



# Acquisition Directorate

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## Non-Major Acquisition Process (NMAP) Manual

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COMMANDANT INSTRUCTION M5000.11B

Subj: NON-MAJOR ACQUISITION PROCESS (NMAP) MANUAL

- Ref:
- (a) Major System Acquisition Manual (MSAM), COMDTINST M5000.10 (series)
  - (b) Acquisition Management Directive, DHS 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) Coast Guard Configuration Management Manual, COMDTINST 4130.6 (series)
  - (g) Command, Control, Communications, Computers and Information Technology (C4&IT) Systems Development Life Cycle (SDLC) Policy, COMDTINST 5230.66 (series)
  - (h) Command, Control, Communications, Computers and Information Technology (C4&IT) Configuration Management (CM) 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 visibility, 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 (h). Exclusions: this Manual provides acquisition procedures for projects other than facilities/construction and service contracts.

DISTRIBUTION – SDL No. 162

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NON-STANDARD DISTRIBUTION

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. **DISCLAIMER:** This guidance is not a substitute for applicable legal requirements, nor is it itself a legal 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.
4. **DIRECTIVES AFFECTED.** The Non-Major Acquisition Process Instruction Manual, COMDTINST 5000.11A is cancelled.
5. **RECORDS MANAGEMENT CONSIDERATIONS.** This Manual has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., NARA requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.
6. **ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.** Environmental considerations under the National Environmental Policy Act of 1969 (NEPA) were examined in the development of this Manual.
  - a. The development of this Manual and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG CE # 33 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Manual contains guidance on, and provisions for, compliance with applicable environmental mandates, Coast Guard categorical exclusion #33 is appropriate.
  - b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this Manual must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates. Due to the administrative and procedural nature of this Manual, and the environmental guidance provided within it for compliance with all applicable environmental laws prior to promulgating any directive, all applicable environmental considerations are addressed appropriately in this Manual.

7. FORMS/REPORTS. The forms referenced in this Manual are available in USCG Electronic Forms on the Standard Workstation or on the Internet: <http://www.uscg.mil/directives/>; <https://cgportal2.uscg.mil/library/forms/SitePages/Home.aspx>; and Intranet at <http://cgweb.comdt.uscg.mil/CGForms>.

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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 Manual:

- a. Defines Non-Major Acquisitions.
- b. Establishes criteria for selection and designation of planned procurements as Non-Major Acquisitions.
- c. Provides a disciplined process for oversight and management of Non-Major Acquisitions.
- d. Establishes the documentation requirements for Non-Major Acquisitions.
- e. Defines the applicability of the Systems Engineering Life Cycle (SEL) process to Non-Major Acquisitions (Non-Information Technology (IT) only). This instruction establishes the governance process for Non-Major IT projects. Reference (g) provides the SLDC (Systems Development Life Cycle) policy for Non-Major C4&IT projects for Systems Engineering.
- f. Establishes the roles and responsibilities of Coast Guard organizations with respect to Non-Major Acquisitions.

### 2. NON-MAJOR ACQUISITION DEFINED.

- a. 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. This cost assessment is initially based on a documented rough order of magnitude Life Cycle Cost Estimate (LCCE) that includes all estimated costs from inception through disposal. 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 applicable to non-major acquisitions/procurements for Hull, Mechanical and Electrical (H, M&E) and Command, Control, Computers, Communications and Information Technology (C4&IT). The processes and requirements identified in this manual are not applicable to facilities/construction and service contracts.

**Note:** Sponsors and project managers shall consult Commandant (CG-1B3) Human Systems Integration for Acquisitions when considering procurement or acquisition of any system with known safety concerns, high risk, or requires significant systems integration or high performance parameters, regardless of whether the system is Commercial Off the Shelf (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) or Commandant (CG-66), 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.
  2. High executive-level visibility.
  3. Has a significant program, project or policy implication.
  4. Other reasons, as determined by the USCG Chief Acquisition Officer (CAO/CG-9) or Assistant Commandant for C4&IT (CG-6).

**Note:** New projects seeking Acquisition, Construction and Improvement (AC&I) funding with inclusion in the Capital Investment Plan should follow the reference (a) Acquisition Decision Event (ADE-0) process to support a budgetary decision. Expected outcomes of ADE-0 include confirmation of necessary resources through budget decision and direction to prepare a Resource Proposal (RP). After ADE-0, if the preliminary Life Cycle Cost Estimate is <\$300M, the sponsoring office may then pursue Non-Major Acquisition selection at ADE-1 in accordance with this Manual.

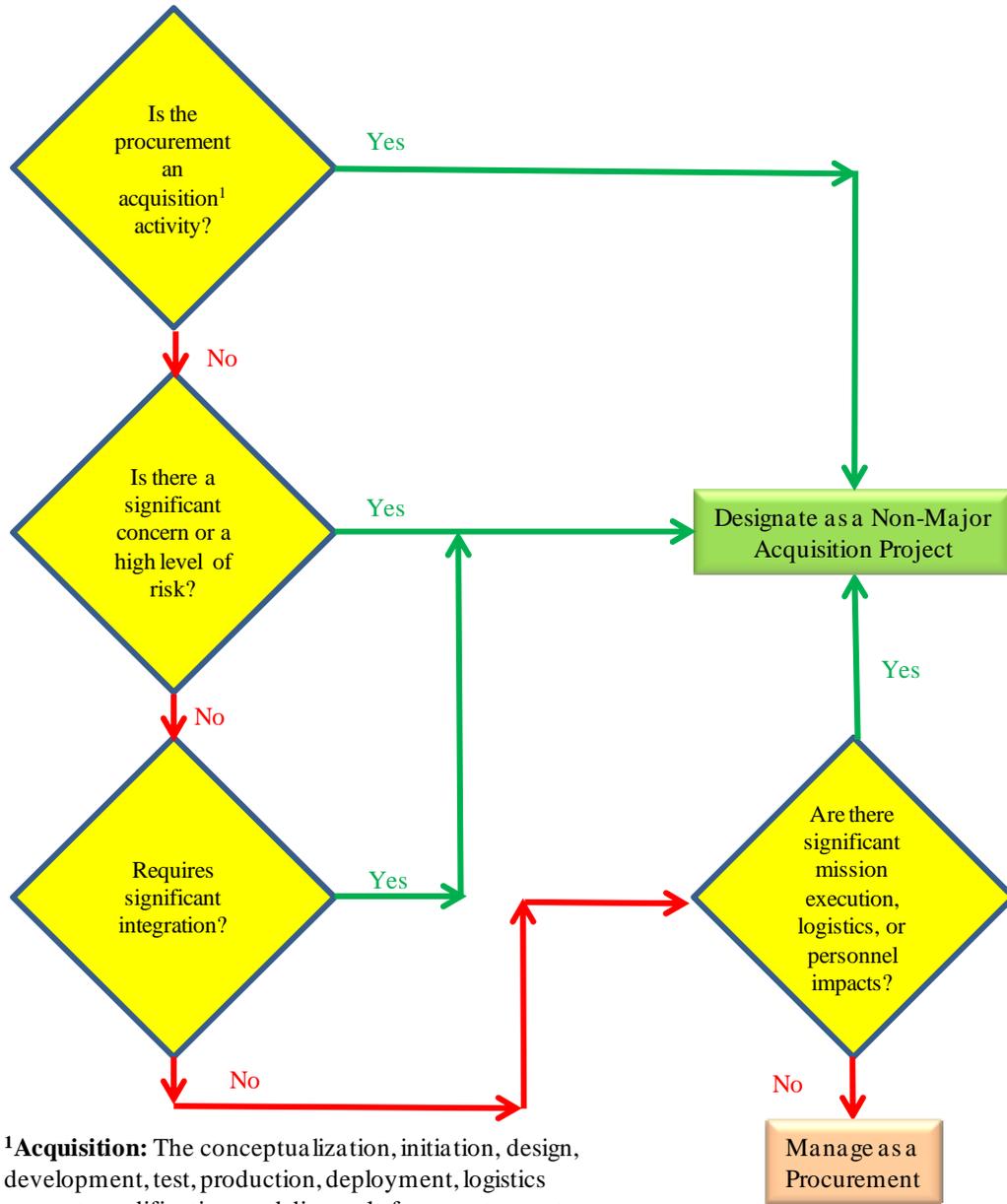
### **3. NON-MAJOR ACQUISITION SELECTION AND DESIGNATION PROCESS.**

- a. Non-Major Acquisition Selection.

Commandant (CG-924) for Non-IT and Commandant (CG-66) for IT 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. After consultation with the sponsoring office, these potential Non-Major Acquisition projects will be presented to the Commandant (CG-9) for Non-IT and Commandant (CG-6) for IT (rotating chair) Executive Oversight Council (EOC) through CG-924 coordination. The sponsoring office may also present a project that is not on the DHS APFS to the EOC (prior review and concurrence by the applicable Cutter, Boat or Aviation, or C4&IT Resource Council is recommended). This process is initiated with the Mission Need Memorandum. The EOC shall review these planned procurements, anticipated to cost less

than \$300M life cycle cost, 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 follows the guidelines and process outlined in **Figure 1: Non-Major Acquisition Selection Process**, in identifying procurements to recommend for designation.



**Figure 1: Non-Major Acquisition Selection Process**

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 recommends and DCMS 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.

#### 4. OVERSIGHT OF NON-MAJOR ACQUISITIONS

Non-Major Acquisitions shall 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) for non-IT or Commandant (CG-6) for IT is the DA for ADE-2 and ADE-3.

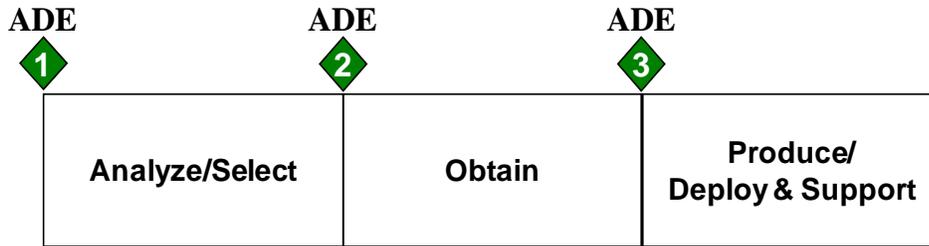
- a. ADE-1 occurs when DCMS designates a planned procurement as a Non-Major Acquisition.
- b. ADE-2 approves the acquisition's proposed alternative and authorizes the acquisition to acquire the initial asset or system for testing.
- c. ADE-3 approves full production, deployment and fielding of the acquisition.

#### 5. MANAGEMENT OF NON-MAJOR ACQUISITIONS

Non-Major Acquisitions use 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. The Contracting Officer has the authority to terminate individual contracts.

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



**Figure 2: Non-Major Acquisition Decision Events and Phases**

Following ADE-1 approval, Commandant (CG-9) or Commandant (CG-6) will charter a properly certified Project Manager (PM) for all designated Non-Major Acquisitions. Commandant (CG-924) or Commandant (CG-66) will draft the PM Charter based on the template provided in the Appendix of this Manual.

