Configuration Control Board.</td>
</tr>
<tr>
<td>Ensure that the Configuration Status Accounting database is current and configuration control is being exercised effectively.</td>
</tr>
<tr>
<td>Monitor implementation of approved configuration changes.</td>
</tr>
<tr>
<td>Accomplish Functional Configuration Audit.</td>
</tr>
</tbody>
</table>
Logistics Management Activities
Design the logistics support system.
Determine maintenance support strategy.
Finalize supply support requirements (provisioning).
Ensure Diminishing Manufacturing Sources and Material Shortages (DMSMS) is addressed as part of the contract requirements.
Update and finalize supportability requirements.
Identify training and other human performance interventions.
Train initial operating crew, maintenance personnel, and future instructors.
Update the Logistics Support Plan.
Conduct Independent Logistics Assessment (see reference c).

Test and Evaluation Activities
Determine if the capability meets established performance thresholds.
Conduct Developmental Test (If applicable).
Perform spectrum certification (if applicable).
Develop Operational Test (OT) Plan.
Conduct Operational Test.
Prepare the Operational Test Report.

Test and Evaluation Activities

c. **ADE-3.** The primary purpose of ADE-3 is to assess the readiness of the acquisition to be deployed and supported. Operational Test results and the logistics status are key elements of the review. ADE-3 authorizes the project to enter the Produce/Deploy and Support Phase.

**Produce/Deploy and Support Phase:** The Produce/Deploy and Support (P/D&S) Phase is intended to deliver, field, and support production assets. Key activities during this phase include:

Project Management Activities
Execute the production contract(s).
Ensure the delivered product meets cost, schedule, and performance baselines in Project Plan.
Draft the Project Responsibility Transfer Memorandum (PRTM).*

*Sponsor’s/Sponsor’s Representative Activities
Update the sustainment Resource Proposal (if applicable).

Systems Engineering Activities
Verify and validate production configuration.
Manage product configuration in accordance with the Product Baseline.
Conduct Physical Configuration Audit.
Validate manpower and training requirements meet system needs to operate
Logistics Management Activities

Ensure that all logistic support is in place.

Monitor continued availability of materials and manufacturing sources.

Package and distribute all technical data to each unit and logistic support organization.

Prepare for the transfer of support responsibility for the operational system to the sustainment support manager.

Conduct Logistics Readiness Review (see reference d).

6. DOCUMENTATION REQUIREMENTS

Documentation requirements for Acquisition Decision Event reviews are listed in Table 1: Non-Major Acquisition Documentation Requirements.

Table 1: Non-Major Acquisition Documentation Requirements

<table>
<thead>
<tr>
<th>Document</th>
<th>ADE-1</th>
<th>ADE-2</th>
<th>ADE-3</th>
<th>Prepare</th>
<th>Approve</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-Major Acquisition Designation</td>
<td>X</td>
<td></td>
<td></td>
<td>CG-924</td>
<td>DCMS</td>
</tr>
<tr>
<td>Project Manager Charter</td>
<td>X</td>
<td></td>
<td></td>
<td>CG-924</td>
<td>CG-9</td>
</tr>
<tr>
<td>Acquisition Plan</td>
<td></td>
<td>X</td>
<td></td>
<td>PM/Contracting Officer</td>
<td>HCA*1</td>
</tr>
<tr>
<td>Requirements Document</td>
<td></td>
<td>X</td>
<td></td>
<td>Sponsor's Representative</td>
<td>Sponsor</td>
</tr>
<tr>
<td>Project Plan*2</td>
<td></td>
<td>X</td>
<td></td>
<td>PM</td>
<td>CG-9</td>
</tr>
<tr>
<td>Logistics Support Plan</td>
<td></td>
<td>X</td>
<td></td>
<td>PM</td>
<td>CG-93/CG-4*3</td>
</tr>
<tr>
<td>Configuration Plan</td>
<td></td>
<td>X</td>
<td></td>
<td>PM</td>
<td>PgM*4</td>
</tr>
<tr>
<td>Configuration Control Board Charter</td>
<td></td>
<td>X</td>
<td></td>
<td>PM</td>
<td>PgM*4</td>
</tr>
<tr>
<td>Developmental Test Plan</td>
<td></td>
<td></td>
<td>X</td>
<td>PM</td>
<td>PgM*4</td>
</tr>
<tr>
<td>Operational Test Plan</td>
<td></td>
<td></td>
<td></td>
<td>Sponsor's Representative</td>
<td>Sponsor</td>
</tr>
<tr>
<td>Operational Test Report</td>
<td></td>
<td></td>
<td>X</td>
<td>Sponsor's Representative</td>
<td>Sponsor</td>
</tr>
</tbody>
</table>

*1 HCA: Head of Contracting Activity.

*2 The Project Plan includes: Key Cost/Schedule/Performance Baseline; Acquisition Strategy; Life Cycle Cost Estimate; Master Test Plan; Systems Engineering Life Cycle (SELC) Tailoring, Project Schedule.

*3 Commandant (CG-93) will approve Logistics Support Plans for Commandant (CG-9) managed projects. Commandant (CG-4) will approve Logistics Support Plans for projects managed outside of Commandant (CG-9).

*4 Program Manager for Commandant (CG-9) managed projects. Lead Technical Authority Program Office Chief for projects managed outside of Commandant (CG-9).

Note: Documentation requirements (of Appendix A of this Manual) are scalable and tailor able based on cost, complexity, and associated risk of the particular acquisition. PMs are encouraged to consult with Commandant (CG-924) to obtain consensus on documentation requirements.
All planning documents must be updated as significant changes in project execution plans, schedule, funding or resource requirements occur. The Acquisition Plan must be reviewed annually, and updated as required, in accordance with Federal Acquisition Regulation (FAR) requirements. The documents reflected in Table 1: Non-Major Acquisition Documentation Requirements are those documents that are specifically required to support an acquisition decision.

7. **SYSTEMS ENGINEERING LIFE CYCLE FRAMEWORK APPLICABILITY**

Non-Major Acquisitions can range from simple Commercial-off-the-Shelf (COTS) acquisitions to more complex integration projects; the Systems Engineering Life Cycle (SELC) process needs to be carefully tailored to each acquisition. The following provides the approach that should be used by PMs in determining the appropriate SELC Framework elements to apply to their project. PMs should use their best judgment in choosing the appropriate Systems Engineering (SE) requirements for the acquisition. Additionally, PMs are encouraged to seek help in determining applicability of SELC elements to their project from Commandant (CG-924) and the lead Technical and Operational Authorities. **Figure 3: Non-Major/Non-IT Acquisition System Engineering Life Cycle Process** provides the key SE reviews, and how they relate in sequence to the ADEs. Consult the SELC Guide, DHS Acquisition Instruction/Handbook AD 102-01-001 Appendix B for details on the purpose and requirements for each major review, including required documentation (tailorable). The PM is responsible for drafting all the review completion letters with endorsements from the respective Technical Authorities and Sponsor’s Representative. Approval authority for the review associated completion letter is as indicated below.

<table>
<thead>
<tr>
<th>Stage Review</th>
<th>ADE 1</th>
<th>ADE 2</th>
<th>CDR</th>
<th>OTRR</th>
<th>PRR</th>
<th>ADE 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approval Authority</td>
<td>DA</td>
<td>DA</td>
<td>PgM¹</td>
<td>Sponsor’s Rep</td>
<td>CG-9</td>
<td>DA²</td>
</tr>
</tbody>
</table>

1. The project’s Program Manager (PgM) is the approval authority for the associated event’s completion letter, for projects managed in Commandant (CG-9). The Office Chief is the approval authority for all other projects.
2. PRR and ADE3 may be combined.

**Figure 3: Non-Major/Non-IT Acquisition System Engineering Life Cycle Process**

The Project Plan will be used, in lieu of the Project SELC Tailoring Plan (PSTP), to describe and justify the PM’s decisions on what elements of the SELC framework they plan to implement in order to manage the acquisition. Approval of the Project Plan will also be the PM’s authorization to proceed with the acquisitions tailored approach to the DHS defined SELC process. SE technical reviews are an integral and essential part of the SE process. All reviews share the common objective of determining the adequacy of the existing design to meet approved technical requirements. The number and depth of SE technical reviews should be dependent upon the complexity and technical risk (new design vs. COTS/GOTS or the degree of Non-Developmental Item (NDI) modification).
At a minimum, a Non-Major Acquisition should conduct a Critical Design Review (CDR), Operational Test Readiness Review (OTRR), and Production Readiness Review (PRR).

a. The CDR demonstrates the design is complete and expected to satisfy requirements.

b. The OTRR ensures the acquisition is ready to enter Operational Test.

c. The PRR verifies that the design is ready for production, production engineering problems have been resolved, and adequate planning has been accomplished to enter the Product/Deploy and Support Phase.

SE reviews are a means to provide the PM with inputs on technical matters to help shape the PM’s decisions and recommendations.

**Note:** Projects that involve only the acquisition of commercial products can obtain a waiver for all SELC requirements. Waivers shall be submitted to Commandant (CG-924).

## 8. Roles and Responsibilities

The responsibilities of each entity involved in the Non-Major Acquisition are listed below.

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
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</thead>
<tbody>
<tr>
<td><strong>Vice Commandant (VCG)</strong></td>
<td>Serve as Component Acquisition Executive.</td>
</tr>
<tr>
<td><strong>Deputy Commandant for Mission Support (DCMS)</strong></td>
<td>Serve as Decision Authority for ADE-1. Approves planned procurements to be designated Non-Major Acquisitions.</td>
</tr>
<tr>
<td><strong>Executive Oversight Council (EOC)</strong></td>
<td>Reviews and recommends candidates for Non-Major designation to DCMS. Participates in ADE reviews.</td>
</tr>
<tr>
<td><strong>Commandant (CG-9) (Chief Acquisition Officer)</strong></td>
<td>Charters PM for Non-Major Acquisitions. Approves the Project Plan. Serve as Decision Authority for ADE-2 and ADE-3.</td>
</tr>
<tr>
<td><strong>Commandant (CG-93) (Program Executive Officer)</strong></td>
<td>Approves the Logistics Support Plan for Commandant (CG-9) managed projects.*</td>
</tr>
<tr>
<td><strong>Program Manager</strong></td>
<td>Approves the Configuration Plan for Commandant (CG-93) managed projects.* Approves the Configuration Control Board (CCB) Charter for Commandant (CG-9) managed projects.*</td>
</tr>
<tr>
<td><strong>Project Manager</strong></td>
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<td>-----------------------------</td>
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<tr>
<td>Maintain DHS Level I or higher PM certification.</td>
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<tr>
<td>Manage project in accordance with this manual.</td>
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<tr>
<td>Obtain ADE approvals from the Decision Authority.</td>
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<tr>
<td>Develop and obtain approval for the required project documents in accordance with this manual.</td>
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<thead>
<tr>
<th><strong>Commandant (CG-924)</strong></th>
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<tbody>
<tr>
<td>Serves as Executive Secretary for Non-Major Acquisitions.</td>
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<tr>
<td>Notifies Sponsor if procurement is designated as Non-Major Acquisition.</td>
</tr>
<tr>
<td>Provides program management assistance to PM and Sponsor, as needed.</td>
</tr>
<tr>
<td>Drafts PM Charter.</td>
</tr>
<tr>
<td>Drafts Non-Major Nomination Memorandum.</td>
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<thead>
<tr>
<th><strong>Sponsor/Sponsor’s Representative</strong></th>
</tr>
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<tbody>
<tr>
<td>Drafts the Requirements Document/Approve Requirements Document.</td>
</tr>
<tr>
<td>Prepares the Operational Test Plan/Approves Operational Test Plan.</td>
</tr>
<tr>
<td>Conducts Operational Test.</td>
</tr>
<tr>
<td>Prepares Operational Test Report/Approves Operational Test Report.</td>
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<thead>
<tr>
<th><strong>Technical Authorities</strong></th>
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</thead>
<tbody>
<tr>
<td>Commandant (CG-1) performs as the Technical Authority for Human Systems Integration (HSI), to include manpower, personnel, training, human factors engineering, system safety, habitability, and personnel survivability.</td>
</tr>
<tr>
<td>Commandant (CG-4) performs as the Technical Authority for all Coast Guard engineering and logistics efforts to include authority, responsibility, and accountability to establish, monitor, and approve technical standards, tools, and processes in conformance with policy, requirements, architectures, and standards.</td>
</tr>
<tr>
<td>Commandant (CG-6) performs as the Technical Authority for Command, Control, Communications, Computers and Information Technology (C4IT) to include enterprise architecture, information security/assurance, spectrum certification (if applicable), etc.</td>
</tr>
<tr>
<td>Commandant (CG-8) performs as the Technical Authority for financial management to include financial planning and programming, budget formulation and execution, financial and accounting policy and operations, internal &amp; external financial reporting, and financial systems requirements.</td>
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<thead>
<tr>
<th><strong>Project Council (CG-094)</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides legal guidance/advice to PM.</td>
</tr>
</tbody>
</table>

* For acquisitions managed outside Commandant (CG-9), Commandant (CG-4) is the approval authority for the Logistics Support Plan. The Lead Technical Authority Office Chief is the Approval Authority for the Configuration Plan and Configuration Control Board Charter.
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Appendix A

Non-Major Acquisition Process (NMAP) Manual
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Introduction

The Coast Guard Non-Major Acquisition Process Handbook is organized as follows:

**Part I: Documentation**

**Part II: Briefings**

This handbook was developed for the Coast Guard acquisition workforce and support staffs. The handbook should be used as a quick, ready reference to identify the organization, format, and suggested content for required documentation and briefings.

