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COMDTINST 4081.3  
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COMMANDANT INSTRUCTION 4081.3

Subj: COAST GUARD LOGISTICS READINESS REVIEW (LRR)

- Ref: (a) Major Systems Acquisition Manual (MSAM), COMDTINST M5000.10 (series)  
 (b) Non-Major Acquisition Process (NMAP), COMDTINST 5000.11 (series)  
 (c) System Integrated Logistics Support Command (SILS) Policy Manual, COMDTINST M4105.8 (series)  
 (d) Department of Homeland Security (DHS) Acquisition Directive 102-01 (series)

- PURPOSE. This Instruction provides Coast Guard (CG) policy on logistics readiness reviews (LRRs). LRRs formally evaluate the execution of logistics plans that support CG systems (e.g., aircraft, vessels, and electronic equipment). This Instruction identifies the reason for conducting an LRR, the decisions an LRR supports, when to conduct an LRR, what an LRR evaluates, and LRR organizational responsibilities.
- ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Instruction. Internet release is authorized.
- DIRECTIVES AFFECTED. None.
- ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATION. Environmental considerations under the National Environmental Policy Act (NEPA) were examined in the development of this Instruction. This Instruction includes preparation of guidance documents that implement, without substantive change, the applicable Commandant Instruction or other Federal agency regulations, procedures, manuals, and other guidance documents. It is categorically excluded from further NEPA analysis and documentation requirements under Categorical Exclusion (33) as published in COMDTINST M16475.1D, Figure 2-1. An Environmental Checklist and Categorical Exclusion Determination (CED) are not required.

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5. **BACKGROUND.** The CG operates numerous systems, including aircraft, cutters, and electronic equipment that require integrated logistics support planning. Integrated logistics support planning focuses the efforts of multiple support organizations, and varied functional areas (such as design interface, maintenance planning, supply support, environmental issues, personnel training and systems engineering) into multiple acquisition logistics plans. Thorough execution of well-written acquisition and sustainment logistics plans should produce the support a system needs for mission success. LRRs check the implementation and execution of logistics plans to ensure the CG properly supports the systems it deploys in the field. These reviews also check the plans, the processes that produce and execute the plans, and the policies governing the plans to ensure the logistics system will consistently provide high quality support. The CG uses LRR findings to initiate corrective actions to address deficiencies. LRRs check the implementation of a system’s acquisition stage logistics plans. Figure 1 displays the three lifecycle stages of a CG system.