- 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.
Establish a Project IPT (if applicable).
Conduct market research to identify available alternatives.
Develop a Life Cycle Cost Estimate.
Prepare or update Resource Proposals (in conjunction with servicing Resource Office) to support the project as a line item in the Coast Guard’s budget requests.
Prepare Office of Management and Budget (OMB) Exhibit-300 Business Case (If applicable).
Assess overall affordability.
Prepare Obligation Plan (in conjunction with servicing Resource Office).
Develop Obtain Phase Exit Criteria.
Sponsor’s/Sponsor’s Representative Activities
Work with the RDT&E Program to plan Technology Demonstrators to aid in requirements development, if applicable.
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 charter Configuration Control Board (CCB).
Identify Human Systems Integration issues.
Identify any Safety and Environmental Health issues.
Obtain Human Systems Integration checklist from CG-1B3.

Systems Engineering Activities
Provide input for the system engineering approach of the Project Plan.

Logistics Management Activities
Establish support concept.
Develop initial support strategy.
Establish maintenance concept.
Prepare the Logistics Support Plan.
Determine staffing and performance support and training requirements.
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 to meet system needs to operate, maintain, support and instruct the system.

- 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. If applicable, the requirement for Low Rate Initial Production 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:

Project Management Activities
Establish contract administration procedures, process and organization with the Contracting Officer.
Obtain Frequency Assignments Authorization (IT only)/Frequency Spectrum Certification (coordination with Commandant (CG-6) required) (if applicable).
Document completion of Critical Design Review (CDR) (if applicable).
Document completion of Operational Test Readiness Review (OTRR) (if applicable).
Coordinate with the Sponsor to initiate deployment planning.
Document completion of Production Readiness Review (PRR) (if applicable).
Assist and support the development of the sustainment Resource Proposal.
Prepare a Project Management Data Sheet (PMDS) (asset capitalization) in accordance with the Financial Resource Management Manual (CIM 7100.3 series).
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).
Develop Produce/Deploy and Support Phase Exit Criteria.

Sponsor's/Sponsor's Representative Activities
Update the sustainment Resource Proposal (RP) (in conjunction with Commandant (CG-8)).
Initiate deployment planning.

### Systems Engineering Activities

Evaluate whether the proposed solution can effectively meet the functional requirements.
Evaluate Human factors effectiveness.
Conduct Critical Design Review (if applicable).
Validate, mitigate or assign residual risk for Environmental, Safety, and Occupation Health (ESOH) issues.
Analyze capability design documentation, user manuals, capability specifications, and other documentation to determine the degree the capability performs its intended purpose.
Address Human Systems Integration issues and validate Human Systems Integration requirements meet system needs to operate.
Conduct Usability Testing.
Conduct Production Readiness Review (if applicable).
Conduct Operational Test Readiness Review (if applicable).
Complete production design specifications (if applicable).
Implement project configuration management program.
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.
Ensure that the Configuration Status Accounting database is current and configuration control is being exercised effectively.
Monitor implementation of approved configuration changes.
Accomplish Functional Configuration Audit.

### 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.
Implement Intergrated Logistics Support for Operational Test.
Conduct Independent Logistics Assessment (see reference c).

### Test and Evaluation Activities

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

- 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).*

\*The PRTM documents the project closeout and transition to sustainment. This memorandum transfers all responsibilities for the assets from the PM to the applicable operations and support programs (Template included in Appendix A).

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.
Design, develop, and implement performance support and training sustainment solutions.

Logistics Management Activities
Ensure that all logistics support is in place.
Monitor continued availability of materials and manufacturing sources.
Package and distribute all technical data to each unit and logistics 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**

(X indicates initial document preparation)

Document	ADE-1	ADE-2	ADE-3	Prepare	Approve
Mission Need Memorandum	X			Sponsor's Representative	Sponsor
Non-Major Acquisition Designation <sup>1</sup>	X			CG-924/CG-66	DCMS
Project Manager Charter	X			CG-924/CG-66	CG-9/CG-6
Acquisition Plan		X		PM/Contracting Officer	HCA <sup>2</sup>
Requirements Document		X		Sponsor's Representative	Sponsor
Project Plan <sup>3</sup>		X		PM	CG-9/CG-6
Logistics Support Plan		X		PM	CG-93/CG-4/ CG-6 <sup>4</sup>
Configuration Plan		X		PM	PgM <sup>5</sup>
Configuration Control Board Charter		X		PM	PgM <sup>5</sup>
Developmental Test Plan			X	PM	PgM <sup>5</sup>
Operational Test Plan			X	Sponsor's Representative	Sponsor
Operational Test Report			X	Sponsor's Representative	Sponsor

<sup>1</sup> Enclose Mission Need Memorandum as per template in Appendix A of this Manual (The Mission Need memorandum also serves as the sponsors request for a potential Non-Major project).

<sup>2</sup> HCA: Head of Contracting Activity.

<sup>3</sup> The Project Plan includes: Acquisition Baseline (Key Cost/Schedule/Performance Parameters); Acquisition Strategy; Life Cycle Cost Estimate; Master Test Plan; Systems Engineering Life Cycle (SEL) Tailoring (or SDLC Tailoring for IT), Project Schedule. The Project Plan for IT is approved by CG-6.

<sup>4</sup> Commandant (CG-93) will approve Logistics Support Plans for Commandant (CG-93) managed projects. Commandant (CG-4) or Commandant (CG-6) will approve Logistics Support Plans for projects managed outside of Commandant (CG-9) (Document approvers must ensure that Commandant (CG-1) concurs with sections related to logistics elements under its Technical Authority).

<sup>5</sup> Program Manager for Commandant (CG-9) managed projects. Office Chief for projects managed outside of Commandant (CG-9).

### Notes:

- Acquisition 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) and Commandant (CG-66) to obtain consensus on documentation requirements.
- Initially, Level 3 Non-Major Acquisitions are determined by the USCG, but must be verified with DHS at ADE-2. Informational copies of project documentation (Mission Need memorandum, Requirements Document and Project Plan) will be provided to DHS by Commandant (CG-924) or Commandant (CG-66) per DHS Instruction 102-01-001.
- Guidance for contracting actions/events completed during NMAP Phases is listed in Appendix A, page A-3, Table A-2.

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**

**Note:** Non-Major C4&IT projects will follow the NMAP for governance and the Systems Development Life Cycle (SDLC), COMDTINST 5230.66 series, for Systems Engineering.

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 shall consult with the Technical Authorities 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) the Technical Authorities and Sponsor. **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.

Phase/Stage Review			CDR	PRR	OTRR	
Approval Authority	DCMS	CG-9/ CG-6	PgM <sup>1</sup>	PgM <sup>1</sup>	Sponsor’s Rep.	CG-9/ CG-6
<sup>1.</sup> 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 projects managed outside of CG-9.						

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

In lieu of the Project SELC Tailoring Plan (PSTP), the Project Plan describes and justifies 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 depend on the complexity and technical risk (new

design vs. COTS/Government off the shelf (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 PRR verifies that the design is ready for production, production engineering problems have been resolved, and adequate planning has been accomplished.
- The OTRR ensures the acquisition is ready to enter Operational Test.

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

## 8. ROLES AND RESPONSIBILITIES

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

<b>Vice Commandant (VCG)</b>
Serve as Component Acquisition Executive.
<b>Deputy Commandant for Mission Support (DCMS)</b>
Serve as Decision Authority for ADE-1.
Approves planned procurements to be designated Non-Major Acquisitions.
<b>Executive Oversight Council (EOC)</b>
Reviews and recommends candidates for Non-Major designation to DCMS.
Participates in ADE and Annual Reviews.
<b>Commandant (CG-9) for Non-IT or Commandant (CG 6) for IT</b>
Charters PM for Non-Major Acquisitions.
Approves the Project Plan.
Serve as Decision Authority for ADE-2 and ADE-3.
<b>Commandant (CG-93)/Commandant (CG-6)/Commandant (CG-4)</b>
Approves the Logistics Support Plan for projects managed or supported within respective organization.
<b>Program Manager/Office Chief</b>
Approves the Configuration Plan and Configuration Control Board (CCB) Charter for projects managed within respective organization.
<b>Project Manager</b>
Maintain DHS Acquisition PM certification level in accordance with PM Charter.
Manage project in accordance with this Manual.
Obtain ADE approvals from the Decision Authority.
Develop and obtain approval for the required project documents in accordance with this Manual.

<b>Project Manager</b>
Ensure that all types of hazards are identified, evaluated, and mitigated to a level compliant with acquisition management policy. <sup>1</sup>
<b>Commandant (CG-924) for Non-IT or Commandant (CG-66) for IT</b>
Serves as Executive Secretary for Non-Major Acquisitions.
Notifies Sponsor if procurement is designated as Non-Major Acquisition.
Provides program management assistance to PM and Sponsor, as needed.
Drafts PM Charter.
Drafts Non-Major Nomination Memorandum.
Drafts Acquisition Decision Memorandum.
<b>Sponsor/Sponsor’s Representative</b>
Drafts the Requirements Document/Approves Requirements Document.
Prepares the Operational Test Plan/Approves Operational Test Plan.
Conducts Operational Test.
Prepares Operational Test Report/Approves Operational Test Report.
<b>Technical Authorities</b>
Coast Guard Technical Authorities (CG-1, CG-4, CG-6, CG-8) has the authority, responsibility, and accountability to establish, monitor, and approve technical standards, tools, and processes in conformance with policy, requirements, architectures, and standards within their areas of responsibility.
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.
Commandant (CG-2) is designated as the Technical Authority for intelligence systems and capabilities, associated SCI networks, communications and spaces.
Commandant (CG-4) performs as the Technical Authority for all Coast Guard engineering and logistics efforts.
Commandant (CG-6) performs as the Technical Authority for Command, Control, Communications, Computers and Information Technology (C4&IT) to include enterprise architecture, information security/assurance, spectrum certification (if applicable), etc.
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 & external financial reporting, and financial systems requirements.
<b>Project Council (CG 094)</b>
Provides legal guidance/advice to PM.

<sup>1</sup>Per MIL-STD-882E, System Safety



# Acquisition Directorate

## 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. Use this Handbook 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.