For contract actions/events, consult with the appropriate contracting officer for assistance/information. The Coast Guard Practical Guide to Contracting may also be used for general understanding of the practices, processes, roles and responsibilities associated with the contracting process: [https://cgportal.uscg.mil/delivery/Satellite/CG9/acquisitionregulations](https://cgportal.uscg.mil/delivery/Satellite/CG9/acquisitionregulations).

Constructive changes/recommendations to this handbook are encouraged. The Chief, Acquisition Support Office, Commandant (CG-924) will manage all changes.

**Documentation requirements are scalable and tailorable based on cost, complexity, and associated risk of the particular acquisition. PMs are encouraged to consult with Commandant (CG-924) to obtain consensus on documentation requirements.**

A chart is provided below with a generic high-level depiction of the relationship between contracting efforts and acquisition documents to the Acquisition Decision Events.

---

**Acquisition Decision Events (ADE)**

1. Project Initiation
2. Approval to Proceed with Procurement or Design
3. Approval to Proceed to Production

**Decision Authority for event**

ADE 1 CG-61
ADE 2 CG-9
ADE 3 CG-9

**Acquisition Documents**

- AP: Acquisition Plan
- CP: Configuration Plan
- LSP: Logistic Support Plan
- Proj Plan: Project Plan
- RD: Requirements Document
- OT: Operational Test

**Contract Actions**

- CDRL: Contract Data Requirements List
- RFI: Request For Information
- RFP: Request for Proposal
- TDP: Technical Data Package

---

A-1
When a planned procurement is designated a Non-Major Acquisition, Commandant (CG-924) will draft a Non-Major Project Manager (NM PM) Charter to be submitted to Commandant (CG-9) for approval. Section 8 provides the template to be used for the NM PM Charter.

For those planned procurements identified internal to the Coast Guard, vice an acquisition that has been down-graded from a Major Acquisition status, a Non-Major Nomination Memorandum will be drafted by Commandant (CG-924) for DCMS approval. Section 9 provides the template to be used for this memorandum.
PART I. DOCUMENTATION

1.0 DOCUMENT REVIEW AND APPROVAL PROCESS

1.1 Review and Approval Levels

Document approval authority is outlined in Table 1 of this manual, the Non-Major Acquisition Process (NMAP), COMDTINST 5000.11 (series). Signature requirements (other than final approval signature) can be tailored.

1.2 Concurrent Clearance

Prior to routing for endorsement/approval, each draft document must undergo a matrix level concurrent clearance review (typically 0-6/GS-15 level) to include the Sponsors Representative, appropriate Technical Authorities, the Project Manager, and CG-924 (copy to CG-0949). Include all offices that are involved in the project as well as the office that establishes policy for the functional area the document is addressing. Concerns should be resolved with assistance from Commandant (CG-924). A completed draft document will be distributed with a Concurrent Clearance Form (CG-4590) that provides instructions and a due date to the matrix reviews. Instructions for filling out the Concurrent Clearance form are provided in Chapter 6 of the Coast Guard Correspondence Manual, COMDTINST M5216.4 (series).

1.3 Documentation Updates and Revisions

As the project progresses through the various acquisition phases, project management documents may require revisions if significant changes in project execution plans, schedule, funding or resource requirements occur. The approval process for updates shall be the same as the review and approval process discussed above.

Version Control. Documents are to comply with the following version control:

(a) If the document has not yet been approved, it should use a numbering scheme beginning with “zero”, such as Version 0.1.

(b) Version numbers for approved documents will start with a whole number, such as Version 1.0.

(c) Minor updates (e.g., wording changes) should increment in tenths, as in Version 1.1.

(d) Major changes in direction or composition should increment in whole numbers higher than the previous version, as in Version 2.0.

(e) The document’s version and the date should be placed in the lower right-hand side of the document footer.

(f) A Revision Summary will be included following the document’s Executive Summary. The Table of Changes should reflect the version number and date discussed and should be as shown below.

<table>
<thead>
<tr>
<th>Version</th>
<th>Change</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Version 0.1</td>
<td>Initial Draft</td>
<td>15 Apr 10</td>
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</table>
Schedule Date Format within Documents and Plans. When referencing schedules in any of these documents, the date formats in Table A-1: Date Formats should be used.

Table A-1: Date Formats

<table>
<thead>
<tr>
<th>Key Event To Occur</th>
<th>Date Format Convention</th>
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<tbody>
<tr>
<td>Past History</td>
<td>Use Month and Year, e.g., 03/10</td>
</tr>
<tr>
<td>Within 3 Years</td>
<td>Use Quarter and Fiscal Year, e.g., 1QFY11</td>
</tr>
<tr>
<td>Beyond 3 Years</td>
<td>Use Fiscal Year, e.g., FY14</td>
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2.0 ACQUISITION PLAN

2.1 Acquisition Plan Purpose

The purpose of the Acquisition Plan (AP) is to discuss the acquisition process and document the decisions made prior to processing each contractual action. The AP serves as a mechanism to review, approve, and document acquisition decisions, as well as, creating a road map for implementation of the acquisition decisions. Once approved, an AP provides direction and approval for execution of each contractual action.

The format and content of the AP is specified in the Department of Homeland Security (DHS) Acquisition Planning Guide (DHS policies and procedures for Acquisition Planning are set forth in Chapter 3007 of the Homeland Security Acquisition Manual (HSAM) 3007.102).

2.2 Acquisition Plan Preparation

The PM is responsible for preparing the AP in accordance with the DHS Acquisition Planning Guide and the appropriate template. The Federal Acquisition Regulations (FAR) 7.102(a) and Homeland Security Acquisition Manual (HSAM) 3007.102 require planning for all acquisitions. The AP is prepared as the first step in any acquisition, and should begin as early in the project life cycle as possible. An acquisition of $10M or higher requires a formal, written, FAR 48 CFR 7.1-compliant Acquisition Plan.

The PM should develop the Acquisition Plan (AP) using an Integrated Product Team (IPT) approach for coordination. Key members of the AP IPT should include the PM, Sponsors Representative, representatives from Commandant (CG-912, CG-924, CG-0949 and CG-82) and members of the technical and operational authorities.

It should be noted that elements of the Acquisition Plan, especially the high-level acquisition approach or strategy, will be a required part of the ADE briefing.

The PM and the Contracting Officer shall review the AP at least annually and at each ADE. The AP is revised whenever there is a major project change, or whenever there is a significant change to an approved AP. An AP change is significant if what is being procured changes; how it is being procured (including method and contract type) changes; or reflect significant funding changes. Revisions to APs shall be subject to the same concurrences, endorsements, and approvals as the original document.

2.3 Acquisition Plan Approval

The initial AP should be prepared as soon as possible after Project Initiation approval, and submitted for HCA approval as shown in the AP Template (cover page only) in Section 2.4.
2.4 Acquisition Plan Approval Page Template

Acquisition Plan (AP)

for the

[Project Title]

AP # HSCG10001 - mm/dd/yy

Submitted by: ______________________________ ____________

Project Manager (CG-YYYY) Date

Endorsed by: ______________________________ ____________

Small Business Specialist (CG-91Y) Date

Endorsed by: ______________________________ ____________

Contracting Officer (KO) Date

Endorsed by: ______________________________ ____________

Chief, Contracting Operations Office (CG-912) Date

Approved by: ______________________________ ____________

Head of Contracting Activity (CG-91) Date
2.5 Acquisition Plan Document Template

The PM is to use the DHS AP template in preparation of the Project’s APs. The AP template can be found in the Homeland Security Acquisition Manual (HSAM), Appendix H.
3.0 REQUIREMENTS DOCUMENT

3.1 Requirements Document Purpose

The Requirements Document is the formal statement, developed by the Sponsor in collaboration with other stakeholders, of the performance and related operational parameters for a proposed system or piece of equipment. It describes an operational system in terms of acceptable standards of performance. As the consolidation of these performance measures in one document, as well as requirements for the support and maintenance of the system, the Requirements Document serves as the source document for a host of Systems Engineering (SE) activities and cost estimating to ensure the success of the project. The Requirements Document should clearly and concisely define the mission need and capability gap this project will address. It must also discuss the threat that will be mitigated by the project. The Requirements Document serves as a “contract” between the Sponsor and the Acquirer.

3.2 Requirements Document Preparation

The Requirements Document is prepared by the Sponsor’s Representative with assistance from the PM and Technical Authorities. The accurate definition of system requirements by the Sponsor is imperative if the acquisition effort is to be completed within established cost and schedule constraints, and still meet the DHS, Coast Guard, and specific Sponsor’s mission needs. Developing requirements is to be an integrated, cross-functional endeavor. Development of the Requirements Document should be led by the Sponsor’s Representative, and include Commandant (CG-771), the Technical Authorities, Commandant (CG-1B3, CG-4, CG-6), the PM, and appropriate Commandant (CG-9) staff. The Sponsor will establish the absolute minimums (Thresholds) and objectives for the identified system operational effectiveness and suitability requirements. The Sponsor/Sponsor’s Representative will also provide Concept of Operations (CONOPS) information in the Requirements Document envisioned for the asset to include addressing the functional capabilities, operational environment, and user interfaces. This document is to be a simple and concise capture of the basic operational requirements, and should be no more than 15 pages in total. The templates for the signature page and contents for the Requirements Document are provided below under sub-sections 3.4 and 3.5. The format of the document is at the author’s discretion. The document’s format may be tailored (e.g., paragraph or tabular format) to best display and convey the information to support the acquisition. The Requirements Document template is a scalable guide for the user to develop testable and supportable requirements as well as provided additional insight and justification for the acquisition.

3.3 Requirements Document Approval

Following resolution of User/Operator/Acquisition issues raised during the Requirements Document preparation process, the final iteration of the Requirements Document preparation should be a matrix level Concurrent Clearance review, which includes the Technical Authorities. Once the Requirements Document has been staffed and reviewed, the Sponsor’s Representative will forward the Requirements Document to the Sponsor for approval. The approved Requirements Document must also be submitted to DHS (for information only) via Commandant (CG-924). The Requirements Document shall be drafted, staffed, and approved prior to ADE-2.
3.4 Requirements Document Approval Page Template

REQUIREMENTS DOCUMENT
for the
[PROJECT TITLE]
NON-MAJOR ACQUISITION

Prepared by:

Sponsor’s Representative (CG-YYY) Date

Endorsed by:

Project Manager (CG-YYYY) Date

Endorsed by:

Program Manager/Office Chief (CG-YYY) Date

Endorsed by:

Office of Requirements and Analysis (CG-771) Date

Approval by:

Sponsor (CG-Y) Date
3.5 Requirements Document Template

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<td>5.4 Sensors</td>
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<td>6.3 Reliability, Availability, and Maintainability</td>
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<td>6.4 Survivability</td>
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<td>6.5 Human Systems Integration Considerations</td>
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<td></td>
</tr>
<tr>
<td>Section 7: Key Performance Parameters</td>
<td>7-1</td>
</tr>
</tbody>
</table>
REQUIRED DOCUMENT

Content Requirements

EXECUTIVE SUMMARY

The Executive Summary should be a brief, no more than one page discussion highlighting the salient points of the document.

REVISION SUMMARY (IF APPLICABLE)

The Revision Summary should provide a bulletized high-level description of major changes, including references to the changed section/paragraph.

SECTION 1: INTRODUCTION

The introduction provides a project summary and should include a brief reference to each of the following points:

1.1 Purpose

Define the purpose of the Requirements Document as it relates to accomplishing specific missions and performance goals of the Coast Guard and the Department of Homeland Security (DHS).

1.2 Background

Provide a brief discussion of the acquisition. Briefly describe the system in general terms, without describing specific hardware requirements. When replacing an existing system, include information on age, service life, maintenance time and costs, and system availability to meet project standards that need to be solved by the replacement system.