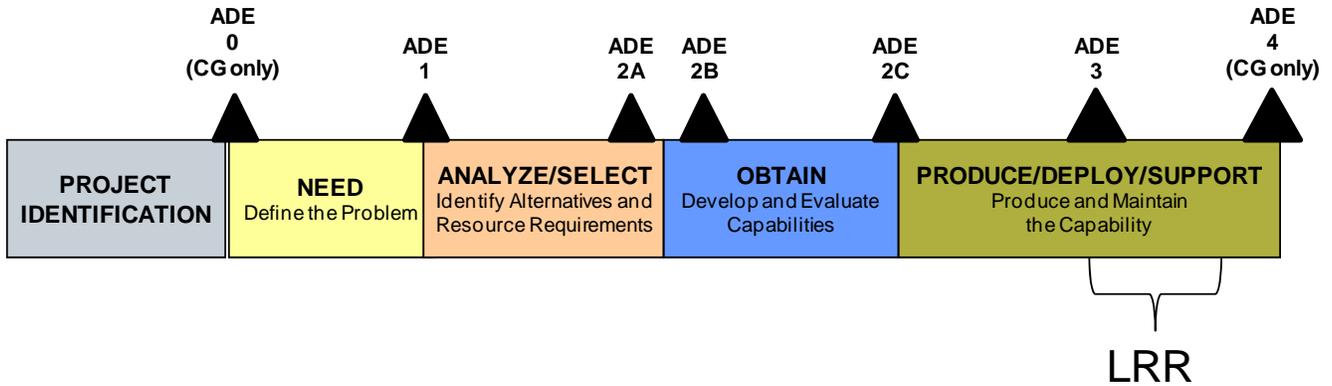


**Figure 1: Three Stages of a Coast Guard System’s Lifecycle**

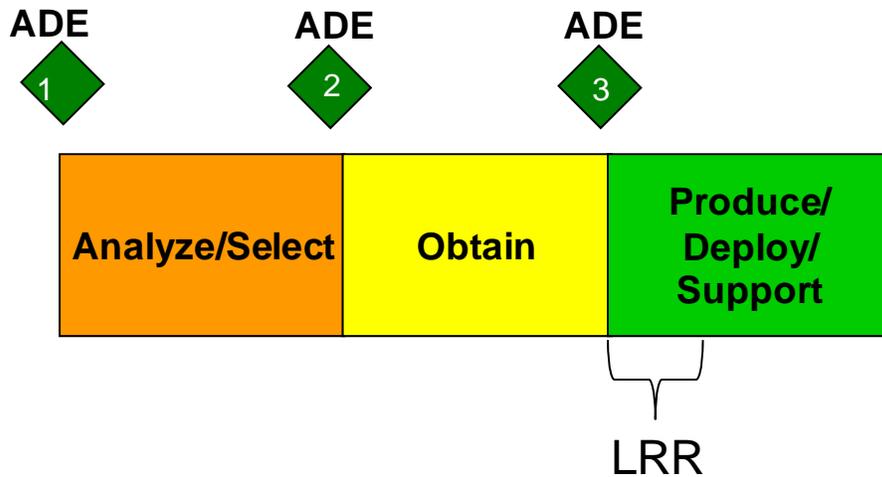
6. **POLICY.**

- a. **LRR Purpose.** The CG performs logistics readiness reviews to ensure deployed systems will receive proper logistics support. An LRR is not an assessment of an individual’s performance. Both major systems acquisition projects and non-major acquisition projects require an LRR. Commandant (CG-441) will conduct an LRR for non-major acquisitions at its discretion. Depending on the complexity of a non-major acquisition, Commandant (CG-441) will modify checklists to reflect the scope of a non-major project.
- b. **Decisions an LRR Supports.** LRR results provide decision makers with information about the adequacy of logistics support during the acquisition stage of a system’s life cycle by answering the following questions:
  - (1) Is the execution of logistics plans and resource documents adequate?
  - (2) Are logistics plans and resource documents adequate?
  - (3) Are the processes that produce and execute logistics plans and resource documents adequate?
  - (4) Are the policies governing processes that produce and execute logistics plans and resource documents adequate?
- c. **When to conduct an LRR.** An LRR provides information to CG executives who are responsible for providing logistics support to newly deployed systems. To provide this information, the CG will conduct LRRs as follows:
  - (1) All systems that will require life cycle support from the CG support system are required to have an LRR. An LRR must occur before a system enters its sustainment phase or shortly thereafter. The Project Manager, ILS Manager, and ILA-LRR Program Administrator should make every effort to assess the system as close as possible to Initial Operating

Capability (IOC) to ensure logistics support. The LRR should occur normally no earlier than 6-months or later than 1-month before delivery of the first full production unit. The CG accepts full production units in the Produce/Deploy/Support phases of the major and non-major system acquisition processes. Figure 2 shows the five phases of the major system acquisition process and the associated acquisition decision events. Reference (a) provides detailed guidance on the major systems acquisition process. Figure 3 shows the three phases of the non-major system acquisition process and the associated acquisition decision events. Reference (b) provides guidance for non-major acquisitions.



**Figure 2: Major Systems Acquisition Process**



**Figure 3: Non-Major Acquisition Process**

- (2) Major system acquisition and non-major acquisition project managers can request a waiver from the requirement to conduct LRR's required by this instruction. Project managers desiring a waiver shall submit their request in writing. The request shall identify why the project manager believes it would be appropriate to waive the LRR. Project managers shall route waiver requests as described below:

- (a) For waivers that would cause a project to be non-compliant with reference (d) policy on independent supportability and sustainment assessments the project manager shall address the request to the CG Component Acquisition Executive (CAE). The project manager shall route the request to the CAE via the project manager's chain of command. The project manager shall send a copy of the request to the LRR program administrator and to all CG technical authorities.
  - (b) For waivers that will not result in failure to comply with reference (d) policy the project manager shall route the request to the Deputy Commandant for Mission Support (DCMS) or as delegated by DCMS. The project manager shall route the request via the chain of command and send a copy to the LRR program administrator and to all CG technical authorities.
- d. What an LRR must evaluate. Each LRR will evaluate all relevant plans, resource documents, processes, and policies. The LRR will evaluate the acquisition logistics plans and resource documents and their execution. Evaluating execution may require visits to field units to verify such areas as crew training, spare parts, support equipment, etc. An LRR will also evaluate applicable DCMS, FORCECOM, LANTAREA, Commandant (CG-9), Commandant (CG-1), Commandant (CG-4), Commandant (CG-6), Commandant (CG-8), and Commandant (CG-7) policies and processes.
- (1) Logistics plan and resource document execution. An LRR must evaluate how the CG is executing or preparing to execute its logistics plans, including environmental issues, and resource documents. The LRR also reviews implementation of plans for environmental safety and occupational health (ESOH) and hazardous material notification requirements. In addition the LRR will check to see if the requirements contained in the project documents for the National Environment Policy Act (NEPA) and the Policy Environmental, Safety and Occupational Health (PESHE) requirements have been implemented. The execution is checked to determine if it complies with the projects' plans and documents and is producing, or will produce, adequate support to systems in the field.
  - (2) Logistics plans and resource documents. An LRR must evaluate a system's logistics plans and resource documents for the following:
    - (a) Compliance with applicable policy documents (e.g., Reference (a)).
    - (b) Fitness for use. The people who execute logistics plans must be able to understand and execute them. The plans must be consistent with one another. For example, direction provided in a project management plan must be consistent with direction provided in the integrated logistics support plan.
  - (3) Processes. An LRR must evaluate the processes used to produce and execute logistics plans and resource documents for:
    - (a) compliance with applicable policy and
    - (b) fitness for use.
  - (4) Policies. An LRR must evaluate the policies governing production and execution of logistics plans and resource documents. An LRR will evaluate policies for their fitness for use.