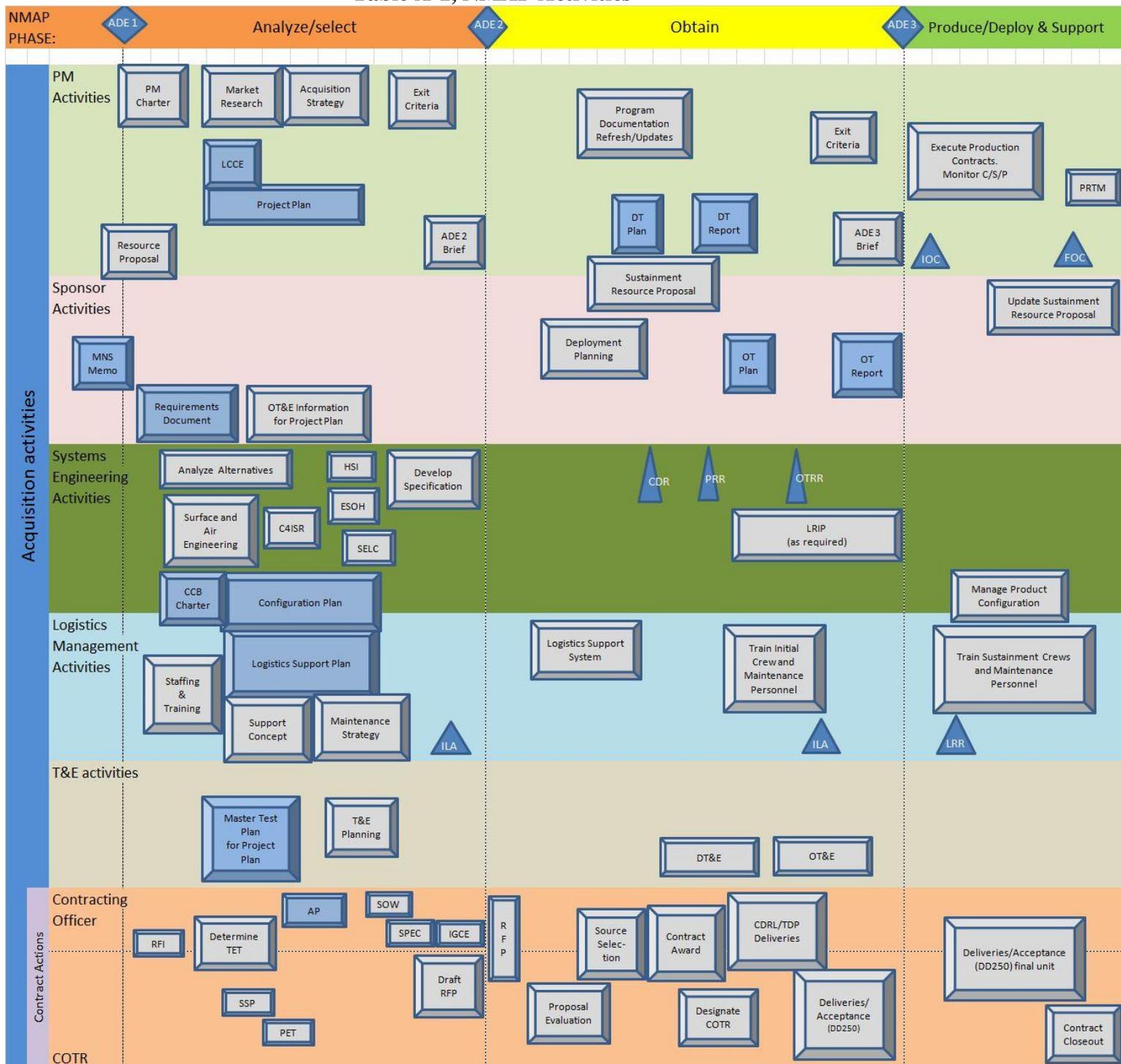
Constructive changes/recommendations to this Handbook are encouraged. The Chief, Acquisition Support Office, Commandant (CG-924) will manage all changes.

**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) or Commandant (CG-66) (for IT projects) to obtain consensus on documentation requirements.**

**Table A-1, NMAP Activities** provided below shows a high-level depiction of the relationship between NMAP activities, including the PM, Sponsor, Systems Engineering, Logistics Management, Test and Evaluation, and Contracting Actions (guidance for typical contracting actions/events completed during NMAP Phases is provided in **Table A-2, Typical Contracting Actions/Events**) to the Acquisition Decision Events. 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. For Non-Major IT projects, Commandant (CG-66) will draft the NM PM Charter to Commandant (CG-6) 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 downgraded from a Major Acquisition status, a Non-Major Nomination Memorandum will be drafted by Commandant (CG-924) or Commandant (CG-66) for DCMS approval. Section 9 provides the template to be used for this memorandum.

**Table A-1, NMAP Activities**



**Note:** blue boxes are documents, gray boxes are activities, triangles are events, and diamonds are Acquisition Decision Events (ADEs).

**Table A-2, Typical Contracting Actions/Events****A/S Phase:**

Develop an outline of the Contracting process with the Contracting Officer/Contract Specialist
Identify Specification Matrix Team
Conduct market research / Perform a Request for Information (RFI) - Optional
Prepare Independent Government Cost Estimate (IGCE)
Develop acquisition strategy with Contracting Officer/Contracting Specialist
Develop Acquisition Plan in accordance with the HSAM
Develop initial specification based upon notional requirements
Perform specification reviews by matrix team
Review/incorporate RFI comments into specification
Perform final matrix specification review/stakeholder review; incorporate items learned through the RFI
Prepare Purchase Request/Purchase Order Package (with IGCE and specification)
Identify Technical Evaluation Team (TET) membership
Develop Source Selection Plan (SSP) and Quote Evaluation Procedures (SSP/QEP)
Submit final specification for Contracting Officer review/approval
Prepare Request For Proposals (RFP)
Obtain Commandant (CG-0949) legal review up front of RFP
Obtain SSP/QEP approval

**Obtain Phase:**

Issue RFP
Receive and review proposals/quotes
Convene TET and Price Evaluation Team (PET)
Conduct Technical and Price Evaluations
Prepare Price Negotiation Memoranda
Source Selection Decision
Perform Congressional notification
Assign Contracting Officer Technical Representative (COTR)
Award contract
Conduct debriefs with all offerors
Conduct Post Award conference with builder, as applicable
Issue RFP
Technical Data Package/Contract Data Requirements List (CDRL) deliveries
First Article/Asset Delivery & Acceptance (DD-250)

**P/D&S Phase:**

Award production orders
Deliveries/ Acceptance (DD-250)
Contract Closeout

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# 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. 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 O-6/GS-15 level) to include the Sponsors Representative, appropriate Technical Authorities, the Project Manager, and Commandant (CG-924) or (CG-66) (as appropriate) (copy to Commandant (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. The below **Table A-3: Concurrent Clearance Matrix** shows, at a minimum, what offices should be included on the Concurrent Clearance. Concerns should be resolved with assistance from Commandant (CG-924) or (CG-66). 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).

**Table A-3: Concurrent Clearance Matrix**

	Requirements Document	Project Plan	Logistics Support Plan	Configuration Plan	Developmental Test Plan	Operational Test Plan
CG-5 Mission Manager	X					
Sponsor's Representative	X	X	X	X	X	X
CG-924/ CG-66 <sup>1</sup>	X	X	X	X	X	X
CG-1B3	X	X	X		X	X
CG-4EA (for Distribution)	X	X	X	X	X	X
CG-6EA (for Distribution) <sup>1</sup>	X	X	X	X	X	X
CG-6 Asset Manager <sup>1</sup>	X	X	X	X	X	X
CG-771	X	X		X		
CG-82	X	X	X			
CG-926		X			X	X
PM	X	X	X	X	X	X
CG-93AL			X <sup>2</sup>	X <sup>2</sup>		
CG-0949 (Info Copy)	X	X	X	X	X	X

Notes: <sup>1</sup> For C4&IT Non-Major Projects

<sup>2</sup> For Commandant (CG-93) managed projects

**The following is a step by step explanation of the Concurrent Clearance process:**

**Step 1:** Draft the Document. The office responsible for preparing the document drafts the document.

**Step 2:** Submit Document for Matrix-level comment. Submit concurrently to all offices by email.

The following steps apply for this step:

- a. Fill out Concurrent Clearance Form CG-4590.
- b. Ensure the Sponsor's Representative, appropriate Technical Authorities, the Project Manager, and Commandant (CG-924 or CG-66 as appropriate) (copy to Commandant (CG-0949)) are listed for the specific document. At a minimum, include offices in **Table A-3, Concurrent Clearance Matrix.**
- c. Develop a comments matrix document (word or excel) for respondents to use to provide comments.
- d. Once completed, email the document, the Concurrent Clearance, Form CG-4590 (a scanned version of the original signed copy), and the comments matrix to each office listed in the form. Normally allow 15 working days for review.

**Step 3:** Originator receives and adjudicates comments and revises the document. Comments are to be adjudicated with the offices submitting them. Adjudication means concurrence from the originating office to the proposed verbiage reflecting the change. Use a master adjudication summary table to consolidate and document the comments and deposition.

**Step 4:** Originating office ensures comments are properly adjudicated.

**Step 5:** Originating office prepares document for approval.

### **1.3 Routing Documents for approval**

For documents that require approval/signature, the contents of the package to be routed for signature is the same as shown in below **Table A-4: Sequential Endorsement and/or Approval**. The originator of each document is responsible for routing and tracking of the document as it is routed for signature or endorsement.

**Table A-4: Sequential Endorsement and/or Approval**

Left Side of Folder (Back to Front)	Right Side of Folder
Original copy of each matrix-level response	Revised draft document for signature approval
Master adjudication summary of comments and additional responses	
Original Concurrent Clearance, Form CG-4590 sent to the matrix with the bottom filled out as to who responded and their response (i.e., concur, concur with comments, non-concur, no response)	

#### 1.4 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 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.

Version	Change	Effective Date
Version 0.1	Initial Draft	15 Apr 10

**Schedule Date Format within Documents and Plans.** When referencing schedules in any of these documents, the date formats in **Table A-5: Date Formats** should be used.

**Table A-5: Date Formats**

Key Event To Occur:	Date Format Convention:
Past History	Use Month and Year, e.g., 03/10
Within 3 Years	Use Quarter and Fiscal Year, e.g., 1QFY11
Beyond 3 Years	Use Fiscal Year, e.g., FY14

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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.

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 Commandants (CG-912), (CG-924), (CG-66) (for IT projects), (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 NMAP project 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: \_\_\_\_\_ Date \_\_\_\_\_  
Project Manager (CG-YYYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Small Business Specialist (CG-91Y)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Contracting Officer (KO)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Chief, Contracting Operations Office  
(CG-912)

Approved by: \_\_\_\_\_ Date \_\_\_\_\_  
Head of Contracting Activity (CG-91)

## **2.5 Acquisition Plan Document Template**

The PM is to use the DHS AP template and applicable Coast Guard policies and procedures in preparation of the Project's APs. The AP template can be found in the Homeland Security Acquisition Manual (HSAM), Appendix H.

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### **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 Sponsor’s Representative prepares the Requirements Document 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 Sponsor’s requirements plus DHS and Coast Guard 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, Commandants (CG-1), (CG-4), (CG-6), and (CG-8), the PM, and appropriate Commandant (CG-9) staff. The Sponsor will establish the 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 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 measurable, testable, achievable and supportable requirements as well as provide 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. Once the Requirements Document is approved, a requirements management process is established with configuration control and documented as part of the functional baseline. The approved Requirements Document must also be submitted to DHS (for information only) via Commandant (CG-924). The Requirements Document shall be approved prior to ADE-2.