1.3 Timeframe

Identify the required timeframes for the following, include justification:

1.3.1 Initial Operational Capability Date

Initial Operational Capability (IOC) is defined as the first attainment of the capability of a platform, system, or equipment. Clearly specify the operational capability or level of performance necessary to declare IOC.

1.3.2 Planned Coast Guard Support Date

Planned Coast Guard Support Date (CGSD) is defined as the date when all resources required for supporting sustained operations and maintenance are in place, either organically or through contract(s).

1.3.3 Full Operational Capability Date

Full Operational Capability (FOC) is defined as the delivery of the last platform, system, or equipment.
SECTION 2: MISSION NEED
Provide in a clearly defined, and in a concise statement, the mission need and capability gap this project will address. A summary mission need statement will provide the justification for a new acquisition effort.

SECTION 3: MISSION REQUIREMENTS
Describe the mission requirements.

In specific terms, describe:
(a) The requirements derived concerning the operating environment for the system (e.g., open ocean, coastal, sea state, ice cover, etc.).
(b) The operational functions that must be performed to execute the mission (e.g., hoisting, towing, interdiction, surveillance, etc.).
(c) Interoperability requirements necessary to complete each mission area.
(d) The geographic area in which the operations will be performed (e.g., Polar Regions, Great Lakes, inland rivers, etc.).
(e) The environment envelope in which the mission must be performed (e.g., temperature, humidity, wind speed, current, etc.).

SECTION 4: CONCEPT OF OPERATIONS
Provide the Concept of Operations (CONOPS) envisioned for the asset to include addressing the functional capabilities, operational environment, and user interfaces as a minimum. Include an operations analysis that tells how, where, when and under what conditions the asset is to be used. Also include a support analysis that shows the basic support concept for the asset. Include transportability and a very basic maintenance concept. The concepts should be presented in as few (preferably one or two) simple overviews as possible, along with short descriptions.

SECTION 5: EFFECTIVENESS REQUIREMENTS
Identify and describe parameters, which must be part of, or met by, the system. Focus on operational parameters; i.e., those that are required for the system to effectively complete its mission. Avoid trying to design the system or overly constraining the design.

5.1 Basic Requirements
Describe the system operational capabilities necessary to effectively satisfy mission performance requirements.

5.2 Communications/Information Technology (If Applicable)
Identify any special or unique requirements for communications or information technology. Address any interoperability issues involved. Identify radio spectrum requirements.

5.3 Navigation (If Applicable)
Identify any special or unique navigation requirements. Identify radio spectrum requirements.
5.4 **Sensors (If Applicable)**

Identify any special or unique sensors, which are required. Address any interoperability issues concerning sensors. Identify radio spectrum requirements.

**SECTION 6: SUITABILITY REQUIREMENTS**

Address the following suitability requirements (this section of the RD will serve as the basis for portions of the specification and the Logistics Support Plan (LSP)):

6.1 **Design**

Identify whether the design is constrained or unconstrained (e.g., parent craft, off-the-shelf, etc.); advanced technology or proven technology.

6.2 **Supportability and Sustainment (Logistics Support)**

Identify Supportability and Sustainment (S&S) requirements and constraints; identify the overall S&S concept for the project. Describe any unusual or known specific support requirements needed for the project, with particular emphasis on those which could drive cost, schedule, or performance.

6.3 **Reliability, Maintainability, and Availability**

Identify reliability requirements; specify the duration or probability of failure-free performance under stated conditions (i.e., the probability that an item can perform its intended function for a specific interval under stated conditions). Reliability requirements are often stated in terms of Mean Time Between Failure (MTBF).

Identify availability requirements; specify the probability that the item or system, to include equipment and personnel, are in an operable and committable state at the start of a mission when the mission is called for at unknown (random) times. Availability requirements are usually stated in terms of Operational Availability (AO).

Identify maintainability requirements; specify the measure of the ability of an item to be retained in or restored to a specified condition when maintenance is performed by personnel having specified skill levels, using prescribed procedures and resources. Describe any unusual or known maintainability constraints or requirements. Identify any support activities required to maintain the system. Maintainability requirements are often stated in terms of Mean Time to Repair (MTTR).

6.4 **Survivability**

Identify survivability requirements; identify the conditions under which the system is expected to survive a hostile environment (natural or man-made) without suffering an abortive impairment of its ability to accomplish its designated mission(s). Software survivability must address security, fault and error tolerance, safety, reliability, reuse, performance, verification, and testing to recover from attack, failure, and accident.

6.5 **Human Systems Integration Considerations**

Identify factors and requirements relating to personnel, safety, human factors, and environmental considerations.

(a) Identify the personnel necessary to safely operate, maintain, and support a similar
existing system. Include required training requirements and Knowledge, Skills, and Abilities (KSAs).

(b) Identify staffing goals or requirements for the system to be acquired.

(c) Describe habitability requirements for personnel.

(d) Describe personnel or safety requirements, system redundancy for safety purposes, installed safety-specific capabilities, or post-mishap analysis capability.

(e) Describe human factors or human engineering requirements, such as human machine interface or ergonomic requirements to include expectations for design to support human performance in areas of usability, maintainability, operability, suitability, simplicity, and accessibility.

(f) Describe environmental considerations relevant to users.

6.6 Training Requirements.

Describe the training philosophy required (pipeline, On-the-Job Training (OJT), etc.) to support operational and maintenance concepts to accomplish the mission intended by the system.

SECTION 7: KEY PERFORMANCE PARAMETERS

Key Performance Parameters (KPPs) are those system capabilities or characteristics considered essential for successful mission accomplishment. A Requirements Document should only contain a limited number of KPPs (approximately three to five for Non-Major Acquisitions) that capture the parameters needed to reach the overall desired capabilities for the system. Failure to meet a KPP threshold will require reevaluation of the project by the Sponsor.

KPPs should be presented in a tabular form and include both the thresholds and objectives (if applicable) values. An interoperability KPP shall be included if interoperability with other systems or agencies is an important factor in mission accomplishment.

The following guidelines should be applied when selecting KPPs:

(a) Is it essential for defining system capabilities?

(b) Is it achievable and testable?

(c) If not met, are you willing to cancel the project?

Selection of valid KPPs is more than just identifying a requirement and providing a threshold/objective value. The following is a suggested method for developing KPPs:

(a) List system required capabilities for each mission/function as described above.

(b) Identify those requirements that are directly traceable to a Coast Guard/DHS mission.

(c) Prioritize these requirements.

(d) Determine the parameters that are most critical to the system and designate them as Key Performance Parameters.
4.0 PROJECT PLAN

4.1 Project Plan Purpose
The Project Plan provides the framework to define the activities, responsibilities, and the timing of events. It provides members of the matrix organization or IPT a clear understanding of what is required of them and when it is required, so they can work together with clarity of purpose. The Project Plan is considered the primary project planning document; planning in other technical functional areas, such as logistics support, must flow from and be consistent with the Project Plan.

4.2 Project Plan Preparation
The PM shall prepare an initial Project Plan, in accordance with the template provided in paragraphs 4.4 and 4.5, as early in the project as possible. The PM should prepare the draft Project Plan in consultation with all program and support managers involved in the project to ensure all appropriate tasks are addressed and assigned.

4.3 Project Plan Approval
The Project Plan should be submitted for approval within six months of conducting the Project Authorization Acquisition Decision Event (ADE-1). For all projects, Commandant (CG-9) will be the approval authority.
4.4  Project Plan Approval Page Template

PROJECT PLAN (PP)

for the

[PROJECT TITLE]

Submitted by: _______________________________  ____________
Project Manager (CG-YYYY)  Date

Endorsed by: ________________________________  ____________
Program Manager/Office Chief (CG-YYYY)  Date

Endorsed by: ________________________________  ____________
Project Sponsor’s Representative (CG-YYY)  Date

Approved by: ________________________________  ____________
Chief Acquisition Officer (CG-9)  Date
4.5 Project Plan Document Template

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<td>1.1 Scope</td>
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<td>1.2 Current Status</td>
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<td>Section 2: Key Cost, Schedule, and Performance Parameters</td>
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<td>Section 4: Resource Planning and Project Management Structure</td>
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<tr>
<td>4.1 Resources</td>
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<tr>
<td>6.1 Test Objectives</td>
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<td>6.2 Management Approach, Structure, Roles and Responsibilities</td>
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<td>(C) Project Work Breakdown Structure (WBS)</td>
<td>A-17</td>
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</tbody>
</table>
EXECUTIVE SUMMARY
The Executive Summary should be a brief, no more than one page, discussion of the Project Plan highlighting the purpose and salient points of each section. Be sure to include the goals of the project and expected outcomes. Briefly discuss the roles and responsibilities of key participants, and discuss reports expected to be prepared and how the reports will support project decisions.

REVISION SUMMARY (IF APPLICABLE)
The Revision Summary should provide a bulletized high-level description of major changes, including references to the changed section/paragraph.

SECTION 1: INTRODUCTION
1.1 Scope
This section should provide a brief background summary as well as describe the plans and goals of the project, and how the Project Plan will be used to accomplish these goals.

1.2 Current Status
This section should briefly discuss the key activities of the project to date, with bullet highlights and references. This includes focusing on where the project is within the acquisition process.

SECTION 2: KEY COST, SCHEDULE, AND PERFORMANCE PARAMETERS
In this section, provide a table of the project’s key parameters for cost, schedule, and technical performance. A sample table is provided below in Table 2-1. Cost parameters should be identified in the Life Cycle Cost Estimate (LCCE). Schedule parameters come from the Project Master Schedule. The technical Key Performance Parameters (KPPs) will be identified in the Requirements Document with Threshold and Objective (if assigned) values established. All revisions to the below table shall be shown with new columns (i.e., Rev 1, Rev 2, etc). Prior Threshold and Objective values shall remain for baseline traceability.
## Table 2-1 Key Cost, Schedule and Performance Baseline Parameters

<table>
<thead>
<tr>
<th>Cost Category</th>
<th>Baseline</th>
<th>Rev 1</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Threshold</td>
<td>Objective</td>
</tr>
<tr>
<td>Acquisition</td>
<td>64,800</td>
<td>60,000</td>
</tr>
<tr>
<td>Operations &amp; Maintenance (O&amp;M)</td>
<td>194,400</td>
<td>180,000</td>
</tr>
<tr>
<td>Total LCCE</td>
<td>259,200</td>
<td>240,000</td>
</tr>
<tr>
<td>Quantity</td>
<td>10</td>
<td>10</td>
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</table>

Useful Life: 10 Years

<table>
<thead>
<tr>
<th>Event</th>
<th>Baseline</th>
<th>Rev 1</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Threshold</td>
<td>Objective</td>
</tr>
<tr>
<td>ADE-2</td>
<td>7/10</td>
<td>1/10</td>
</tr>
<tr>
<td>Contract Award</td>
<td>9/10</td>
<td>3/10</td>
</tr>
<tr>
<td>Complete Operational Test (OT)</td>
<td>2QFY11</td>
<td>4QFY10</td>
</tr>
<tr>
<td>ADE-3</td>
<td>3QFY11</td>
<td>1QFY11</td>
</tr>
<tr>
<td>Initial Operational Capability (IOC)</td>
<td>4QFY13</td>
<td>2QFY13</td>
</tr>
<tr>
<td>Full Operational Capability (FOC)</td>
<td>4QFY18</td>
<td>2QFY18</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Key Performance Parameter (KPP)</th>
<th>Baseline</th>
<th>Rev 1</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Threshold</td>
<td>Objective</td>
</tr>
<tr>
<td>Speed</td>
<td>40 Knots</td>
<td>45 Knots</td>
</tr>
<tr>
<td>Endurance</td>
<td>240 NM</td>
<td>240 NM</td>
</tr>
<tr>
<td>Operational Availability (Ao)</td>
<td>80%</td>
<td>90%</td>
</tr>
</tbody>
</table>

**SECTION 3: ACQUISITION STRATEGY**

Provide a summary of the top-level strategy for the acquisition of the system. This will include a discussion on the type of contract, logistics and testing approach to be used, and desired outcome of the effort. In addition, provide an assessment of the potential supplier base, and potential alternatives along with the benefits and risk for each.

**SECTION 4: RESOURCE PLANNING AND PROJECT MANAGEMENT**

### 4.1 Resources

This section should describe the current personnel assigned to the project staff or funded by the project and assigned to other staffs, and the financial resources of the project. Project Managers are to use the Project Plan to identify their staffing requirements as well as support required from other Coast Guard offices or activities. Project staff requirements are to be
identified by billet and specific acquisition workforce qualifications required across time. A description of the resources required to execute the next acquisition phase and those planned to complete the project should be included in this section. Provide charts that show personnel and financial resources broken out by fiscal year, including prior years.