- e. Administration of the LRR Program. The LRR program administrator performs the following actions:
- (1) Creating and maintaining the LRR schedule. The LRR program administrator, with input from organizations responsible for submitting the LRR schedule information shall produce an LRR schedule. The purpose of the schedule is to identify LRR resource requirements. The roles and responsibilities for producing the LRR schedule are as follows:
    - (a) The organizations responsible for submitting LRR schedule information shall provide their input to the LRR program administrator by 1 August of each year. Each organization responsible for submitting LRR schedule information shall identify all LRRs it will require during the next two fiscal years. For each planned LRR, the organization responsible for submitting the LRR schedule information will identify the:
      1. acquisition project,
      2. first full production system delivery date (month and year), and
      3. date (month and year) the project will be ready for the LRR.
    - (b) The LRR program administrator shall produce and distribute a 2-year LRR schedule by 1 September of each year. The schedule will identify:
      1. each planned LRR,
      2. month and year when the LRR will commence, and
      3. LRR resource requirements. The resource requirements will identify the type and quantity of the resource required (e.g., funding or an LRR team member). It will also identify the organization responsible for providing that resource.
    - (c) Organizations responsible to provide LRR resources shall provide the funding or personnel identified in the LRR schedule.
  - (2) Assigning qualified personnel to LRR teams. The LRR program administrator shall ensure LRR teams and their members satisfy the following requirements and qualifications:
    - (a) LRR team requirements
      1. Each LRR team must have a team leader.
      2. Each team must be composed of two to six members.
      3. For each logistics element (functional area) assessed, the team must have at least one member with knowledge of the element. Reference (c), provides background on CG logistics elements.
      4. At least one team member must have knowledge of the major system or non-major system acquisition process (as applicable to the system the LRR is checking).
    - (b) LRR team member qualifications
      1. The team leader must have prior assessment experience.
      2. The team leader, or at least one team member, must have knowledge of the acquisition process (major or non-major system) Commandant (CG-9) is using for LRRs conducted during the system's acquisition stage.
      3. Every member of the LRR team including the team leader must have work experience related to a logistics element (mission support).

4. The team leader and all team members must be independent of the project acquiring the system.
- (3) Issuing and Maintaining an LRR process guide. The LRR program administrator shall issue and maintain an LRR process guide. The process guide will implement the policies in this Instruction. It will also outline the steps a team shall follow when it conducts an LRR. At a minimum, the process guide must provide direction in the following areas:
- (a) How to initiate the execution of an LRR. Major and non-major system project managers have the authority to initiate LRRs listed in the LRR schedule. Major and non-major system project managers must request LRRs in time to ensure they are complete before the delivery of the first full production system.
  - (b) The contents of an LRR plan. Before executing an LRR, each LRR team must prepare a plan outlining how they will conduct the LRR.
  - (c) Data gathering tools and checklists.
  - (d) Kickoff meetings and status update meetings.
  - (e) LRR findings
    1. Each LRR must provide no more than six findings related to the execution of logistics plans and resource documents.
    2. Each LRR must provide no more than six findings related to the content of applicable logistics plans and resource documents, and the processes and policies that governed production and execution of the logistics plans and resource documents.
    3. At least one fact must support each LRR finding, and each finding must be worthy of corrective action. The process guide must define what constitutes a fact and provide direction for which situations are worthy of corrective action.
  - (f) LRR reporting. Each LRR team must provide an out brief to stakeholders. The LRR team shall identify all LRR findings at the out brief.
  - (g) Produce a written report. The only findings in the report will be those the LRR team identified in the out brief. The following restrictive legend must appear at the top of the first page of the written report and on all other pages in the report.