**3.4 Requirements Document Approval Page Template**

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

Prepared by: \_\_\_\_\_ Date \_\_\_\_\_  
Sponsor's Representative (CG-YYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Project Manager (CG-YYYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Program Manager/Office Chief (CG-YYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Office of Requirements and  
Analysis (CG-771)

Approval by: \_\_\_\_\_ Date \_\_\_\_\_  
Sponsor (CG-Y)

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## ***REQUIREMENTS 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 bulleted, 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). Identify the mission capability gaps addressed by the proposed system acquisition.

##### **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, including 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 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 3: 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 operational scenario that tells how, where, when and under what conditions the asset is to be used. Also include a support scenario that shows the basic support concept for the asset to 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 4: 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.

### **4.1 Basic Requirements**

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

### **4.2 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.

### **4.3 Navigation (If Applicable)**

Identify any special or unique navigation requirements. Identify radio spectrum requirements.

### **4.4 Sensors (If Applicable)**

Identify any special or unique sensors. Address any interoperability issues concerning sensors. Identify radio spectrum requirements.

## **SECTION 5: 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)):

### **5.1 Design**

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

### **5.2 Supportability and Sustainment (Logistics Support)**

Identify Supportability and Sustainment (S&S) requirements; 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.

### **5.3 Reliability, Availability and Maintainability**

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 ( $A_0$ ).

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).

### **5.4 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.

### **5.5 Human Systems Integration Considerations**

Identify requirements relating to manpower, personnel, training, human factors engineering, system safety/health, habitability, and personnel survivability.

- (a) Identify the personnel necessary to safely operate, maintain, and support a similar existing system. Include required performance support and training requirements, in addition to Knowledge, Skills, and Abilities (KSA) requirements.
- (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.
- (g) Describe the Performance Support and Training philosophy required (e.g., schoolhouse, On-The-Job Training (OJT), computer based training (CBT), embedded training, job aids, simulators) to support the mission intended by the system.

## **SECTION 6: 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 reassessment of the project by the Sponsor.

KPPs should be presented in a tabular form and include both the threshold and objective (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) Is it affordable?
- (d) 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 mission critical to the system and designate them as Key Performance Parameters.

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## **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 the project team can work together with clarity of purpose. The Project Plan is 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**

Submit the Project Plan for approval within six months of conducting the Project Authorization Acquisition Decision Event (ADE-1). For all Non-IT projects, Commandant (CG-9) will be the approval authority. For IT projects, Commandant (CG-6) will be the approval authority.

**4.4 Project Plan Approval Page Template**

*PROJECT PLAN (PP)*

*for the*

*[PROJECT TITLE]*

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
Project Manager (CG-YYYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Program Manager/Office Chief (CG-YYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Project Sponsor's Representative (CG-YYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Director of Acquisition Programs (CG-93)\*

Approved by: \_\_\_\_\_ Date \_\_\_\_\_  
Chief Acquisition Officer (CG-9) or  
Asst COMDT for C4&IT (CG-6)

\*CG-93 Managed Projects Only

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(A) Project Master Schedule	
(B) Organizational Charts	
(1) Project Staff	
(2) Project Operational and Support Organizations	
(3) Contract Administration	
(C) Project Work Breakdown Structure (WBS)	

## *Project Plan*

### *Content Requirements*

#### **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.

#### **REVISION SUMMARY (IF APPLICABLE)**

The Revision Summary should provide a bulleted, high-level description of major changes, including references to the changed section/paragraph. Include a table indicating the date and version (name/number) of each approved plan.

#### **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: ACQUISITION BASELINE (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 in **Table 2-1, Key Cost, Schedule, and Performance Parameters (example)**. Cost parameters should be identified in the Life Cycle Cost Estimate (LCCE). Schedule parameters are derived from the Project Master Schedule. Cost Thresholds should be a 15% increase of Objective. Schedule Thresholds should be 180 days past Objective. 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.

**Note:** If Acquisition Baseline parameter thresholds are not met, then a revision of the Project Plan is required (include in the Project Plan the root cause, project impact and corrective action). KPP thresholds not met also require evaluation by the Sponsor for continuance of the project and/or revision of the Requirements Document.

**Table 2-1 Key Cost, Schedule and Performance Baseline Parameters (example)**

Cost (Then Year \$K)				
Cost Category	Baseline		Rev 1	
	Threshold	Objective	Threshold	Objective
Acquisition	69,000	60,000		
Operations & Maintenance (O&M)	207,000	180,000		
<b>Total LCCE</b>	<b>276,000</b>	<b>240,000</b>		
Quantity	10	10		
Useful Life: 10 Years				
Schedule				
Event	Baseline		Rev 1	
	Threshold	Objective	Threshold	Objective
ADE-2	7/10	1/10		
Contract Award	9/10	3/10		
Complete Operational Test (OT)	2QFY11	4QFY10		
ADE-3	3QFY11	1QFY11		
Initial Operational Capability (IOC)		2QFY13		
	4QFY13			
Full Operational Capability (FOC)	4QFY18	2QFY18		
Performance				
Key Performance Parameter (KPP)	Baseline		Rev 1	
	Threshold	Objective	Threshold	Objective
Speed	40 Knots	45 Knots		
Endurance	240 NM	240 NM		
Operational Availability (Ao)	80%	90%		

**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. State the responsibility and authority of each Coast Guard element with respect to the project. 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 (LCCE) for the project that is the single, best estimate for the system. The 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. A 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. It is important the Coast Guard Technical Authorities (TA's) are engaged during the development of the LCCE, as a significant portion of the overall lifecycle cost is in sustainment and support.

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. 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. Two tools available for risk modeling include Microsoft Excel’s Crystal Ball add-in or the Automated Cost Estimating Integrated Tool (ACEIT).

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). When determining what the Threshold Cost value should be, a project should simply take into account identified risks to the project. Determine the estimated weighted costs based on the probability those risks will be realized, and adjust the 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 5-1 Summary Life Cycle Cost Estimate**

Funding Account	FYXX	FYXX plus 1 year	FYXX plus 2 year	FYXX plus 3 year	FYXX plus 4 year	FYXX plus 5 year	FYXX plus n year	Total
AC&I								
OE								
Total								

**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 5-2 Summary LCCE quantities**

	FYXX	FYXX plus 1 year	FYXX plus 2 year	FYXX plus 3 year	FYXX plus 4 year	FYXX plus 5 year	FYXX plus n year	Total
Quantities								

**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 identifies 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. It should 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. If the solicitation requires test procedures and verification of compliance with requirements from the contractor, this section should discuss these requirements and its associated impact on testing. 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 should 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.

A Test Management Oversight Team (TMOT) should be established to serve as the primary test management planning forum. The TMOT will be chaired by the PM, or project T&E Manager, representing the PM. The TMOT should consist of representatives from Commandant (CG-926) and each organization involved in the overall T&E program for the particular project.

This section should address the governing document(s) by which the test procedure is measured. For example, DT compares the product to the contract specification, Down Select Test and Validation (DST&V), if applicable, uses the DST&V Plan/Procedures to guide its assessment, and finally, OT compares the performance to the Requirements Document and its Effectiveness and Suitability requirements.

### **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 test beds, 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. Effectiveness requirements should be identical to the requirement 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 the Project Plan's Appendix A.

### **6.6 Acceptance Testing**

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

#### **6.6.1 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. For commercial product acquisitions, recommend the solicitation require the contractor to develop and include as part of the proposal, a Test Verification Matrix to demonstrate compliance with the requirements of the contract. 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.

When the solicitation is for a large number of production articles or if the article being produced is a key/critical component of a larger system/deliverable, then this section should describe production acceptance test requirements beyond the first deliverable. Requirements for additional testing that is normally only included on the first article should be included in the solicitation.

#### **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 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 (SEL) APPROACH**

**Note:** C4&IT projects follow the SDLC policy (COMDTINST 5230.66 series) and for Systems Engineering and prepare a SDLC Tailoring Plan.

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. It is recommended that the PM refer to the SELC Guide for guidance on which reviews to conduct and sample exit criteria.

### **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, Configuration Plan, and Operational Test Plan. These plans are not a part of the Project Plan. The Project Plan should briefly describe these documents, document tailoring, and how these documents 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. The creation and use of a WBS can greatly benefit the process to generate the projects LCCE and the accuracy of its intent.

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## **5.0 LOGISTICS SUPPORT PLAN**

### **5.1 Purpose**

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

- (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 logistics support element; and
- (e) provides information on other logistics related planning.

The LSP is a life-cycle plan that is initially prepared during the Analyze/Select Phase and updated throughout 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).

**Note:** If there is a conflict between the provisions of this Manual, and other logistics references, then this Manual takes precedence.

### **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, 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.

LSP approving official shall be Commandant (CG-93) (or their designee) for Projects within Commandant (CG-93), Commandant (CG-6) for IT projects, or Commandant (CG-4) for projects outside of CG-93 or CG-6.

**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) or Asst COMDT for C4&IT (CG-6)	Date

**5.5 Logistics Support Plan Document Template*****Table of Contents***

<b>Title/Paragraph</b>	<b>Page Number</b>
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<b>Revision Summary (if applicable)</b>	<b>RS-1</b>
<b>Section 1: Introduction</b>	<b>1-1</b>
<b>Section 2: Logistics Management</b>	<b>2-1</b>
2.1 Logistics Support Manager	
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<b>Section 5: Management and Planning for Sustainment Elements</b>	<b>5-1</b>
5.1 Supply Support	
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5.6 Automatic Identification Technology	
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5.8 Post Production Support	

## ***Logistics Support Plan Content Requirements***

### **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 bulleted, 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: LOGISTICS MANAGEMENT**

This section includes a description of the project logistics 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. List recommended LSMT members, such as Sponsor's Rep and Tech Authorities (CG-1, CG-4, CG-6, CG-8). The use of tables or figures is encouraged to depict the LSMT organization and membership.

### **SECTION 3: LOGISTICS 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 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 performs lower levels of maintenance that exceed organizational capacity or capabilities, provides technical assistance, and performs complex or heavy maintenance tasks 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 Commandant (CG-1B3)'s 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.

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. Describe interim support strategy. Describe approach and resources required to analyze, design, develop, implement, and evaluate sustainment performance support and training solutions for continued personnel readiness.

#### **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. Consult with CG-0949 to ensure Coast Guard identifies appropriate technical data rights and computer software licenses to support the project. 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, COMDTINST M16475.1 (series).

#### **5.4 Human Systems Integration**

Identify any human systems integration (HSI) criteria and limitations that are applicable to the project and any resultant impacts (positive or negative) on the 7 domains of HSI (i.e., manpower, personnel, training, human factors engineering, system safety/health, habitability and personnel survivability).