4.2 Project Organization

Describe the organizational relationships, lines of authority, and any other elements such as Integrated Product Teams (IPTs) within the project. This information should also depict any relationships the project has with any IPTs. The responsibility and authority of each Coast Guard element with respect to the project should be stated. Describe here and also depict in Appendix (B), the operational and support organizations relationships with the project within the Coast Guard. In addition, discuss any relationships to organizations or agencies external to the Coast Guard.

4.3 Required Internal Reports

Establish and describe any anticipated internal reports that will be required within the project and prepared by the matrix/IPT team members and provided to the PM. These reports should provide updated status on the completion of project tasks, and should identify any problems within the project. The PM will oversee and determine the need for these reports.

SECTION 5: LIFE CYCLE COST ESTIMATE

This portion of the Project Plan will provide the Life Cycle Cost Estimate for the project that is the single, best estimate for the system. The Life Cycle Cost Estimate (LCCE) provides the foundation for the Coast Guard business decisions concerning project affordability at each ADE. A LCCE provides a structured accounting of all resources and associated cost elements required to develop, produce, deploy, and sustain a particular project and, if applicable, dispose of the items being acquired. An LCCE encompasses all past, present, and future costs for every aspect of the project, regardless of funding source. The LCCE supports the project’s budget baseline, and helps to ensure that all costs are fully accounted for so that resources are adequate to support the project.

The LCCE should provide a record of the procedures, ground rules and assumptions, data, environment, and events that underlie the cost estimate. An estimator should use the project’s work breakdown structure (WBS) in developing the LCCE. Ensure all sunk and personnel costs are reported as part of the LCCE in order to show the full cost of the asset from initial concept through acquisition, operations, support, and disposal in Then-Year and Base Year dollars. For disposal costs, the key things a project should take into account are costs associated with any weapons and/or hazardous material disposal. It is also recommended that a section of the LCCE should incorporate risk modeling for Acquisition Construction and Improvement (AC&I) and Operations & Support (O&S) costs at the 50th percentile, Point Estimate, and 80th percentile utilizing either the Excel Crystal Ball add-in or the ACEIT tool.

The first paragraph of the LCCE section should provide a summary of the methodology or approach used to develop the cost estimate for each WBS element. It is also important to note the source of the data so that the estimate can be replicated by a third party.

Next, the LCCE should address and clearly articulate the assumptions used in generating the
cost estimate. Assumptions can include, but are not limited to, addressing the project schedule, cost limitations, time phasing, Base Year, labor rates, inflation indices, and what items will be delivered as Government or Contractor Furnished Equipment (GFE or CFE). Many assumptions profoundly influence cost; the subsequent rejection of a single assumption by leadership could invalidate the estimate. Therefore, it is imperative that all assumptions be well documented and briefed to decision makers.

When determining what the Threshold Cost value should be, a project should simply take into account identified risks to the project. Determine your estimated weighted costs based on the probability those risks will be realized, and adjust your single point estimate accordingly. A single point estimate becomes your Objective value and this revised estimate with weighted risks becomes your Threshold value. Project Managers can further seek guidance from Commandant (CG-928) on developing your cost estimate and can utilize DHS Directive 102-01 and the GAO Cost Estimating and Assessment Guide for best practices.

The final section should provide a summary of the actual cost estimate values. This cost display, along with the sample project quantities table below, are meant to provide leadership with a quick snap-shot of the total project cost by funding source and fiscal year for a specific number of items to be procured. Table 5-1 below is the recommended format and content for the summary cost display in the LCCE section;

<table>
<thead>
<tr>
<th>Funding Account</th>
<th>FYXX</th>
<th>FYXX plus 1 year</th>
<th>FYXX plus 2 year</th>
<th>FYXX plus 3 year</th>
<th>FYXX plus 4 year</th>
<th>FYXX plus 5 year</th>
<th>FYXX plus n year</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>AC&amp;I</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 5-2 below is the recommended format and content for a summary display of project quantities funded per FY as part of the LCCE section;

<table>
<thead>
<tr>
<th>Quantities</th>
<th>FYXX</th>
<th>FYXX plus 1 year</th>
<th>FYXX plus 2 year</th>
<th>FYXX plus 3 year</th>
<th>FYXX plus 4 year</th>
<th>FYXX plus 5 year</th>
<th>FYXX plus n year</th>
<th>Total</th>
</tr>
</thead>
</table>

SECTION 6: MASTER TEST PLAN

The purpose of this section of the Project Plan is to address at a high-level all the basic planning needed for the test and evaluation (T&E) activities for the project. This section will be used to identify all the critical technical characteristics and operational issues, and describes the goals, responsibilities, key resources, requirements, and schedule milestones for all completed and planned T&E. Address a high level plan for Developmental Testing (DT). If DT is to be tailored out due to program expediencies, then address why testing is not needed, or provide information where data can be found for testing that has been accomplished in the past. The requirements and results of detailed planning for operational testing will be captured in later sections of this document under the Operational Test (OT) Plan. However, this portion of the Project Plan will include a short description of the OT plan and associated OT report, plus assign position or organizational responsibility for preparing and approving this plan and report.

The PM will prepare this section in consultation with all support managers, and other
organizations involved in the T&E activities.

6.1 Test Objectives

Provide a summary level description of the project’s test objectives. In addition, briefly describe how these test objectives are tied to the Requirements Document assigned mission areas of the deployed asset or system. Describe the key features and subsystems, including any unique characteristics of the system or support concepts that may result in special test requirements.

6.2 Management Approach, Structure, Roles and Responsibilities

Provide a description of the general management approach for all project test activities, including the overarching test organization structure. This description shall include the allocation of activities across both Government and contractor organizations, if applicable. This portion of the Master Test Plan will include a detailed description of the roles and responsibilities of each organization with test activity responsibility.

6.3 Test Facilities and other Key Resources Needed

Provide a description of all the key resources required to execute all project test activities and requirements. This should include a matrix listing of, for example, what test facilities, test articles and/or simulators, targets, models or testbeds, special test equipment or other material, and staffing or skills that are needed for each test event or phase of testing. This is meant to highlight those key resource items or skills needing leadership and funding support to properly execute planned test activities.

6.4 Testable Effectiveness and Suitability Requirements

List, in matrix format, the minimum acceptable operational and/or functional performance needs as Effectiveness Requirements. Threshold values for each requirement should also be listed in this matrix. Candidates for inclusion in the list are those included by the Sponsor in the Requirements Document. Include and identify all Key Performance Parameters (KPPs) listed in the Requirements Document. Separately list in matrix format the Suitability Requirements of the system identified in the Requirements Document. For each technical parameter, list the appropriate technical threshold.

6.5 Description of Key Test Related Milestones

Identify and describe the key developmental and operational test events. This is only a general description with stated overall goals for each event. The depiction of the time-phasing of these test events will be integrated within the Project Master Schedule as part of Appendix A of the Project Plan.

6.6 Acceptance Testing

Identify and describe the key acceptance testing and events as provided below.

6.6.1 Non-Major Asset Acceptance Process

Acceptance processes for USCG Non-Major assets should be identified and documented in a formal Acceptance Procedure, and communicated in contract statements of work. First article acceptance should include performance verification, material inspection and inventory. Follow-on deliveries should include appropriate levels of material inspection and
inventory monitoring as well as regression testing for critical changes.

6.6.2 Performance Verification

The performance verification phase need only occur on the first article unless significant changes are made to the design which may impact performance. (Any changes shall be agreed to by the USCG.) It should be performed per documented step-by-step instructions as developed with and agreed to by the USCG. This performance verification phase should include all tests, demonstrations, and inspections that verify the requirements in the performance specification of the contract have been met. These may include but would not be limited to:

(a) Taking weight and measurements and electronic readings.

(b) Demonstrations of sub-systems such as engine, propulsion, radios, sensors, navigation systems.

(c) Speed, endurance, and distance runs.

In some cases performance may be verified by analysis. Analyses should be identified and agreed upon early with the Government. Completed analyses should be submitted to the Government for approval well ahead of the actual acceptance of the first article.

6.6.3 Material Inspection

The material inspection phase provides for inspection of the asset for quality issues by the government and its designated agents. Special items of interest may include wiring, paint, leaks, appearance and general workmanship. This inspection should be thorough and may be performed by a maintenance subject matter expert or operator subject matter expert or both. A process for documenting and adjudicating discrepancies should be outlined in the Acceptance Procedure.

6.6.4 Inventory

An inventory of all outfit items including documentation shall be performed with the government upon delivery of all assets. A requirement for a list of materials should be part of the contract which will then be used to aid in this inventory.

SECTION 7: TAILORED SYSTEMS ENGINEERING LIFE CYCLE APPROACH

Describe and justify the PM’s choices of what elements of the SELC framework are planned to be implemented in order to manage the technical element of the project. Approval of the Project Plan will also be the PM’s authorization to proceed with the tailored approach to the DHS defined SELC process. Projects that involve only the procurement of commercial products may obtain a waiver from Commandant (CG-924) to omit this section of the project plan.

SECTION 8: DETAILED PLANNING DOCUMENTS

Specific plans to execute technical activities of the project are developed in detailed planning documents, to include the Logistics Support Plan (LSP), Configuration Plan (CP), and Operational Test (OT) Plan. These plans are not a part of the Project Plan. The Project Plan should briefly describe these documents and how they relate overall to the planned project activities.
Appendices
The following documents should be attached as Appendices to the Project Plan.

(A) Project Master Schedule
The Project Master Schedule is an event-driven schedule used to delineate the key project activities and events. Typically the Project Master Schedule is depicted as a chronological listing of key events and their respective dates; actual and planned dates are distinguished. The Project Master Schedule will be reviewed and updated as needed.

(B) Organizational Charts
These appendices depict the Project's current organizational structure and relationships.
   (1) Project Staff
   (2) Project Operational and Support Organizations
   (3) Contract Administration

(C) Project Work Breakdown Structure (WBS)
The use of a Work Breakdown Structure (WBS) is for projects where a major part of the acquisition is product focused, the system has two or more components in development, and most of the effort is done by a contractor. The WBS provides a hierarchical relationship among activities, work packages and functional areas. It provides an understanding of the activities necessary to achieve the goal and meet the project’s objective. Refer to the WBS Handbook, MIL-HDBK-881 (series), for guidance on establishing a project WBS.
5.0 LOGISTICS SUPPORT PLAN

5.1 Logistics Support Plan Purpose

The Logistics Support Plan (LSP) is the primary logistics document for Non-Major Acquisitions and:

(a) identifies any logistics support constraints or requirements that must be satisfied;
(b) provides a description of the system or piece of equipment that must be supported;
(c) identifies the applicable roles and responsibilities for planning and implementing an initial sustained support capability for the new system or piece of equipment;
(d) identifies the support concepts and details on how the concepts are implemented for each logistic support element; and
(e) provides information on other logistics related planning.

The LSP is a life-cycle document that is initially prepared and updated during acquisition. It is transitioned to the sustainment community for continued use and updating for the complete life of the system or piece of equipment. Planning for logistics should include the precepts identified in the System Integrated Logistics Support (SILS) Policy Manual, COMDTINST M4105.8 (series).

5.2 Logistics Support Plan Preparation

The initial LSP is prepared during the Analyze/Select Phase for approval prior to ADE-2. The templates for both the signature page and content of the LSP are provided below in paragraphs 5.4 and 5.5.

If the system/equipment being acquired will be supported by the existing versus a modified or new logistics support infrastructure, instead of recounting the existing structure, simply reference the applicable process guide in the LSP sections/subsections.