NOTICE OF DHS MANAGEMENT RESTRICTIVE LEGEND: INTERNAL USE ONLY. BY USING THE CONTENTS OF THIS RECORD YOU ACCEPT THESE TERMS AND AGREE NOT TO REMOVE THE RESTRICTIVE LEGEND FROM THE RECORD. DO NOT FURTHER RELEASE OUTSIDE OF THE DEPARTMENT OF HOMELAND SECURITY. THIS RECORD RELATES TO PROCUREMENT SENSITIVE INFORMATION. IT MAY BE EITHER AN ATTORNEY CLIENT PRIVILEGED INFORMATION RECORD OR EXEMPT FROM RELEASE TO THE PUBLIC UNDER THE FREEDOM OF INFORMATION ACT, UNDER 5 U.S.C. SEC. 552. IT MAY CONTAIN CONFIDENTIAL ATTORNEY-CLIENT COMMUNICATIONS RELATING TO A LEGAL MATTER FOR WHICH THE CLIENT HAS SOUGHT PROFESSIONAL ADVICE OR IT IS A PREDECISIONAL MANAGEMENT INFORMATION RECORD. IN ADDITION,

FAR PART 15.609 RESTRICTIONS MAY ALSO BE VIOLATED IF RELEASED OUTSIDE THE AGENCY.

- (4) Monitoring the status of corrective action. The LRR program administrator is responsible for establishing and implementing an LRR corrective action monitoring system. The LRR program administrator shall provide detailed implementation instructions in the LRR process guide. The process guide must provide direction in the following areas:
- (a) For each LRR finding, the LRR program administrator shall assign corrective action responsibility to an appropriate organization. In the event multiple organizations share responsibility, the LRR program administrator shall assign responsibility to one organization to lead the corrective action effort.
  - (b) The LRR program administrator shall provide a copy of the LRR written report to each organization responsible for taking or leading a corrective action.
  - (c) Within 30 days of receipt of the LRR written report, each organization responsible for taking or leading corrective action shall provide the LRR program administrator a corrective action plan. The corrective action plan must identify the intended actions and the associated schedule.
  - (d) The organization taking corrective action shall submit quarterly status reports to the LRR program administrator. Corrective action reports are required until the responsible organization fully implements the corrective action (e.g., revised plan or policy is approved and signed) and the LRR program administrator closes the finding. Quarterly status reports are due to the LRR program administrator by 1 October, 1 January, 1 April, and 1 July of each year.
  - (e) The LRR program administrator shall maintain a list of outstanding LRR findings. The LRR program administrator shall submit consolidated quarterly reports to the DCMS on the status of all outstanding LRR findings and corrective actions. The LRR program administrator shall submit the reports to the DCMS by 1 November, 1 February, 1 May, and 1 August of each year.

7. RESPONSIBILITIES.

- a. The Assistant Commandant for Acquisition and Component Acquisition Executive shall act upon LRR waiver requests for waivers that would result in non-compliance with DHS policy.
- b. The Deputy Commandant for Mission Support (DCMS) shall:
  - (1) review quarterly reports on outstanding LRR findings and corrective actions;
  - (2) act upon LRR waiver requests when the waiver would not cause a project to fall out of compliance with DHS policy (reference (d)).
- c. Assistant Commandant for Human Resources, Commandant (CG-1) shall:
  - (1) provide personnel for LRR teams as identified in the LRR schedule;
  - (2) submit corrective action plans to the LRR program administrator for each assigned corrective action;
  - (3) submit quarterly corrective action status reports to the LRR program administrator prior to 1 October, 1 January, 1 April, and 1 July of each year.

- d. Assistant Commandant for Engineering and Logistics, Commandant (CG-4) shall:
    - (1) provide personnel for LRR teams as identified in the LRR schedule;
    - (2) submit corrective action plans to the LRR program administrator for each assigned corrective action;
    - (3) submit quarterly corrective action status reports to the LRR program administrator prior to 1 October, 1 January, 1 April, and 1 July of each year.
  - e. Assistant Commandant for Command, Control, Communications, Computers and Information Technology, Commandant (CG-6) shall:
    - (1) provide personnel for LRR teams as identified in the LRR schedule;
    - (2) submit corrective action plans to the LRR program administrator for each assigned corrective action;
    - (3) submit quarterly corrective action status reports to the LRR program administrator prior to 1 October, 1 January, 1 April, and 1 July of each year.
  - f. Assistant Commandant for Engineering and Logistics, Office of Logistics, Logistics Program Management Division, Commandant (CG-441) shall serve as the LRR program administrator.
  - g. Assistant Commandant for Acquisition, Director of Acquisition Programs, Commandant (CG-93) shall submit LRR schedule input to the LRR program administrator prior to 1 August of each year.
  - h. Major and non-major acquisition project managers shall:
    - (1) initiate LRRs in accordance with this Instruction;
    - (2) provide funding for LRRs in accordance with the LRR schedule;
    - (3) follow the requirements in this Instruction when submitting LRR waiver requests.
  - i. LRR teams shall execute their LRR in accordance with this Instruction and the LRR process guide.
8. FORMS/REPORTS. None.

T. P. OSTEBO /s/  
Rear Admiral, U.S. Coast Guard  
Assistant Commandant for Engineering and Logistics