#### **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 are 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.

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## **6.0 CONFIGURATION PLAN**

### **6.1 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). This document 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;
- 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 Preparation**

The initial CP is prepared during the Analyze/Select Phase for approval prior to ADE-2. The templates for both the signature page and content of the CP are provided below in paragraphs 6.4 and 6.5.

The CCB Charter must be prepared prior to the CP to enable a reference inclusion in the CP. A template for the CCB Charter is provided in paragraph 6.6 of this Appendix. 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 must go through a matrix level Concurrent Clearance review for staffing, which includes the Technical Authorities. The CP shall be drafted, staffed, and approved prior to ADE-2. The CP approving official shall be the Program Manager (PgM) for Projects within Commandant (CG-9), or the Office Chief for project managed outside of CG-9.

The CCB Charter, once prepared and approved, requires no update 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 CP events.

**6.4 Configuration Plan Approval Page Template**

*CONFIGURATION PLAN (CP)*  
*for the*  
*[PROJECT TITLE]*

Submitted by:

\_\_\_\_\_

Project Manager (CG-YYYY)

\_\_\_\_\_

Date

Approval by:

\_\_\_\_\_

Program Manager (CG-YYY)

\_\_\_\_\_

Date

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## **SECTION 1: CONFIGURATION MANAGEMENT CONCEPT OF OPERATIONS**

This section should provide a brief background on and description of the program CI(s), the current status of the program, and any special features of the program. Also, this section should address the purpose, scope, and general applicability of the CP. 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.

The following information should be provided in a manner that will preclude security classification of the plan, if possible.

- a. Description of the capability as related to mission and to each CI.
- b. Support description.
- c. A block diagram or pictorial overview of the CI(s).
- d. Describe special features of the CI or of the program that affect CM. Describe peculiarities of the CM Program that result from participation by multiple organizations or unique contracting methods.

## **SECTION 2: CONFIGURATION MANAGEMENT ORGANIZATION**

This section shall describe and graphically portray the project's organization with emphasis on CM activities and include:

- a. The roles, responsibility, and relationships of the project CM organization, IPT/matrix structure, other functional organizations, and contractor(s), as applicable.
- b. The responsibility and authority for CM in all participating groups and organizations including their roles in CCBs; include the CCB Charter. Refer to MIL-HDBK-61A for more information on CCB Charters.
- c. The functional integration of CM activities into other project or supplier activities such as design reviews.
- d. The project's internal and external organizational interfaces.

## **SECTION 3: DATA MANAGEMENT**

Data Management (DM) is the development, execution and supervision of recorded information that provides control and protection that enhances the value of data. The term data includes computer software documentation/code, financial information, management information, drawings or datum of any nature that can be communicated, stored and required by a contract to be delivered to, or accessed by, the Government.

This section will provide a discussion of the technical data management concept of operation to include but not limited to the following elements:

- a. Specific information needs,
- b. Applicable data transfer, format standards, and protocols being implemented

- c. Access requirements,
- d. Formats supported,
- e. Network interface parameters applicable, and
- f. Database model to be employed.
- g. Any limitation on delivery or use of Supplier-prepared drawings shall be stated.

### **3.1 Document Identification**

Describe how each document reflecting performance, functional or physical requirements or other product related information will be given a unique identifier so that it can be correctly associated with the applicable configuration of the associated item, referred to precisely and retrieved when necessary.

Generally identifiers include all or most of the following parameters: date, assigned numeric or alpha numeric identifier unique to the document, revision indicator, type of document, title or subject and Originator/Organization.

Define for each document a current document change authority (CDCA), i.e. an agency, activity or organizational entity that is responsible for the content of the document and is the only authority that can effect changes to the document. Refer to MIL-HDBK-61A for more information on CDCA.

**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 4: CONFIGURATION MANAGEMENT PROCESS**

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

### **4.1 Configuration Management/Planning and Milestones**

Provide a description of the project's CM process for accomplishment of the Configuration Management activities and proposed major milestones to include but not limited to:

- (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 1,
- (d) The conducting of major configuration audits. Establishment of major Baselines
- (e) Implementing the Coast Guard CM Automated Information System,
- (f) Establishment of interface control agreements.

Provide the acquisition strategy. The CM acquisition strategy addresses the roles and

responsibilities of the Government CM activities and the Contractor CM activities. Refer to MIL-HDBK 61A for more information.

Provide a chart for each phase of the CI's life cycle, depicting specific scheduled and completion dates or milestones of CM actions, events, and products.

**Milestone Chart**

	PHASE		PHASE		PHASE
ADE1	ANALYZE/SELECT	ADE2	OBTAIN	ADE3	PRODUCE/DEPLOY & SUPPORT
	Charter CCB Configuration Plan Prepare Sys Spec Begin FBL		Identify Interface Specs CI Designation CI Identifiers Determined CSA Update Configuration Plan FCA FBL		Receive TDP PCA PBL Update CCB Charter

**4.2 Configuration Identification**

The purpose of configuration identification is to properly identify CIs and their associated configuration documentation. The process begins with the selection and unique identification of an item as a CI. The selection of an item as a CI should be determined by the need to control the items inherent design characteristics, attributes, and performance or to control the item's interface with other related items that are managed independently.

Describe the project's methods and procedures for meeting the requirements of Configuration Identification:

- a. Selection of hardware and software items requiring the application of CM.
- b. Establishment of the baselines, definition of the configuration baseline documentation required for each.
- c. Definition of engineering release process.
- d. Assignment, application, and control of configuration identifiers.

Failure to properly identify CIs and their associated configuration documentation will result in an inability to control changes to the item's configuration, establish accurate records and reports, or to validate the configuration through audit. Inaccurate or incomplete configuration documentation may result in defective products, schedule delays, and higher maintenance costs after delivery.

**4.3 Interface Control**

This section shall describe the methods for controlling interface requirements between elements of the program/project.

These methods shall cover the following elements of interface control:

- a. Establishment of initial interface documents.

- b. Control of changes to interface documents.
- c. Review and evaluation of proposed and authorized changes to related interface documents controlled by other Suppliers or activities.

#### **4.4 Configuration Control**

Configuration control is the systematic proposal, justification, evaluation and approval or disapproval of changes in configuration after baseline establishment; and the implementation of all approved changes.

Discuss the process that will be used to manage configuration control. Information should include:

- a. The configuration change control process, including participants (by function and organization).
- b. Configuration Control Board (CCB) operations, including change proposal approval and disapproval authority, limits of authority, and requirements for coordinating and interfacing with other CCBs and higher authority.
- c. Interface Control Working Groups (ICWG) and participants.
- d. Process and procedures for implementing the approved and/or authorized change into the CI, its configuration identification documents, its logistics support products, and in follow-on contract requirements.
- e. If applicable, procedures for preparing, reviewing, approving, authorizing, and installing retrofit kits.
- f. Provisions for maintaining copies of ECPs, RFDs, and RFWs, including location and custodian.
- g. Provisions for maintaining a program office change proposal tracking system.

#### **4.5 Configuration Status Accounting**

Configuration Status Accounting (CSA) records and reports 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 and processes used to document decisions.

Describe procedures for meeting the requirements of CSA:

- a. Methods for collecting and maintaining data necessary.
- b. Description of reports or information system content as related to the identified data elements, including:
  - (1) Identification of current approved configuration documentation and configuration identifiers associated with each CI.
  - (2) Status of proposed engineering changes.
  - (3) Results of configuration audits; status and disposition of discrepancies.

- (4) Status of requests for waivers.
- (5) Traceability of changes from baseline documentation of each CI.
- (6) Effective date and installation status of configuration changes to all CIs at all locations.

#### **4.6 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. 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.

Define the planning and conduct of configuration audits. Information should include:

- a. The process for conducting, coordinating, monitoring, documenting, and reporting functional and physical configuration audits.
- b. The decision for conducting each configuration audit as a single event or on an incremental basis.
- c. Participants or activities and their responsibilities, including engineering and quality assurance coordination.
- d. Identification of the CI(s), the configuration baseline documentation and other configuration documentation to be audited.
- e. Process for identifying and correcting audit findings and discrepancies.

#### **4.7 Sub-Supplier CM Control**

Describe the project/supplier methods for ensuring that Sub-Suppliers and vendors comply with CM requirements.

## 6.6 CCB Charter Template

U.S. Department of  
Homeland Security

United States  
Coast Guard



Commandant

United States Coast Guard

2100 2<sup>nd</sup> Street SW, Stop XXXX  
Washington, DC 20593-XXXX  
Staff Symbol: CG-XXX  
Phone: (202) 475-XXXX  
Fax: (202) 475-XXXX

4130

# MEMORANDUM

From **(Name and grade of Program Manager or Office Chief)** Reply to: **(Code)**  
CG-YYY Attn of: **(FI Last 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-9/CG-6) 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.

3. Charter.

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)**:

<u>FUNCTIONAL AREA</u>	<u>CODE</u>	<u>RESPONSIBILITY</u>
Project Manager	CG-YYY	Chairperson
Human Systems Integration (Technical Authority)	CG-1B3	Permanent Member
Sponsor Representative	as applicable	Permanent Member
Engineering (HM&E, Aviation, other)	CG-4XX	Permanent Member
C4&IT	CG-6XX	Ad Hoc Member (non-IT projects)

**Note:** The Sponsor’s Representative may co-chair the CCB when appropriate.

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)**

Dist:											
Copy:											

## **7.0 DEVELOPMENTAL TEST PLAN**

### **7.1 Developmental Test Plan Purpose**

This Developmental Test (DT) Plan template should be used to guide Project Managers (PMs) in planning the testing of the specific asset being acquired and tailored to suit a particular Non-major Acquisition.

The Developmental Test (DT) Plan provides a detailed overview of test plans, schedules, test descriptions, and evaluation methodology for all planned DT tasks. The DT Plan serves two purposes. First, it is a prime mechanism to verify compliance with the contract requirements. Second, DT is a process that is not limited to just testing the product being produced, but applied to all acquisition process disciplines and aspects to reduce the risks inherent in those areas. This may include testing such areas as the logistics support elements, contract development, PM costs/schedule/performance concepts, facilities, C4&IT, staffing, etc.

### **7.2 Developmental Test and Evaluation Plan Preparation**

The DT Plan is developed concurrently with the project's specifications so that the DT Plan and the specification mirror each other and to assure that contract requirements in the specification are measurable, testable, clear and achievable.

The DT Plan is prepared by the PM with the assistance of the Test Management Oversight Team (TMOT), which should be designated by the PM. For a non-major project, the TMOT members are typically matrixed personnel from stakeholder offices outside the project.

Language should be included in the RFP which requires the contractor to develop test procedures to verify compliance with the contract. Incorporating language into the contract takes significant burden off the government to develop and conduct its own tests. If the contractor is responsible for test procedures, this document becomes more of an acceptance testing surveillance plan.