5.3 Logistics Support Plan Approval

The LSP must go through a matrix level Concurrent Clearance review for staffing, which includes the Technical Authorities. The LSP shall be drafted, staffed, and approved prior to ADE-2.
5.4 Logistics Support Plan Approval Page Template

LOGISTICS SUPPORT PLAN (LSP)

for the

[PROJECT TITLE]

Submitted by: _______________________________ __________

Project Manager (CG-YYYY) Date

Endorsed by: _______________________________ __________

Sponsor’s Representative (CG-YYY) Date

Endorsed by: _______________________________ __________

Support Program Manager (CG-YYY) Date

Approval by: _______________________________ __________

Program Executive Officer (CG-93) or ASST COMDT for Engineering and Logistics (CG-4) Date
5.5 Logistics Support Plan Document Template

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<tr>
<th>Title/Paragraph</th>
<th>Page Number</th>
</tr>
</thead>
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<td>Executive Summary</td>
<td>ES-1</td>
</tr>
<tr>
<td>Revision Summary (if applicable)</td>
<td>RS-1</td>
</tr>
<tr>
<td>Section 1: Introduction</td>
<td>1-1</td>
</tr>
<tr>
<td><strong>Section 2: Management</strong></td>
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</tr>
<tr>
<td>2.1 Logistics Support Manager</td>
<td></td>
</tr>
<tr>
<td>2.2 Logistics Support Management Team</td>
<td></td>
</tr>
<tr>
<td><strong>Section 3: Logistic Support Concept</strong></td>
<td>3-1</td>
</tr>
<tr>
<td>3.1 General</td>
<td></td>
</tr>
<tr>
<td>3.2 Retirement and Disposal</td>
<td></td>
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<tr>
<td><strong>Section 4: Management and Planning for Supportability Elements</strong></td>
<td>4-1</td>
</tr>
<tr>
<td>4.1 Maintenance Planning</td>
<td></td>
</tr>
<tr>
<td>4.2 Manpower Personnel and Training</td>
<td></td>
</tr>
<tr>
<td>4.3 Provisioning and Technical Data</td>
<td></td>
</tr>
<tr>
<td>4.4 Facilities/Infrastructure</td>
<td></td>
</tr>
<tr>
<td>4.5 Obsolescence Management (If Applicable)</td>
<td></td>
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<tr>
<td><strong>Section 5: Management and Planning for Sustainment Elements</strong></td>
<td>5-1</td>
</tr>
<tr>
<td>5.1 Supply Support</td>
<td></td>
</tr>
<tr>
<td>5.2 Support Equipment</td>
<td></td>
</tr>
<tr>
<td>5.3 Environment, Safety and Occupational Health</td>
<td></td>
</tr>
<tr>
<td>5.4 Human Systems Integration</td>
<td></td>
</tr>
<tr>
<td>5.5 Packaging, Handling, Storage and Transportation</td>
<td></td>
</tr>
<tr>
<td>5.6 Automatic Identification Technology</td>
<td></td>
</tr>
<tr>
<td>5.7 Deployment and Fielding</td>
<td></td>
</tr>
<tr>
<td>5.8 Post Production Support</td>
<td></td>
</tr>
</tbody>
</table>
EXECUTIVE SUMMARY
The executive summary should be a brief (one page or less) discussion of the plan, highlighting the goal, projected outcome, and possible constraints/issues of the LSP.

REVISION SUMMARY (IF APPLICABLE)
The Revision Summary should provide a bulletized high-level description of major changes, including references to the changed section/paragraph.

SECTION 1: INTRODUCTION
Briefly describe the goal of the LSP, list the important topics, and summarize the current project status. This paragraph should be very brief and should not attempt to identify the entire history of the project in step-by-step or milestone fashion. It should also identify the type of system/equipment that is being acquired.

SECTION 2: MANAGEMENT
This section includes a description of the project logistic management organization and responsibilities. It should clearly show the relationship between the supportability and sustainment organization and other program management entities as well as key supporting organizations. If a contractor has been selected, it should show the corresponding contractor organizations and relationships.

2.1 Logistics Support Manager
Identify the roles and responsibilities of the Logistics Support Manager (LSM). Specifically identify the responsibility of the LSM to chair the Logistics Support Management Team.

2.2 Logistics Support Management Team
Describe the Logistics Support Management Team (LSMT), its function, and how often it meets. Identify the LSMT members/participants. Identification should be by activity/office code rather than by individual name, to reduce the frequency of change required. (The use of tables or figures is encouraged to depict the LSMT organization and membership.)

SECTION 3: LOGISTIC SUPPORT CONCEPT
This section can be tailored down by referencing any applicable process guides or manuals to limit recapping of the existing logistical support infrastructure.

3.1 General
Include a description of how a capability will be sustained. Describe the “what, when, how” of sustainment (e.g., who will maintain it, how will supply support be provided, how and when will training be provided, what facilities are required, etc). Identify the overall
logistics support concept, logistics acquisition strategy and support objectives planned for the system/platform. Identify whether the system/equipment being acquired is a totally new capability being introduced or a replacement for an existing capability. Identify whether the new system/equipment will be logistically supported by an existing support infrastructure, a modified existing support infrastructure, or a totally new support infrastructure that must be developed.

Identify any areas where contractor support is anticipated to be used in lieu of developing new infrastructure. If Performance Based Logistics (PBL) is used, it will include clearly identified metrics that are tied to the performance parameters that must be achieved by the support organization(s). If Contractor Logistics Support is used, the applicable performance metrics are to be identified in the support contract.

The LSP should identify how the logistics community will maintain awareness of the system/equipment configuration and proposed/implemented configuration changes, and how these changes impact logistics support (e.g., impacts to provisioning data, technical manuals, etc.).

### 3.2 Retirement and Disposal

Describe the conditions under which the capability will be retired from service and planned methods for disposal. Include any unique environmental and security requirements that must be considered for retiring or disposing of the capability after its useful life.

**SECTION 4: MANAGEMENT AND PLANNING FOR SUPPORTABILITY ELEMENTS**

This part of the LSP identifies the top level tailoring of the project (concepts, approach, and detailed element planning requirements).

This section can be tailored down by referencing any applicable process guides or manuals to limit reiterating existing maintenance, manpower, and training processes.

#### 4.1 Maintenance Planning

This section describes the activities and events to be conducted to achieve the maintainability goals. It also includes descriptions of warranties to be acquired, the use of any Contractor Logistics Support (CLS), Third Party Logistics provider (3PL), or Performance Based Logistics (PBL) type contracts for maintenance.

**Concept/Approach.** Identify and describe the maintenance concept(s) for the particular acquisition.

**Maintenance Types.** There are generally three types of maintenance performed on Coast Guard systems. The LSP should provide information concerning the maintenance requirements in each of the maintenance types that are applicable.

**Note:** The three types of maintenance are:

(a) **Preventive Maintenance.** Preventive maintenance consists of inspection, servicing, and time change tasks that are routinely and systematically scheduled for the purpose of preventing equipment and system failures that might diminish the operation and safety of the system/platform. The intent of preventive maintenance is to take maintenance action to minimize conditions that cause unacceptable degradation of
Appendix A to COMDTINST M5000.11A

functions prior to the occurrence of actual failure.

(b) Facility Maintenance. Facility Maintenance consists of those actions such as routine cleaning and touch-up painting of decorative coatings on cutters and equivalent actions on land-based systems. The equivalent maintenance tasks for aircraft are normally identified as either preventive or corrective maintenance.

(c) Corrective Maintenance. Corrective maintenance consists of actions that repair equipment, systems, hull, and structure that restore lost functionality or restore failure resistance following a function failure.

Maintenance Levels. The goal of maintenance planning is to provide maintenance capability for the end item system/equipment at the lowest level possible within the constraints of economics and technical feasibility, subject to any overriding operational considerations. A bi-level (organizational and depot) maintenance concept is the accepted Coast Guard practice. Identify and describe the applicable maintenance levels for the acquisition, in the terms indicated below.

(a) Organizational Level. Maintenance performed by the owner or user of the end item system/equipment is categorized as Organizational Level (O-level) maintenance. O-level maintenance is performed on the end item system/equipment, and is designed to accomplish those maintenance actions that can be accomplished in the shortest amount of time to maximize operational availability of the system/equipment. Describe the types of maintenance which will be conducted at the organizational level and by whom it will be accomplished.

(b) Depot Level. Depot level (D-level) is the higher level of maintenance capability that provides maintenance on material requiring major overhaul or a complete rebuild/remanufacture of parts, subassemblies or end item components including manufacture of parts, modification, testing and reclamation. D-level maintenance also supports lower levels of maintenance by providing technical assistance and performing complex or heavy maintenance tasks that are beyond organizational capabilities or for which extensive repair facilities and equipment are required. Identify Coast Guard, other government agency (OGA), and contractor depot level support facilities that are required. If interim contractor depot support is used, briefly describe the planned transition to the Coast Guard or OGA support, as applicable.

Miscellaneous. Identify any unique maintenance issues or planning problems (e.g., issues or planning problems new to the Coast Guard or requiring new support infrastructure establishment).

4.2 Manpower Personnel and Training

Describe manpower analysis that quantitatively and qualitatively sets manpower requirements to support the capability. Describe CG-1B3s involvement with Manpower, Personnel & Training (MPT) for this project. If a predecessor system exists, describe differences in manpower requirements.

Describe the approach for obtaining timely and effective training for operators and maintainers. Include the development of training aids, devices, and curricula. Describe who will conduct training and where it will be provided.
Appendix A to COMDTINST M5000.11A

Concept/Approach. Identify and describe any supporting analyses, crewing studies, constraints or other administrative or mission considerations for determining the system manning/crewing concept and requirements. Identify the type and number of personnel required to safely and effectively operate, maintain, and support the system. Provide an initial estimate of manpower and workload requirements. If applicable, identify the type and quantity of billets/personnel that will transition from the system/equipment being replaced versus new billets/personnel that are required, or any anticipated manpower savings to be achieved.

Give a brief description of the overall training concept for the system, platform, or equipment. Identify and briefly describe any special requirements or constraints based upon the particular maintenance, support, and manpower concepts or philosophies. Include any training constraints that may have an adverse effect on the system, platform, or equipment during its operational missions. Identify who will maintain training materials and equipment.

Identify any initial contractor training courses to be provided for operator and maintenance personnel, a schedule for these courses to be conducted, and how many students will be trained in each course. If applicable, identify any contractor technical representatives to be provided, where they will be located, when they will be in place, and the duration of service to be provided. Identify any training equipment/aids/routines that are embedded in the system/equipment, and any interactive courseware to be used. Ensure training requirements for other organizational elements directly linked to the system, platform, or equipment are identified. Make a preliminary determination on whether pipeline, mandatory pre-arrival, or unit training is required. Determine if billet specific training is necessary.

4.3 Provisioning and Technical Data

Concept/Approach. Describe the approach for development and acquisition of all required technical publications, drawings, and other technical data.

Ensure the CG obtains all Data Rights that it requires to provide life cycle support. Identify and briefly describe the requirements for scientific or technical information recorded in any form or medium (such as manuals and drawings, provisioning technical data, software documentation, etc) to support the system, and the format (electronic, hard copy, searchable text, drawings, etc) in which the information is to be provided, and the activity that is to develop and provide the information.

Identify the types of Technical Manuals (TM) and drawings required to support the system or equipment, and whether these will be developed as part of the design effort or will consist of only contractor manuals primarily for Commercial and Non-Developmental Items (CANDI).

Identify whether TMs will be provided prior to or concurrently with the delivery of the first production article. For any TMs not delivered by the time of first production article delivery, identify specific interim measures for overcoming this lack of data. Identify whether or not preliminary TMs be available for use during OT. Identify how and by whom, the TMs will be validated and verified prior to final publication.

4.4 Facilities/Infrastructure

Describe, quantitatively and qualitatively, facilities/infrastructure requirements to support the capability. Identify any funding, environmental, and space allocation constraints. If the item is replacing an existing asset, describe differences in requirements or upgrades/additions needed.
4.5 Obsolescence Management (If Applicable)

This section describes the activities and events to be conducted to achieve availability and maintainability goals related to anticipated technology changes, if any. It includes a description of the technology refreshment plans and risk mitigation associated with Diminishing Manufacturing Sources and Materiel Shortages (DMSMS).

SECTION 5: MANAGEMENT AND PLANNING FOR SUSTAINMENT ELEMENTS

This section can be tailored down by referencing any applicable process guides or manuals to limit reiterating existing supply support processes.

5.1 Supply Support

Fully describe the supply support concept. Include the provisioning process, organic or Contractor Logistics Support (CLS), Third Party Logistics provider (3PL), or Performance Based Logistics (PBL) type contracts.

Concept/Approach. Briefly describe the supply support concept for the project. Include the basis or rationale used to determine provisioning for both initial support and replenishment supply support, including the acquisition of logistics support for support and test equipment. Identify who will be responsible for providing supply support for the fielded/deployed system/equipment, and each applicable inventory control point. Include any planning actions being taken to provide warranty support or interim contractor supply support, if applicable.

Element Detail Planning. Identify and briefly describe the detailed supply support planning documentation that will be used to support the project, and how the information is to be derived. Identify what details will be provided, who will provide them and when, who will approve them, who will review and update them, how often the documentation will be reviewed, and how this information will be distributed. The information should identify what items/components/parts are to be stocked at unit level, and which ones are to be stocked centrally at each applicable inventory control point. Parts lists shall include the unit price and the total price by line item for the individual parts. The following list is not all inclusive, but should be considered in providing supply support element details, as appropriate.

   (a) Combined Allowance for Logistics and Maintenance Support.

   (b) Allowance Equipage List.

   (c) General Use Consumables List.

5.2 Support Equipment

Describe the approach for the identification, selection, development, testing, and acquisition of all required support equipment.

5.3 Environment, Safety, and Occupational Health

Describe, quantitatively and qualitatively, the Environment, Safety, and Occupation Health (ESOH) requirements to support the capability. Identify any funding or regulatory constraints. Provide a summary of requirements and actions taken/planned relative to environmental issues applicable to the acquisition and the National Environment Policy Act (NEPA) requirements/process in accordance with National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts
M16475.1 (series).