### **7.3 Developmental Test and Evaluation Plan Approval**

The DT Plan is reviewed for comment by the individual TMOT member's office before being routed for approval. Once all comments have been adjudicated, the PM reviews, approves, and submits the DT Plan along with the TMOT clearance approval comments for final approval/signature by the Program Manager or Office Chief. Once the DT Plan is approved, the PM allocates resources, develops a schedule, and conducts oversight of DT Plan's execution.

**7.4 Developmental Test (DT) Plan Approval Page Template**

*DEVELOPMENTAL TEST (DT) PLAN*

*for the*

*[PROJECT TITLE]*

Submitted by: \_\_\_\_\_  
Project Manager (CG-YYYY)

\_\_\_\_\_  
Date

Approved by: \_\_\_\_\_  
Program Manager/Office Chief  
(CG-YYY)

\_\_\_\_\_  
Date

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## **DEVELOPMENTAL TEST PLAN**

### **Content Requirements**

#### **EXECUTIVE SUMMARY**

The Executive Summary should be a brief discussion (typically no longer than one page) highlighting the salient points of the plan. Briefly discuss the roles and responsibilities of key participants of the Test Management Oversight Team (TMOT). Reports that document the testing and support the project decision process need to be discussed.

#### **SECTION 1: INTRODUCTION**

##### **1.1 Project Background**

Briefly summarize the mission of the deployed asset, component, product, or system. Describe the scope of the project, the contract vehicle, acquisition strategy, and selection process, with emphasis on how developmental test will support and ensure the success of the project.

##### **1.2 Developmental Test (DT) Overview**

Developmental testing is intended to ensure the delivered asset meets contract specifications. The objective is to ensure that the system functions as expected and that sponsor and user requirements are satisfied. It is typically the first level of testing in a non-major acquisition. Testing is a risk mitigation measure. Development of a DT Plan ensures that contract requirements are examined and found to be measurable, testable and traceable. If no testing metrics can be identified to determine if a requirement has been met, then the requirement should be re-evaluated and rewritten.

In this section, briefly summarize the purpose of DT for the asset being acquired and the verification methods to be used, and describe any prior DT performed. This section should include a discussion of how DT will support risk management, to either avoid or mitigate it, or if areas cannot be tested, then how DT will help the PM transfer, share, or assume risk. Acquisition risk areas should be addressed here, including contract requirements development, contract administration, source selection, logistics criteria, implementation of logistics strategy, tracking costs, evaluating schedule, and verifying and validating performance requirements. The method of testing should also be identified. The following are the four methods of testing in order of both “execution” ease and cost of performing it:

1.2.1 Inspection. Inspection is observation using one or more of the five senses, simple physical manipulation, mechanical and electrical gauging and measurement to verify that the item conforms to its specified requirements.

1.2.2 Analysis. This method of verification uses established technical or

mathematical analysis, computer models or simulations, algorithms, charts, graphs, circuit/line diagrams, or other scientific principles or data to support proven history/performance on identical design, and procedures to provide evidence that the performance requirements are met.

1.2.3 Test. Test is the application of scientific principles and procedures to determine the properties or functional capabilities of items. Testing involves scaled model testing and full scale testing (in-plant and shipboard testing) of components, equipment, and systems to determine compliance to established measures of operability required to fulfill the performance requirements.

1.2.4 Demonstration (Demo). Demonstration is a method of verification that entails the actual operation of equipment. This test is performed in real environmental conditions.

It is required that a table including all specification requirements and the acceptance methodologies that will be employed to verify compliance with the specification be developed. If the table is provided as an appendix to the specification, it will give the contractor a better idea how to show compliance with each specification requirement, and also enables the contractor to develop a better cost proposal. A sample table is provided below in **Table 1-1**.

**Table 1-1 Methodology Used for Testing Specification Requirements**

Testing Methodology	Specification Requirement Being Tested
Inspection	Dimension Measurements
Analysis	Engine Mean Time Between Failure (MTBF) Analysis
Test	Inclining Test
Demo	Speed Trials

## **SECTION 2: TEST PLAN, SCHEDULE, AND RESOURCES**

### **2.1 Test Activities**

Describe project DT planning activities, including contractor requirements. The plan should address entrance criteria, inspection elements, high risk areas, the inspection process and associated schedule, and exit criteria (acceptance criteria).

## **2.2 Test Schedule**

Depict the integrated time sequencing of the project test timeline for all testing activities. The PM may use any method that clearly shows key test events, such as computer simulations, and their sequential relationships. The test schedule should be integrated with the project's master schedule and should match the schedule in accordance with Master Test Plan section of the Project Plan.

## **2.3 Resources**

### **2.3.1 Personnel**

Clearly identify the roles and responsibilities of personnel who are planned to support the testing. Discuss any specific knowledge, training, qualifications or skills required of personnel needed to support DT. Any agreements and commitments that are in place between the project and matrix personnel from corresponding directorates should be documented in this section.

### **2.3.2 Testing Support**

Discuss any specific assets; special test equipment or other material; test articles and/or simulators, targets, models or test beds; and facilities needed to support DT.

### **2.3.3 Funding**

Discuss funding needed to support DT. A table with expected labor costs/man-hours, travel, test equipment, rentals, etc. should be shown here.

## **SECTION 3: TEST DESCRIPTION**

### **3.1 Pre-Inspection at Contractor's Facilities**

Depending upon the type of acquisition, a pre-inspection may be conducted prior to delivery, such as an open hull inspection for a boat acquisition. If applicable, briefly describe the purpose of the pre-inspection, and provide a checklist that includes main items to be inspected, such as welding procedures, welder's qualifications, Quality Assurance/Quality Control (QA/QC) process, materials handling training, and safety precautions. Discuss any reports planned to be prepared after the inspection and how they will support project decisions.

### **3.2 Builder's Trials at Contractor's Facilities**

Describe Project builder's trials process that includes CG review of builder's trials and test documentation, builder's calculations, 3-D model, QA/QC process, warranty, spare parts, and builder's trials delivery. Also describe CG verification methods followed by contractor verification methods and builder's trials expectations.

### **3.3 Acceptance Trials**

Describe acceptance trials (AT) timeline, locations, process, and expected outcomes. Identify any additional test requirements in conjunction with DD Form 250, Material Inspection and Receiving Report. The PM should be aware that Down Select Test and Verification (DST&V) is not part of Acceptance testing unless prescribed in the DST&V Plan. Traditionally, DST&V is conducted after the Coast Guard has accepted the product (i.e. signed the DD-250). Acceptance trials must focus on the product's attainment of the specification requirements.

## **SECTION 4: EVALUATION METHODOLOGY**

### **4.1 Verification and Validation Evaluations**

Discuss the scope of the developmental test (DT) process. If the Coast Guard is providing the test plan to the vendors, the checklist and method of testing must be included in this section. Include Modeling and Simulation, if utilized. If the solicitation included contractor developed test procedures and/or a test verification matrix, include that information here. This section should include the method by which data will be collected and analyzed to determine if it meets the specification.

## **SECTION 5: DEVELOPMENTAL TEST REPORT**

Describe how the project will document test results and the reports that will be prepared following DT to support OT and ADE-3. In many cases, the signed DD-250 and acceptance of the product serves as the DT Report and entrance criteria to begin DST&V (if necessary) or OT.

**This page intentionally left blank.**

## **8.0 OPERATIONAL TEST PLAN**

### **8.1 Operational Test Plan Purpose**

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

### **8.2 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 Appendix.

It is recommended that Operational Test planners review U.S. Navy Commander Operational Test and Evaluation Force (COMOPTEVFOR) Instruction 3980.1, Operational Test Director's Manual ([www.public.navy.mil/cotf/](http://www.public.navy.mil/cotf/)).

### **8.3 Operational Test Plan Approval**

Following consensus through matrix level concurrent clearance, the Sponsor approves the OT Plan. An approved OT Plan is required prior to commencing OT, unless waived by the Chief Acquisition Officer, Commandant (CG-9), or Commandant (CG-6) for IT projects.

**8.4 Operational Test Plan Approval Page Template**

*OPERATIONAL TEST PLAN*

*for the*

*[PROJECT TITLE]*

Submitted by: \_\_\_\_\_ Date \_\_\_\_\_  
Sponsor's Representative (CG-YYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Project Manager (CG-YYYY)

Endorsed by: \_\_\_\_\_ Date \_\_\_\_\_  
Program Manager/Office Chief (CG-YYY)

Approved by: \_\_\_\_\_ Date \_\_\_\_\_  
Sponsor (CG-Y)

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## Operational Test Plan- Content Requirements

### 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 bulleted 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 Operational Test and Evaluation (OT&E) 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.

**Examples of Effectiveness Requirements**

Operational Effectiveness		
Requirement	Parameter	Threshold
Speed	Minimum Top Speed	25 Knots
	Continuous Speed (Sea State 2)	20 Knots
Interoperability	Communicate with RESCUE 21	99.5%
Range	Minimum Distance Transited	100 NM

### 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**

Operational Suitability		
Requirement	Parameter	Threshold
Reliability	Mean Time Between Maintenance Actions	1000 Hours
	Mean Time Between Failures	2000 Hours
	Mean Time Between Critical Failures	5000 Hours
Maintainability	Mean Time To Repair	2.5 Hours
Operational Availability	Percentage Of Time Available To Start Mission	80%

## 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/contract documentation, including witness of tests and trials. The PM will coordinate with the Sponsor's Representative logistical needs to conduct OT including transportation, resourcing and planning.

### 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 as they relate to operational effectiveness and operational suitability. The Sponsor's Representative will identify and designate a Test Director or Test Manager who will be responsible for on-site direction or management of OT. 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 X) necessary to execute the Operational Testing. The Sponsor's Representative is also responsible for defining Critical Operational Issues (COIs), including operational functions, effectiveness and suitability requirements. The Sponsor's representative shall prepare and route 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 OT Personnel

An individual, team, or unit may serve as the OT testing personnel to locally conduct, oversee, facilitate, or manage OT test objectives at a CG unit. The OT testing personnel 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 ensure a progression 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 (OIC) will have unit command authority over the system during operations. Evaluation personnel shall notify the OT unit CO/OIC of any issues regarding safety. If the issue involves a modification to the system, the CO/OIC 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.

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 Oversight. Describe the oversight plan for ensuring Operational test execution follows the prescribed process/procedures outline in the planning documentation.

Operational Test Events, Scope of Testing, and Scenario. Summarize the scenarios that flow from the Requirements Document 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 logistics 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 Critical Operational Issues (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 COIs derived from the Sponsor's Requirements Document. COIs 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.

COIs 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 COIs 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 COIs 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 COIs 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 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 COIs, 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; Reliability; 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 COIs. 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 logistics 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 OT testing personnel 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 gives a brief overview of the evaluations that were conducted during OT, and addresses the performance of the system in all observed areas. This report must clearly indicate whether the system is considered a safe and effective platform for USCG operations. For any Operational Effectiveness COIs not met or partially met as determined by the OT Evaluation, the report recommends alternate limitations for the subject area of operations.

The Sponsor's Representative completes the final OT report with input derived from the OT and technical authority units report to the Sponsor. This report provides an overview of the OT process, and must address each of the Operational Effectiveness and Operational Suitability COIs, providing an evaluation rating and a brief narrative to support the rating. This report must address any significant issues under each COI. For any Operational Effectiveness COIs not met or partially met as determined by the OT Evaluation, the report recommends 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. Describe the Verification, Validation and Accreditation efforts performed on the Models and Simulations being used.

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 Performance Support and Training (PS&T). Identify manpower and performance support 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.

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.

**Sample Test Funding (\$K)**

	FY06	FY07	FY08	FY09	FY10	FY11	TOTAL
OT			100	100	100	150	450

The Operational Test Plan should project the key resources necessary to accomplish OT. As system acquisition progresses, reassess test resource requirements and reflect any changed system concepts or requirements in subsequent updates.

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## 9.0 Non-Major Project Manager Charter Template

U.S. Department of  
Homeland Security  
  
United States  
Coast Guard



Commandant  
United States Coast Guard

2100 2<sup>nd</sup> Street SW, Stop XXXX  
Washington, DC 20593-XXXX  
Staff Symbol: CG-XXX  
Phone: (202) 475-XXXX  
Fax: (202) 475-XXXX

5200

## MEMORANDUM

From: *FI. MI. Last Name*, RADM  
Commandant (CG-9/CG-6)

Reply to: CG-924/CG-66  
Attn of: *FI. Last Name*

To: *FI 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 Objectives. 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;
- Note:** The Sponsor's Representative may co-chair the CCB when appropriate.
- (9) Maintain DHS Acquisition Program Manager Certification (***show level***), and maintain certification by satisfying biennial skills currency requirements identified in reference (c).
  - (10) Continually populate the Acquisition Directorate's Lessons Learned Database (coordinate with CG-924) as key events produce shared insights for enhancing acquisition processes.

c. Your Authority. You shall:

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

**Note:** Final approval for funds usage resides with the designated funds manager.

- (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.

#

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

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**10.0 Non-Major Nomination Memorandum Template**

**U.S. Department of  
Homeland Security**  
**United States  
Coast Guard**



Commandant  
United States Coast Guard

2100 2<sup>nd</sup> Street SW, Stop XXXX  
Washington, DC 20593-XXXX  
Staff Symbol: CG-XXX  
Phone: (202) 475-XXXX  
Fax: (202) 475-XXXX

5000

**MEMORANDUM**

From: ***FI. MI. Last Name***, RADM  
CG-9/CG-6

Reply to CG-924/CG-66  
Attn of: ***FI Last Name***

To: ***Name***, VADM  
DCMS

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:

Project	Sponsor	Project Manager
<b><i>Project Name</i></b>	<b><i>Name, Rank, Code</i></b>	<b><i>Name, Rank, Code</i></b> <sup>1</sup>

Note (1): Non-major acquisition PMs shall be DHS Acquisition PM certified and chartered by Commandant (CG-9) or Commandant (CG-6).

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.

Project	Approve	Disapprove	Date
<b><i>Project Name</i></b>			

#

Appendix A to COMDTINST M5000.11B

Distribution:

VCG

CG-1 CG-1B3

CG-4 CG-44 CG-45

CG-6 CG-64

CG-7 CG-731 CG-751 CG771

CG-8 CG-82

CG-9 CG-91 CG-92 CG-93

CG-094

## 11.0 Mission Need Memorandum Template

U.S. Department of  
Homeland Security  
  
United States  
Coast Guard



Commandant  
United States Coast Guard

2100 2<sup>nd</sup> Street SW, Stop XXXX  
Washington, DC 20593-XXXX  
Staff Symbol: CG-XXX  
Phone: (202) 475-XXXX  
Fax: (202) 475-XXXX

5000

# MEMORANDUM

From: FI. MI. Last Name, CAPT  
CG-XXX (*Sponsors Representative*)

Reply to: CG-XXXX  
Attn of: *FI Last Name*

To: CG-9/CG-6

Thru: CG-X

Subj: MISSION NEED FOR *PROJECT NAME*

1. Required Operation and Need. Briefly identify the required mission in functional terms and capabilities necessary to accomplish the mission. Focus on the problem that needs to be addressed. This memorandum also serves as the Sponsors request for a potential Non-Major project.

2. Capability Gap. Describe the current capabilities and gaps in the context of how USCG and its stakeholders currently perform this operation. Discuss what other existing and planned systems are conducting the same or similar operations. Asses why it is not possible to perform this mission with existing capabilities and resources by showing that existing systems cannot provide the required capability (i.e. the current capability will have exceeded its service life).

3. Program Justification. Link or trace the defined mission to the DHS Strategic Plan and its goals and objectives. State how the investment will support core/priority mission functions that have to be performed by the Federal Government. Discuss the proposed acquisition goals and objectives in terms of gaps required to be filled. Include the preliminary ROM Life Cycle Cost Estimate (LCCE). Briefly discuss the impact of not receiving approval on the program, including impacts on current and planned capabilities.

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Copy: DCO, DCMS, CMDT (CG-094, CG-1, CG-4, CG-6, CG-7, CG-771, CG-8, CG-9, CG-92, CG-93, CG-924)

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## 12.0 Project Responsibility Transfer Memorandum Template

U.S. Department of  
Homeland Security  
  
United States  
Coast Guard



Commandant  
United States Coast Guard

2100 2<sup>nd</sup> Street SW, Stop XXXX  
Washington, DC 20593-XXXX  
Staff Symbol: CG-XXX  
Phone: (202) 475-XXXX  
Fax: (202) 475-XXXX

5000

## MEMORANDUM

From: *FI. MI. Last Name*, RADM  
CG-9/CG-6

Reply to: CG-924  
Attn of: *FI Last Name*  
202-475-xxxx

To: CG-7  
CG-4

Subj: PROJECT RESPONSIBILITY TRANSFER MEMORANDUM (PRTM) FOR THE  
*PROJECT NAME*

Ref: (a) Acquisition Decision Memorandum for the *Project Name*  
(b) Coast Guard Configuration Management Policy, COMDTINST 4130.6 (Series)

1. The *Project Name* project has transitioned to sustainment. Full Operating Capability (FOC) was achieved with the final *Asset Nomenclature or Asset Name* delivery on *Date*. All acquisition funding appropriations (\$xxxK) have been expended.
2. In accordance with reference (b), during sustainment, the *Platform Manager or Title* will control changes to the functional baseline and the *Product Line Manager or Title* will control all changes to the physical baseline. The *Product Line Manager or Title* has also assumed logistics support responsibility for the *Asset Nomenclature*.
3. The *Asset Nomenclature* is no longer considered a Non-Major Acquisition Project in accordance with Non-Major Acquisition Process Manual, COMDTINST 5000.11 (series).

#

Copy: VCG, DCMS, COMDT (CG-93, CG-924, CG-xxx)

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## PART II. BRIEFINGS

Briefings provide a key opportunity for the Project Manager to communicate project issues. Follow the guidance provided in this section to the maximum extent practicable. Deviations are authorized when, in the PM's judgment, a deviation is needed to better explain and present key issues.

**At a minimum, all Non-Major Acquisitions are required to brief senior Coast Guard acquisition leadership at least once a year. If the project has not had an ADE briefing within the year, the project shall participate in the Coast Guard Annual Review.**

**Slide Labeling Requirements:** (for all "acquisition/business sensitive" briefs)

- Cover Page: "This brief contains Acquisition Sensitive material and should not be disclosed or released except as stipulated in FAR 3.104-4."
- Subsequent Pages: "ACQUISITION SENSITIVE MATERIAL -- SEE FAR 3.104-4"

### 1.0 COAST GUARD ANNUAL REVIEWS

- Title Slide. Include the project name, presenter, and the audience.
- Agenda. A list of the topics presented.
- Overview. The mission of the project should be clearly described and the acquisition strategy presented. The PM, Contracting Officer, and Sponsor should be identified. PM and Contracting Officer certifications should be identified. The system assets and capabilities being acquired should be described. The current phase of the acquisition project should be shown.

**Note:** Include a picture or graphic that reflects the project.

- Documentation Status. Provide the approval dates and current status for all required documents. Indicate documents under development and focus comments on new documentation being developed as part of current acquisition phase.
- Project Status. Highlight significant progress since the projects last briefing and identify the status of any action items at that time. Indicate date of last briefing. Achievements should include progress against approved Exit Criteria.
- Schedule. Provide the planned and actual project schedule with all ADEs and key project events identified. Highlight important events in the next twelve months.

**Note:** Include a graphic showing the schedule.

- Contract Status. Identify all funding information for each active contract. Include a status of all undefinitized contract actions, requests for equitable adjustments, claims, and include key contract options dates and amounts.
- Cost Schedule and Performance Status. Compare the actual cost, schedule and performance parameters versus the currently approved Project Plan (PP) baseline and address how the project is performing towards achieving the cost, schedule and performance parameters contained in the PP. Any anticipated revisions to the

baseline should be discussed.

- Budget and Funding Status. Provide the funding history and future projections for the project including acquisition, construction, and improvement (AC&I) and operating expense (OE) funds. Provide a comparison of the budgeted amounts to the current estimate; identify actual or anticipated funding surplus or shortfall for each fiscal year and its impact on the project. A current status of budgeted funds, obligations, and expenditures should be provided.
- Logistics Status. Provide the planned and implemented logistics for the project.
- Issues/Concerns. Identify and describe each important technical, cost, schedule, or project concern that has surfaced in the project and remains unresolved. Discuss the impact each concern has, or might have, on project execution and future funding.
- Project Summary. Provide a top level project summary, highlighting any key issues that may require senior management attention. Address the status of any ongoing external reviews/audits.
- Conclusion. Provide closing remarks highlighting the successes of the project. If any decisions are requested, restate the decision requested.

**Note:** PMs are expected to tailor the above format as needed to get their message across to the audience and any specific agenda.

## **2.0 ACQUISITION DECISION EVENT REVIEWS**

ADE reviews are intended to provide the Decision Authority (DA) with an appropriate level of information from which a decision can be reached concerning project progress and subsequent entry into the next acquisition phase. The following paragraphs provide standard formats for the briefs to the DA. While the formats are 'standard', the PM can deviate where needed in order to adequately present the information needed to support an ADE decision.

### **2.1 ADE-1 Validate the Need**

This brief is given to formally initiate the project, establish the project as a Non-Major Acquisition, obtain approval for tailoring, and to gain entry into the Analyze/Select Phase. Sponsor's Representatives should use this format when developing a presentation for approval at ADE-1. The brief will be provided to the CG EOC.