5.4 Human Systems Integration

Identify any human systems (i.e., human to machine) integration criteria and limitations that are applicable to the project and any resultant impacts (positive or negative) on supportability, safety, or occupational health.

5.5 Packaging, Handling, Storage, and Transportation

Describe, quantitatively and qualitatively, the Packaging, Handling, Storage, and Transportation (PHS&T) requirements to support the maintenance and sustainment of the capability.

**Concept/Approach.** Identify and describe any supporting analyses, the design considerations, constraints, and methods used to determine PHS&T requirements. Identify the resources, processes, and procedures to ensure that all system, equipment, and support items are preserved, packaged, handled, and transported properly. Include any applicable constraints such as reusable containers or Electro-Static Discharge/Electro-Magnetic Interference requirements identified. Include any applicable environmental considerations, hazardous material identification, equipment preservation requirements for short and long term storage, and transportability requirements. Reference any documentation that contains prescribed guidelines for packaging, handling, storage, and transportation of support items. Identify whether standard containers will be used or if special purpose containers are being procured. If reusable containers are to be used, identify what activity is responsible for storing them when not in use.

5.6 Automatic Identification Technology (If Applicable)

Describe, quantitatively and qualitatively, Automatic Identification Technology (AIT) requirements to support the maintenance, logistics support, and sustainment of the capability. Include a description of the planned usage for and type of AIT (e.g.: Radio Frequency Identification (RFID), Unique Identifier (UID)) to be employed.

5.7 Deployment and Fielding

Describe any requirements unique to deploying and fielding a capability. For example, describe interim logistics support, interim maintenance, training, site preparation, and manpower requirements for activities designed to place a capability into operation.

5.8 Post Production Support

Describe sustaining engineering requirements and activities necessary to support ongoing sustainment of the capability after production of the original acquisition has ended. The focus of this activity is to provide a plan for support once the production lines have closed and sources of supply for repair parts, spares, technical data, etc. have become either scarce or unavailable due to any number of factors such as technological obsolescence and business closures.
6.0 CONFIGURATION PLAN

6.1 Configuration Plan Purpose

The purpose of Configuration Management (CM) is to enable the orderly development of a system, subsystem, or configuration item. The Coast Guard’s CM policy is outlined in Coast Guard Configuration Management Policy, COMDTINST 4130.6 (series). The Configuration Plan (CP) identifies the tailored (CM) program that is to be implemented by the PM. It identifies the configuration items (CIs) for which CM shall be effected; the CM organization applicable to the project; how the configuration of the system or piece of equipment will be identified in terms of configuration baselines; how the configuration and any configuration changes will be controlled by a Configuration Control Board (CCB); how the configuration and changes will be documented in a Configuration Status Accounting System; and, how the configuration of the system or piece of equipment will be verified against the configuration documentation through configuration audits. The CP also includes schedule information for CM activities, and applicable metrics that will be used to assess the effectiveness of the CM program.

6.2 Configuration Plan and Configuration Control Board Charter Preparation

Prior to ADE-2, the PM shall prepare a comprehensive CP, tailored appropriately for the individual acquisition. The CCB Charter must be prepared prior to the CP to enable a reference inclusion in the CP.

The template for both the signature page and content of the CP is provided in paragraphs 6.4 and 6.5 of this Manual. A template for the CCB Charter is provided in paragraph 6.6 of this Manual.

The PM should prepare both the CP and CCB Charter in consultation with all support managers involved in the project to ensure the project CM program addresses all concerns, and CCB members are appropriately designated.

If the PM intends to use existing versus modified or new CM processes to manage the acquisition, instead of detailing the existing process, simply reference the applicable process guide in the appropriate CP sections/subsections.

6.3 Configuration Plan Approval

The CP shall be drafted, staffed, and approved prior to ADE-2.

The CCB Charter, once prepared and approved, requires no updating unless external changes are made which must be reflected. In addition, the CP should be updated only when significant changes are made to the project CM program or scheduled CM events.
6.4 Configuration Plan Approval Page Template

CONFIGURATION PLAN (CP)

for the

[PROJECT TITLE]

Submitted by: _______________________________ _________

Project Manager (CG-YYYY) ____________________________ Date

Approved by: _______________________________ _________

Program Manager/Office Chief (CG-YYY) ____________________________ Date
# 6.5 Configuration Plan Document Template

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<td></td>
</tr>
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</table>
Configuration Plan
Content Requirements

EXECUTIVE SUMMARY
The executive summary should be a brief (one page or less) discussion of the plan, highlighting the purpose, scope, and any Configuration Management (CM) constraints/issues.

REVISION SUMMARY (IF APPLICABLE)
The Revision Summary should provide a bulletized high-level description of major changes, including references to the changed section/paragraph.

SECTION 1: INTRODUCTION
1.1 Purpose
Identify the purpose of the Configuration Plan (CP).

1.2 Scope
Identify the scope of the CP and the acquisition phase(s) to which it applies.

1.3 System Description
Provide a brief description of the system or top-level configuration items.

SECTION 2: CM CONCEPT OF OPERATIONS
Provide a description of the CM goals to include the rationale for each goal, the relationship to project goals, risks associated with not meeting the CM goals, and the measurement/criteria for assessing accomplishment of the CM goals.

SECTION 3: CM ORGANIZATION
Provide a description and a graphic presentation portraying the project CM organization. Include information identifying:
The roles, responsibility, and relationships of the project CM organization, IPT/matrix structure, other functional organizations, and contractor(s), as applicable.
The PM’s responsibilities concerning CM as outlined in the PM Charter. Provide a specific reference to the Configuration Control Board (CCB) Charter, to include identification of the project Configuration Manager.

SECTION 4: DATA MANAGEMENT
Provide a discussion of the technical data concept of operation including such elements as:
Applicable data transfer, format standards, and protocols being implemented:
(a) Specific information needs,
(b) Access requirements,
Appendix A to COMDTINST M5000.11A

(c) Formats supported,
(d) Network interface parameters applicable, and
(e) Database model to be employed.

Note: This is not a discussion of how data deliverables provided by the contractor in response to contract data requirements list (CDRL) requirements in the contract will be managed.

SECTION 5: CM PROCESS

This section can be tailored down by referencing any applicable process guides or manuals to limit reiterating existing CM processes.

5.1 CM Management and Planning

Provide a description of the project’s CM process for accomplishment of the Configuration Management activities to include:

(a) Applicable Government and Government/Contractor CM actions,
(b) Selected decision criteria, and evaluation factors, where applicable,
(c) Metrics, if any, and their relation to CM goals identified in Section 2,
(d) All major CM activities to be performed throughout and in each phase of the project,
(e) Establishment of the Project CCB (append a copy of the approved CCB Charter),
(f) Approval of configuration documentation establishing the Functional, Allocated, and (when applicable) Product Baselines,
(g) Implementing the Coast Guard CM Automated Information System, and
(h) The conducting of major configuration audits.

5.2 Configuration Identification

The purpose of configuration identification is to incrementally establish and maintain a configuration baseline and the supporting, documented, technical descriptions that collectively define a Configuration Item (CI). Provide a description of the project’s CM process to effectively establish and manage the configuration baselines. Include discussions of government versus contractor actions (including when each has configuration control of the item or system); processes used to document decisions; and metrics to be used.

5.3 Configuration Control

Configuration control is the systematic proposal, justification, evaluation, coordination, and approval or disapproval of changes in configuration after configuration baseline establishment; and the implementation of all approved changes. Discuss the process that will be used to manage configuration control, including configuration change management (i.e., Engineering Change Proposals (ECPs), Request for Deviation (RFD), Specification Change Notice (SCN), Time Compliance Technical Order (TCTO), and Notice of Revision (NOR)). Include discussions of government versus contractor actions (including when each has configuration control of the item or system); processes used to document decisions; and metrics to be used.
5.4 **Configuration Status Accounting**

Configuration Status Accounting (CSA) systems record and report the information needed to manage configuration items effectively. Describe how CSA will be made available to all organizations in the project matrix/IPT to ensure all project personnel are working from a common reference point. Include discussions of government versus contractor actions; processes used to document decisions; and, metrics to be used.

5.5 **Configuration Verification and Audit**

Configuration audits validate and verify that system design and development requirements are achieved and that CIs and their identification are accurate, complete, and satisfy the approved requirements. Describe the plan for conducting the Functional Configuration Audit and Physical Configuration Audit. Include discussions of government versus contractor actions; processes used to document decisions; and metrics to be used.
MEMORANDUM

From: (Name and grade of Program Manager or Office Chief) CG-YYY

Reply to: (Code)

Attn of: (Name)

To: Distribution

Subj: (PROJECT NAME) CONFIGURATION CONTROL BOARD CHARTER

Ref: 
(a) Coast Guard Configuration Management Policy, COMDTINST 4130.6 (series)
(b) Non-Major Acquisition Process Manual, COMDTINST M5000.11 (series)
(c) PM Charter, Commandant (CG-09) Memorandum, dated XX XXX XXXX

1. Purpose. To publish the charter by which the Configuration Control Board (CCB) for the (Project Name) project will function as required by references (a) and (b). This designation is effective immediately and shall remain in effect until modified or canceled.

2. Background. The (Project Name) CCB shall provide technical and administrative direction and oversight to control the functional and physical configuration characteristics of (the asset/system name), control changes to those characteristics, and report/record change processing and implementation.

   a. Scope. The (Project Name) CCB is the decision making authority for configuration baseline approval, and final review and disposition of all Class I (affecting safety, form, fit, function, or logistics support structure) Engineering Change Proposals (except those changes affecting the Requirements Document) and all critical and major deviations. The (Project Name) CCB applies only to the (Project Name) Project. The (Project Name) PM shall establish and conduct a CM program in accordance with the requirements outlined in reference (a) and (b), tailored appropriately for the acquisition.
   b. Background. A CCB is critical to the (Project Name) acquisition to provide an orderly process for the review of potential changes which can have a significant impact to the (Project Name) in terms of cost, schedule, and performance. The CCB serves as the capstone to the configuration control process, and ensures that only necessary changes are instituted.
c. **Authority.** The *Project Name* PM is designated as the CCB Chairperson and granted the authority to approve/disapprove configuration changes in accordance with reference (c). Configuration changes to any system/equipment under configuration management/control by another activity shall not be approved without first obtaining approval of the applicable configuration management/controlling activity. The Deputy PM or project peer shall be appropriately designated by the PM as the alternate CCB Chairperson.

d. **CCB Membership.** The CCB shall consist of *(but not limited to)*:

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<tr>
<th>FUNCTIONAL AREA</th>
<th>CODE</th>
<th>RESPONSIBILITY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Manager</td>
<td>CG-YYY</td>
<td>Chairperson</td>
</tr>
<tr>
<td>Human Systems Integration (Technical Authority)</td>
<td>CG-1B3</td>
<td>Permanent Member</td>
</tr>
<tr>
<td>Sponsor Representative</td>
<td>as applicable</td>
<td>Permanent Member</td>
</tr>
<tr>
<td>Engineering (HM&amp;E, Aviation, other)</td>
<td>CG-4XX</td>
<td>Permanent Member</td>
</tr>
<tr>
<td>C4&amp;IT</td>
<td>CG-6XX</td>
<td>Ad Hoc Member</td>
</tr>
</tbody>
</table>

4. **Duties and Responsibilities.** The CCB shall carry out the duties and responsibilities identified in references (a) and (b). The main CCB function is to ensure the *Project Name* addresses, as appropriate, all aspects of configuration management in accordance with reference (a).

5. **Action.** Offices represented on the *Project Name* CCB shall designate one primary and one alternate representative. The designations shall be provided in writing to the *Project Name* PM *(Code)* no later than 30 days after this charter’s effective date. All designated *(Project Name)* CCB members shall comply with this charter.

#

Distribution: *(to include all offices/activities identified for CCB membership)*
7.0 OPERATIONAL TEST PLAN

7.1 Operational Test Plan Purpose
The Operational Test (OT) Plan provides detailed information, guidance, scheduling, and tasking for all planned OT.

7.2 Operational Test Plan Preparation
The OT Plan is prepared by the Sponsor’s Representative with the assistance of the Test Management Oversight Team (TMOT) with the PM designating personnel, if necessary. The OT Plan will follow the templates provided in paragraphs 7.4 and 7.5 of this Manual.