- Decision Requested. State the decision(s) requested such as: designation as a Non-Major acquisition; approval of the projects strategic direction/mission need; approval of the Project's high level documentation tailoring plan (profile of NMAP documents); approval of the Acquisition Strategy; approval of the recommended PM certification level; and authorization to proceed to the Analyze/Select Phase (one slide).
- Need for Asset. Provide a short Program/Project description. Identify the legislative mandates or operational goals. Address mission deficiency in broad functional terms

(one slide). Discuss planned capability in functional terms.

- Project Schedule. High level timeline of major project milestones (with greater detail in this year and next year). Show dates of major activities/events (e.g., Initial Operating Capability (IOC) and decision points (ADEs)). (One slide).
- Budget and Funding Status. High level view of project funding received, current funding requirements, and out-year requirements, by fiscal year. Show total acquisition cost estimate and life cycle cost estimate. Identify sources and types of funds (a one slide chart is the preferred layout). Provide explanation if funding exceeds Level III maximum levels (e.g., LCCE below \$300M without personnel costs but above \$300M with personnel costs).
- Proposed Acquisition Strategy. Describe the proposed acquisition strategy (i.e., high-level Statement of Need, Cost, Capability or Performance, and Risk). An Acquisition Strategy should convey the overall purpose and need for the asset or system, how and where it will be used, the overall plan and schedule for the acquisition, competition and contracting considerations, and the overall business and technical management approach.
- Proposed Level of Tailoring. Provide the proposed high level documentation tailoring plan and justification for the level of tailoring.
- Proposed Exit Criteria. Provide the proposed exit criteria for the Analyze/Select Phase.
- Issues/Concerns. Describe the projects key areas of concern (one page).
- Conclusion. Provide closing remarks highlighting the successes of the project. If any decisions are requested, restate the decision requested.

## 2.2 ADE-2 Approve the Acquisition & ADE-3 Approve Production

Project Staffs should use this format when developing presentations for ADE-2 and ADE-3.

- Acquisition Decision Requested. State the decision(s) requested such as: approval to enter the next acquisition phase.
- Overview. The mission of the project should be clearly described. The PM, Contracting Officer and the Sponsor should be identified. PM and Contracting Officer certifications should be identified. The system assets and capabilities being acquired should be described. The current phase of the acquisition project should be shown.

**Note:** Include a picture or graphic that reflects the project.

- Documentation Status. Provide the approval dates and current status for all required documents. Indicate documents under development and focus comments on new documentation being developed as part of current acquisition phase.
- Project Status. Discuss where the project stands relative to the Exit Criteria established at the previous ADE brief.

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- Acquisition Strategy. Address overall project planning, including logistics support, configuration management, training, and test and evaluation.
- Contract Status. Identify all funding information for each active contract. Include a status of all undefinitized contract actions, requests for equitable adjustments, claims, and include key contract options dates and amounts.
- Cost Schedule and Performance Baseline. Identify the key parameters to be included in the baseline for cost, schedule, and performance (if applicable).
- Budget and Funding Status. High level view of project funding received, current funding requirements, and out-year requirements, by fiscal year. Show total acquisition cost estimate and life cycle cost estimate. Identify sources and types of funds (a one slide chart is the preferred layout).
- Project Schedule. Provide the planned and actual project schedule with all ADEs and key project events identified. Highlight important events in the next twelve months. Note: Include a graphic showing the schedule.
- Logistics Status. Provide the planned and implemented logistics for the project.
- Proposed Exit Criteria. Provide the proposed exit criteria for the next acquisition phase.
- Issues/Concerns. Describe the project's key areas of concern.
- Conclusion. Provide closing remarks highlighting the successes of the project. If any decisions are requested, restate the decision requested.

## List of Changes

<b>Significant Changes</b>			
	<b>Chapter/Section</b>	<b>Description of Change</b>	<b>Reason for Change</b>
1	Throughout document	Incorporated Non-Major C4&IT projects into the Non-Major Acquisition Process, and added roles and responsibilities for CG-6 and CG-66.	CG-6/CG-9 agreement. Enables select C4&IT projects to go before EOC to have proper governance and planning.
2	Page 2, Para 4 note	Added that new start projects seeking Acquisition, Construction and Improvement (AC&I) funding with inclusion in the Capital Investment Plan should follow the MSAM (CI M5000.10 (series)) Acquisition Decision Event (ADE-0) process to support a budgetary decision.	Updated to provide a mechanism for an AC&I budget decision.
3	Page 2, Para 5	Adds prior review and concurrence by the applicable Cutter, Boat or Aviation Resource Council is recommended.	Provides improved guidance to projects on the Non-Major project recommendation process.
4	Page 2, Para 5	Shows NMAP process is initiated with the Mission Need Memorandum.	Clarity of the process to initiate a potential Non-Major acquisition.
5	Page 9, Table 1	Added Mission Need Memorandum for ADE-1 (Mission Need was a section of the Requirements Document in CIM 5000.11A).	Clarity of the process to initiate a Non-Major acquisition, and shows proper placement to document Mission Need in the acquisitions life cycle.
6	Page 9, Table 1	Added footnote #1 to enclose Mission Need Memorandum as per template on page A-63 of this manual (The Mission Need memorandum also serves as the sponsors request for a potential Non-Major project).	Provides improved guidance to projects on the Non-Major project recommendation process.
7	Page 9, Table 1 & Page 11-12	Clarified approval authorities for projects managed inside CG-9 and outside of CG-9	Clarity/improved guidance.
8	Page 9, 2 <sup>nd</sup> bullet in notes	Added guidance: Level 3 acquisitions are determined initially by the CG, but must be verified with DHS at ADE-2. Copies of project documentation (Mission Need memorandum, Requirements Document and Project Plan) will be provided to DHS (by CG-924) per DHS Instruction 102-01-001 for	Compliance with DHS AD-102 policy.

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<b>Significant Changes</b>			
	<b>Chapter/Section</b>	<b>Description of Change</b>	<b>Reason for Change</b>
		information.	
9	Page 10, Section 7	Moved PRR to before OTRR. Show that CDR and PRR are approved by the Program Manager or Office Chief, and that OTRR is approved by the Sponsors Representative. Show that C4&IT projects follow SDLC Policy (COMDTINST 5230.66 series)	Follows DHS AD-102 policy/CG SDLC policy/improved guidance.
10	Page 11 & Page A-74	Removed requirement to maintain DHS Level 1 PM certification, and reworded to maintain DHS Acquisition PM certification IAW the PM Charter. (PM Charter will assign certification level).	In preparation for pending DHS policy change for all PMs to be “Mid-Level” (aka Level II) certified.
11	Page A-2, Table A-1	Added Table A-1, NMAP Activities which shows a high-level depiction of the relationship between NMAP activities, including the PM, Sponsor, Systems Engineering, Logistics Management, Test and Evaluation, and Contracting Actions to the Acquisition Decision Events.	Clarity/improved guidance.
12	Page A-3, Table A-2	Included guidance for typical contracting actions/events completed during NMAP Phases as listed in Table A-2.	Clarity/improved guidance.
13	Page A-5. Table A-3	Added Table A-3: Concurrent Clearance Matrix, which shows (at a minimum) which offices should be included on the Concurrent Clearance.	Clarity/improved guidance.
14	Page A-5, Section 1.2	Added step by step explanation of the Concurrent Clearance process.	Clarity/improved guidance.
15	Page A-7, Table A-4	Added to Routing Documents for approval: For documents that require approval/signature, the contents of the package to be routed for signature is the same as shown in Table A-4.	Clarity/improved guidance.
16	Page A-16	Deleted Mission Need section from the Requirements Document Template (Mission Need Memo is completed for ADE-1).	Clarity of the process to initiate a potential Non-Major acquisition.
17	Page A-24, Section 2	Per latest DHS policy, Project Plan now shows cost thresholds should be no more than 15% increase of objective. Schedule	Compliance with DHS policy change (cost threshold was 8% increase of

<b>Significant Changes</b>			
	<b>Chapter/Section</b>	<b>Description of Change</b>	<b>Reason for Change</b>
		thresholds should be no more than 180 days past objective.	objective in prior AD-102).
18	Page A-24, Section 2, Last para.	Added note: If Acquisition Baseline parameter thresholds are not met, then a revision of the Project Plan is required (include in the Project Plan the root cause, project impact and corrective action). KPP thresholds not met also require evaluation by the Sponsor of continuance of the project and/or revision of the Requirements Document.	Clarity/improved guidance.
19	Page A-27, Section 6, 1st para.	Added to Master Test Plan: If the solicitation requires test procedures and verification of compliance with requirements from the contractor, this section should discuss these requirements and its associated impact on testing.	Clarity/improved guidance.
20	Page A-28, Section 6.2, 3rd para.	Added to Master Test Plan: This section should address the governing document(s) by which the test procedure is measured. For example, DT compares the product to the contract specification, Down Select Test and Validation (DST&V), if applicable, uses the DST&V Plan/Procedures to guide its assessment, and finally, OT measures the outcomes of OT with the Requirements Document and its Effectiveness and Suitability requirements.	Clarity/improved guidance.
21	Page A-29, Section 6.6.1, 1 <sup>st</sup> para.	Added to Master Test Plan: For Commercial product acquisitions, recommend the solicitation require the contractor to develop and include as part of the proposal, a Test Verification Matrix to demonstrate compliance with the requirements of the contract.	Clarity/improved guidance.
22	Page A-33 note	Added note: If there is a conflict between the provisions of this manual, and other logistics references, then this manual takes precedence (for Non-Major Acquisitions).	Clarity/improved guidance.
23	Page A-43 thru A-50	Updated the Configuration Plan template based on input from CG-444.	Clarity/improved guidance.
24	Page A-53 thru A-59	Added template for Developmental Test (DT) plan.	Improved guidance (DT plan was previously required by the NMAP, but no template was provided).

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<b>Significant Changes</b>			
	<b>Chapter/Section</b>	<b>Description of Change</b>	<b>Reason for Change</b>
25	Page A-61, Section 8.2, 2 <sup>nd</sup> para.	Added to OT plan preparation: It is recommended that Operational Test planners review US Navy Commander Operational Test and Evaluation Force (COMOPTEVFOR) Instruction 3980.1, Operational Test Director’s Manual at <a href="http://www.cotf.navy.mil">http://www.cotf.navy.mil</a>	Recommended by the RDT&E program, T&E manager.
26	Page A-74, Section 3.b (10)	Added to PM Charter template: Continually populate the Acquisition Directorate’s Lessons Learned Database (coordinate with CG-924) as key events produce shared insights for enhancing acquisition processes.	Best practice.
27	Page A-79	Added template for the Mission Need memorandum.	Improved guidance.
28	Page A-81	Added Project Responsibility Transfer Memorandum (PRTM) template.	Improved guidance (PRTM was previously required by the NMAP, but no template was provided).
29	Page A-83 thru A-86	Expanded briefings (ADEs and Annual Reviews) Section to include “how to” guidance.	Clarity/improved guidance of brief. content.