7.3 Operational Test Plan Approval
Following consensus through matrix level concurrent clearance, the OT Plan shall be approved by the Sponsor. An approved OT Plan is required prior to commencing OT, unless waived by the Chief Acquisition Officer, Commandant (CG-9).
7.4 Operational Test Plan Approval Page Template

OPERATIONAL TEST PLAN

for the

[PROJECT TITLE]

Submitted by: _____________________________ __________
Sponsor’s Project Representative (CG-YYYY) Date

Endorsed by: _____________________________ __________
Project Manager (CG-YYYY) Date

Endorsed by: _____________________________ __________
Program Manager/Office Chief (CG-YYY) Date

Approved by: _____________________________ __________
Sponsor’s Representative (CG-YYY) Date
## 7.5 Operational Test Plan Document Template

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<td>5.2.1 Operational Suitability Evaluation Criteria</td>
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<td>5.2.2 Operational Suitability Evaluations</td>
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<tr>
<td>B: Asset Test Procedure</td>
<td>B-1</td>
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</table>
EXECUTIVE SUMMARY

Provide an Executive Summary of the Operational Test Plan. The Executive Summary should be a brief (one or two pages) discussion of the plan, highlighting the salient points of each chapter in the plan. Be sure to include the goals of the plan and the expected outcomes and the necessary resources. Briefly discuss the roles and responsibilities of key participants, discuss the reports expected to be prepared and how these reports will support project decisions.

REVISION SUMMARY (IF APPLICABLE)

The Revision Summary should provide a bulletized high-level description of major changes, including references to the changed section/paragraph.

SECTION 1: INTRODUCTION

1.1 Background

Briefly summarize the mission of the deployed asset or system. Briefly describe the design, including key features and subsystems, describe unique characteristics of the system or unique support concepts which may result in special test and evaluation requirements. Do not repeat detailed background information included in the Project Plan, the focus should be on test and evaluation issues.

1.2 Effectiveness Requirements

List in matrix format (see below table) the minimum acceptable Effectiveness Requirements. Candidates for inclusion in the list are those included by the Sponsor in the Requirements Document as well as Standard Operating Procedures. Include and identify all Key Performance Parameters (KPP) listed in the Requirements Document.

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Operational Effectiveness</th>
<th>Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>Speed</td>
<td>Minimum Top Speed</td>
<td>25 Knots</td>
</tr>
<tr>
<td></td>
<td>Continuous Speed (Sea State 2)</td>
<td>20 Knots</td>
</tr>
<tr>
<td>Interoperability</td>
<td>Communicate with RESCUE 21</td>
<td>99.5%</td>
</tr>
<tr>
<td>Range</td>
<td>Minimum Distance Transited</td>
<td>100 NM</td>
</tr>
</tbody>
</table>

1.3 Suitability Requirements

List in a matrix format (see below table) the Suitability Requirements of the system from the Requirements Document that will be evaluated during each phase of Operational Test (OT).

For each requirement, list the appropriate technical threshold.
### Examples of Suitability Requirements

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Parameter</th>
<th>Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Operational Suitability</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reliability</td>
<td>Mean Time Between Maintenance Actions</td>
<td>1000 Hours</td>
</tr>
<tr>
<td></td>
<td>Mean Time Between Failures</td>
<td>2000 Hours</td>
</tr>
<tr>
<td></td>
<td>Mean Time Between Critical Failures</td>
<td>5000 Hours</td>
</tr>
<tr>
<td>Maintainability</td>
<td>Mean Time To Repair</td>
<td>2.5 Hours</td>
</tr>
<tr>
<td>Operational Availability</td>
<td>Percentage Of Time Available To Start Mission</td>
<td>80%</td>
</tr>
</tbody>
</table>

### SECTION 2: RESPONSIBILITIES

The following is a description of each of the primary participants in the OT process. Additional support may be provided on an as-needed basis in order to conduct specific evaluations.

#### 2.1 Project Manager

The Project Manager (PM) is responsible for execution of the project and has overall responsibility for managing the test and validation process for acceptance. Specifically, the PM shall coordinate acceptance teams and obtain test teams to validate the system against the system’s specification, including witness of tests and trials. The PM will coordinate with the Sponsor’s Representative for system delivery to a suitable OT location.

#### 2.2 Sponsor’s Representative (or designated Operational Test Authority (OTA))

The Sponsor’s Representative has overall responsibility for managing the OT process. Specifically, the Sponsor’s Representative shall coordinate OT teams and obtain test teams to evaluate the operational performance of test articles, including witness of tests. The Sponsor’s Representative will plan and conduct OT to determine if the mission requirements have been met. This includes the development of all necessary test cards, procedures and information (OT Log Book- see Appendix A) necessary to execute the Operational Testing. The Sponsor’s Representative is also responsible for defining Critical Operational Issues (COI’s), including operational functions, effectiveness and suitability requirements. The Sponsor’s representative shall prepare the OT report.

#### 2.3 Contracting Officer

The Contracting Officer is responsible for administering the contract during construction and throughout the warranty period.

#### 2.4 Unit(s) Conducting OT

Unit(s) conducting the OT are responsible for executing the operational testing as set forth by the Sponsors Representative (or designated OTA) to assess operational effectiveness and suitability of the asset. This includes following the direction set forth in the Operational Test Plan and providing input per prescribed data collection tools. The OT unit(s) shall assist the Sponsor’s Representative in the development of the OT report by providing the input.
prescribed in the OT Plan. The OT unit(s) shall follow appropriate policies to conduct testing of the system (i.e., issue interim certifications to use the system).

SECTION 3: SAFETY

Safety is paramount during OT. Under no circumstances will evaluation personnel knowingly engage in a situation that could potentially injure personnel or damage property. All evaluation personnel are responsible for ensuring that OT is conducted in a safe and prudent manner.

The OT unit shall progress through the evaluations in a logical manner, becoming comfortable with general capabilities before progressing to scenario-based mission-specific operations and then to actual operations. Prior to beginning OT, the unit shall conduct safety and risk discussions, as well as familiarization training. This training shall also be part of the operational testing discussed later.

While the system is undergoing OT, the individual Commanding Officer (CO)/Officer in Charge (OinC) will have unit command authority over the system during operations. Evaluation personnel shall notify the OT unit CO/OinC of any issues regarding safety. If the issue involves a modification to the system, the CO/OinC shall notify the Sponsor’s Representative, who will work with the Contracting Officer and the manufacturer to correct the issue.

SECTION 4 TEST PLANNING

4.1 Operational Test Planning Overview

Discuss the overall goal of the OT Program. Discuss how OT is structured to ensure that an operationally effective and operationally suitable system is delivered to the Sponsor. Provide information to show how OT will evaluate the system in the intended operational environment as realistically as possible (i.e. using operators with the experience expected for intended users, expected ranges of natural environmental conditions, and expected operational scenarios). Whenever models and simulations are to be used, explain the rationale for their credible use. This section should also identify planned sources of information (e.g., developmental testing, modeling, and simulations) that may be used by the operational testers to supplement this phase of OT.

4.2 Operational Test Plan

This section should summarize the scenarios and identify the events to be conducted.

Potentially address the following:

Configuration Description. Identify the system to be tested. Include, where applicable, the extent of integration with other systems with which it must be interoperable or compatible. Characterize the system (e.g., first article, production representative, or production configuration).

Operational Test Objectives. State the test objectives. Issues to be addressed during the OT or test phases, if more than one test event is planned.

Operational Test Events, Scope of Testing, and Scenario. Summarize the scenarios and identify the events to be conducted. Indicate the type of resources to be used, the
simulation(s) to be employed, the type of representative personnel who will operate and maintain the system, the status of logistic support, the operational and maintenance documentation that will be used, and the environment under which the system is to be employed and supported during testing. This section should also identify planned sources of information (e.g., developmental testing, modeling, and simulations) that may be used by the operational testers to supplement this phase of OT. Whenever models and simulations are to be used, explain the rationale for their credible use.

Logistics Test and Evaluation. Specifically discuss the planned logistics test, evaluation, and demonstrations that will be a part of the planned OT.

Limitations. Discuss the test limitations including the mission realism, resource availability, limited operational environments, limited support environment, maturity of tested system, safety, etc., that may impact the resolution of affected COIs. Indicate the impact of the test and evaluation limitations on the ability to resolve critical operational issues and the ability to formulate conclusions regarding operational effectiveness and operational suitability. Indicate the COI(s) affected in parentheses after each limitation.

SECTION 5 CRITICAL OPERATIONAL ISSUES

Develop Critical Operational Issues (COI’s) derived from the Sponsor’s Requirements Document. COI’s are the operational effectiveness and operational suitability issues (not characteristics, parameters, or thresholds) that must be examined in OT to evaluate the system’s capability to perform its mission.

Critical Operational Issues (COI) are typically phrased as a question that must be answered in order to properly evaluate the operational effectiveness (e.g., Will the system possess sufficient maneuverability [speed, power, and control] to operate as intended per the Sponsor’s Requirement Document?) and operational suitability (e.g., Will the system be maintainable within the planned funding base, rate structure, and expertise level at support facilities?).

Some COI’s will have required operational characteristics, parameters, thresholds, and/or evaluation criteria associated with them. Attainment of individual attributes does not necessarily guarantee that a particular COI has been resolved. The evaluators must use their collective best judgment to determine if a COI has been favorably resolved.

The list of COI’s should be thorough enough to ensure that, if every COI is resolved favorably, the system will be operationally effective and operationally suitable when employed in its intended environment by typical users. The list of COI’s will normally consist of five to ten issues and should reflect only those that are truly “critical” in nature. Thus, if a COI cannot be favorably resolved, the decision to proceed to the Produce/Deploy/Support Phase should be carefully evaluated.

5.1 Operational Effectiveness

The operational effectiveness portion of OT will be conducted at the assigned OT unit. During this evaluation, the system will operate as a unit resource of the OT unit.

During the evaluations, the system shall be operated in accordance with operational policy for the assigned mission. Operational effectiveness evaluations will focus on the basic
Appendix A to COMDTINST M5000.11A

operational capabilities of the system, and will assess how well the system meets the mission requirements contained in the requirements document or specification.

Unless otherwise specified, the evaluators shall follow appropriate operational guidance, all applicable CG and unit instructions, and the guidance from the system manufacturer through the system information books and technical manuals.

Evaluators shall use these documents and guidance to prepare operational use.

5.1.1 Operational Effectiveness Evaluation Criteria

Evaluation criteria will need to be developed. During OT, evaluators will rate each of the COI's, and provide that rating along with a narrative in the initial OT report.

For example, each Operational Effectiveness requirement could be rated using the following ratings:

**Exceeds:** The system provides the capability to perform the operation in a way that exceeds the minimum requirements.

**Meets:** The system provides the capability to fully perform the operation.

**Partially Meets:** The system is able to perform the operation, but not to the full operational limits.

**Fails to Meet:** The system is unable to perform the operation.

**Unable to Evaluate:** The operation was not able to be performed.

In determining the system’s capability, evaluators will use the baseline performance parameters where applicable.

5.1.2 Operational Effectiveness Evaluations

Identify the operational tasks that test the operational effectiveness of the system and evaluates the system’s capability to perform its mission and meet the Operational Effectiveness COIs.

5.2 Operational Suitability

The Operational Suitability evaluation will focus on Human Factors; Maintenance and Repair; Support Logistics; and Training.

Although the evaluation has been divided into these components, there will be considerable overlap and it will be difficult, if not impossible, to fully separate each component from the others and from the Operational Effectiveness evaluation. This is particularly true for Human Factors which are clearly important to the entire Operational Effectiveness evaluation and the maintenance and reliability evaluations. For this reason the Operational Suitability evaluations will draw on the feedback from the Operational Effectiveness evaluations.

5.2.1 Operational Suitability Evaluation Criteria

Suitability evaluation criteria will need to be developed. During the Operational Suitability portion of OT, evaluators will rate each of the Operational Suitability requirements, and provide that rating along with a narrative in the initial OT report.

For example, Operational Suitability requirement could be rated using the following ratings:
**Suitable:** The system fully meets the Operational Suitability requirement.

**Marginally Suitable:** The system meets the Operational Suitability requirement, in most areas, but either fails to meet in a few areas or will require special consideration or adaptation in some areas.

**Unsuitable:** The system fails to meet this Operational Suitability requirement or it is expected that the system will not meet the requirement when it is fully established.

**Unable to Evaluate:** This Operational Suitability requirement was not evaluated.

### 5.2.2 Operational Suitability Evaluations

A list of suitability factors identified by the Sponsor that tests suitability of the system and evaluates the capability to support the product and meet suitability COI’s. Operational and technical authority evaluators record the system’s suitability and rate how well the system will integrate into the existing enterprise and support structure. Potential evaluations could determine if the crews can safely and efficiently operate and maintain the system without any short or long term impacts to the crew’s health, evaluate crew ergonomics, determine impact to training system, and evaluate lifecycle maintainability and logistic support. Specifically discuss the planned logistics test, evaluation, and demonstrations that will be a part of the planned OT.

### SECTION 6: OPERATIONAL TEST REPORTS

The evaluation team will create and maintain a log book to record OT activities, provide input for engineering/configuration changes, and provide the initial OT report to the Sponsor’s Representative.

#### 6.1 OT Reporting

The report shall give a brief overview of the evaluations that were conducted during OT, and shall address the performance of the system in all observed areas. This report shall clearly indicate whether the system is considered a safe and effective platform for USCG operations. For any Operational Effectiveness COI’s rated as “Partially Meets” the report shall recommend alternate limitations for the subject area of operations.

The final OT report shall be completed by the Sponsor’s Representative with input derived from the OT and technical authority units. This report shall provide an overview of the OT process, and shall address each of the Operational Effectiveness and Operational Suitability COI’s providing an evaluation rating and a brief narrative to support the rating. Any significant issues under each COI shall be addressed in the report. For any Operational Effectiveness COI’s that are rated as “Partially Meets” the report shall recommend alternate limitations for the subject area of operations.

The final report may also include a list of recommended engineering/configuration changes to the system. The final OT Test report should be approved at the Sponsor (CG-X) level.

### SECTION 7: SCHEDULE AND RESOURCES

#### 7.1 OT Schedule

The Sponsor’s Representative (or designated OTA) will work closely with the PM to provide an OT schedule that will provide adequate time to complete the OT plan.
7.2 Test Resources

Provide a summary of all key test resources, both government and contractor, which will be used during the course of the testing. Consider discussing the following test resources in this section:

Test Articles. Identify the actual number of and timing requirements for all test articles, including key support equipment and technical information required for testing in each phase of OT. If key subsystems (components, assemblies, subassemblies, or software modules) are to be tested individually, before being tested in the final system configuration, identify each subsystem and the quantity required. Specify when prototypes, development pre-production or production models will be used.

Test Sites and Instrumentation. Identify the specific test facilities/test ranges to be used for each type of testing. Compare the requirements for test facilities/test ranges dictated by the scope and content of planned testing with existing and programmed facility/test range capability, and highlight any major shortfalls. Identify instrumentation that must be acquired specifically to conduct the planned test program.

Test Support Equipment. Identify test support equipment that must be acquired specifically to conduct the test program. Identify unique or special calibration requirements associated with any such equipment.

Threat Systems/Simulators. For those systems that have Defense Operations or Homeland Security missions, identify the type, number, and availability requirements for all threat systems/simulators. Compare the requirements for threat systems/simulators with available and projected assets and their capabilities. Highlight any major shortfalls.

Test Targets and Expendables. Identify the type, number, and availability requirements for all targets, flares, chaff, smoke generators, etc., that will be required for each phase of testing. Identify any major shortfalls.

Operational Program Test Support. For each test phase, identify the type and timing of aircraft flying hours, boat hours, and/or cutter underway days, and other critical operating program support required.

Simulations, Models, and Testbeds. For each test phase, identify the system simulations required, including computer-driven simulation models and hardware and human-in-the-loop testbeds (a system representation consisting partially of actual hardware and/or software, and partially of computer models or prototype hardware and/or software). The rationale for their credible usage or application must be explained in an approved Project Plan before their use.

Test Administrative Support. For each test phase, identify all administrative and facilities support required. Identify the organization responsible for providing such support and the source and type of funding required. Such items as office space and equipment, pier or hangar space, and maintenance services should be discussed.

Manpower and Training. Identify manpower and training requirements and limitations that affect test execution.

Technical Interfaces. Identify any technical interface areas that need to be addressed during the test program.
Appendix A to COMDTINST M5000.11A

Special Requirements. Discuss requirements for any significant non-instrumentation capabilities and resources, such as: special data processing or databases, unique mapping or charting products, extreme environmental conditions, or restricted or special use air/sea/landscapes.

Test Funding Requirements. Estimate, by Fiscal Year and appropriation type, the funding required for direct costs of planned testing, as shown in the following table. Identify any major shortfalls.

<table>
<thead>
<tr>
<th>Sample Test Funding (SK)</th>
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<tr>
<td>FY06</td>
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<tr>
<td>OT</td>
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The initial Operational Test Plan should project the key resources necessary to accomplish OT. As system acquisition progresses, test resource requirements shall be reassessed and subsequent updates shall reflect any changed system concepts or requirements.

APPENDICES:

A: OT LOG BOOK

During the OT process, evaluators shall create and maintain a log book to document the activities that take place during OT. At a minimum, the OT log book shall document the following for each time the system is used during OT:

1. Date and time of event or task
2. Component/System hours at beginning and end
3. Environmental conditions
4. Evaluations conducted
5. Comments on significant events or findings
### B: ASSET TEST PROCEDURE

<table>
<thead>
<tr>
<th>TEST TITLE:</th>
<th>PREPARED BY:</th>
<th>TEST PROC NO.</th>
<th>PROJECT</th>
</tr>
</thead>
<tbody>
<tr>
<td>EQUIPMENT/SYSTEM TESTED:</td>
<td>DATE:</td>
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</table>

**PURPOSE OF TEST:**

**REFERENCES:**

<table>
<thead>
<tr>
<th>TITLE</th>
<th>NUMBER</th>
<th>DATE</th>
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**PREREQUISITES:**

1. 

**TEST PRECAUTIONS:**

1. 
2. 

**TEST EQUIPMENT:**

<table>
<thead>
<tr>
<th>Nomenclature</th>
<th>Use</th>
<th>Model</th>
<th>Manufacturer</th>
<th>Serial #</th>
<th>Range/ Accuracy</th>
<th>Calibration Required</th>
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A-53
TEST REQUIREMENTS:

SUPPORT REQUIREMENTS:

1. Special Facilities or Test Ranges –
2. Personnel Requirements –

<table>
<thead>
<tr>
<th>TITLE</th>
<th>STATION</th>
<th>NUMBER OF PERSONNEL</th>
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3. Unusual Electrical, Hydraulic, Pneumatic requirements, etc –
4. Support Equipment Requirements –
# REVISION RECORD

<table>
<thead>
<tr>
<th>REV.</th>
<th>AFFECTED PAGES</th>
<th>DESCRIPTION</th>
<th>DATE</th>
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PROCEDURE

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9.
DATASHEET

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
<th>Data</th>
<th>Performance Criteria</th>
<th>Result</th>
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COMMENTS:

This test was conducted in accordance with this test procedure; no adjustments were made to equipment under test except as required by the test procedure; and the results of the test are as stated in this report.

________________________________________________    ___________________
Government Witness Printed Name                                                                          Date

________________________________________________
Government Witness Signature

A-58
<table>
<thead>
<tr>
<th>Contractor/Inspector Printed Name</th>
<th>Date</th>
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</thead>
<tbody>
<tr>
<td>Contractor/Inspector Signature</td>
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</tbody>
</table>
8.0 Non-Major Project Manager Charter Template

MEMORANDUM

From: First Name MI. Last Name, RADM  
Commandant (CG-9)  

Reply to:  CG-924  
Attn of:  FI. Last Name  

To: First Name MI. Last Name  
CG-XXXX  

Thru: (1) CG-X  
(2) CG-XX  

Subj: PROJECT NAME PROJECT MANAGER (PM) CHARTER  

Ref: (a) Non-Major Acquisition Process Manual, COMDTINST M5000.11 (series)  
(b) ADE-1 Memo (SSIC and date)  
(c) Certification Requirements for Acquisition Program Managers, Acquisition Workforce Policy Number: 064-04-001  

1. Purpose. You are hereby designated Project Manager for the Project Name (Project Name Acronym) Project. You shall carry out your duties as the Project Name Project Manager in compliance with reference (a). The Sponsor Representative (Sponsor Representative Office Staff Symbol) is designated the Project Sponsor for the Project Name Project, with the Sponsor Representative (Sponsor Representative Office Staff Symbol) designated as the Sponsor Representative.  

2. Project Goals. The Project Name Project [provide a brief description of the project here].  

3. Project Manager Charter.  

   a. Scope of Project. (Provide a brief description of the project scope here). The Project Name Project is a Level 3 non-major acquisition as approved by reference (b). The Project Name Project shall meet requirements established in the Requirements Document.  

   b. Your Responsibilities. Under the general direction and supervision of the Assistant Commandant for (provide title here), you shall:  

      (1) Use project management principles and associated disciplines to achieve all documented requirements to be performed within established cost and schedule parameters;
(2) Manage project resources (funds and personnel) using sound business practices and maintain a project financial plan that ensures a complete audit trail of project funds. Ensure project financial resource management is in compliance with the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series);

(3) Coordinate submission of resource proposals for the acquisition and initial sustainment of fielded end items and software;

(4) Serve as the principal source of information for internal and external inquiries and for project documentation;

(5) Develop plans, documentation, reports, and briefings identified in reference (a);

(6) Ensure that the interests of all Coast Guard Operating and Support Program Managers are addressed by the project;

(7) Acquire and field an initial sustainment support capability for the delivered Project Name asset capability;

(8) Chair the Project Name Configuration Control Board (CCB) for the duration of the acquisition in accordance with your CCB Charter. For all requirement/capability changes, the PM shall brief the Executive Oversight Council on the programmatic impact and cost of those changes. Requirements/capability changes are to be documented and approved through the requirements document revision process and;

(9) Maintain Level I DHS Project/Program Manager certification, and maintain certification by satisfying bi-annual skills currency requirements identified in reference (c).

c. Your Authority. You shall:

(1) Serve as the Approving Official with final approval authority over project funding related matters;

(2) Serve as the Approving Official and CCB Chair for proposed engineering and configuration changes (not to include changes to functional requirements);

(3) Obtain resource commitments from Operating and Support Program Managers to perform specific project tasks;

(4) Sign correspondence relating to the Project Name Project as:

   Project Manager
   Project Name Project (CG-XXXX)

d. Your Accountability. You shall be accountable to (provide name here) (CG-XX).

4. Action. You shall comply with this Charter. By copy of this Charter, all directorates are directed to take all proper actions necessary to achieve the objectives of the project.
Appendix A to COMDTINST M5000.11A

Copy: DCO, DCMS, Commandant (CG-094, CG-1, CG-4, CG-6, CG-7, CG-8, CG-9, CG-92, CG-93, CG-924)

#
9.0 Non-Major Nomination Memorandum Template

MEMORANDUM

From: **First Name MI. Last Name**, RADM CG-9

Reply to: CG-94

Attn of: **Fl Last Name**

To: **Name**, VADM DCMS

Thru: **Name**, RADM (DCO)

Subj: APPROVAL OF NON-MAJOR ACQUISITIONS

Ref: (a) Non-Major Acquisition Process (NMAP) Manual, COMDTINST M5000.11 (series)

1. The *Project Name* has been identified as a candidate for the Non-Major Acquisition Process using the guidelines of reference (a).

2. The Executive Oversight Council (EOC) was briefed on *Project Name* and recommended that it be managed as a non-major acquisition:

<table>
<thead>
<tr>
<th>Project</th>
<th>Sponsor</th>
<th>Project Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Project Name</em></td>
<td>Name, Rank, Code</td>
<td>Name, Rank, Code ¹</td>
</tr>
</tbody>
</table>

Note (1): Non-major acquisition PMs shall be at least DHS Level I certified and chartered by Commandant (CG-9).

3. Request your approval/disapproval for *Project Name*. Your approval constitutes Acquisition Decision Event-1 (ADE-1) approval to enter the *PHASE NAME* phase of the Non-Major Acquisition Process.

<table>
<thead>
<tr>
<th>Project</th>
<th>Approve</th>
<th>Disapprove</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Project Name</em></td>
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</table>
### Distribution:

<table>
<thead>
<tr>
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<tr>
<td>VCG</td>
<td>CG-1</td>
<td>CG-1B3</td>
</tr>
<tr>
<td>CG-4</td>
<td>CG-44</td>
<td>CG-45</td>
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<td>CG-6</td>
<td>CG-64</td>
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<td>CG-9</td>
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<td>CG-92</td>
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<tr>
<td>CG-094</td>
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</table>
PART II. BRIEFINGS

Non-major acquisitions will have to support Acquisition Decision Event (ADE) briefs and Annual Project Reviews, as required. The requirements, structure, and contents for these briefings are similar to Major Acquisitions, and are found in PART II of the Major Systems Acquisition Manual (MSAM), COMDTINST M5000.10 (series). Deviations are authorized when, in the PM’s judgment, a deviation is needed to better explain and present key issues.

1.0 Briefing Template

Briefing slides for Non-Major Acquisitions should be tailored to cover the following general topics:

(a) Acquisition Decision Requested,
(b) Need for Asset,
(c) Non-Major Program Documentation,
(d) Project Status,
(e) Acquisition Strategy (ADE-2 only),
(f) Project Schedule,
(g) Cost, Schedule, and Performance Baseline,
(h) Budget and Funding Status,
(i) Logistics Status
(j) Proposed Exit Criteria,
(k) Issues/Concerns, and
(l) Conclusion.