DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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SECNAVINST 4105.1A
ASN(RDA)
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SECNAV INSTRUCTION 4105.1A

From: SECRETARY OF THE NAVY

Subj: INDEPENDENT LOGISTICS ASSESSMENT (ILA) AND CERTIFICATION REQUIREMENTS

Ref: (a) SECNAVINST 5000.2 Series
(b) SECNAVINST 5400.15A of 26 May 95
(c) NAVSO P-3692, Independent Logistics Assessment Handbook

Encl: (1) Independent Logistics Assessment Certification Criteria

1. Purpose. To implement the requirements of reference (a) regarding policy and guidance for Independent Logistics Assessments (ILA) and standardize the ILA certification process across the Department of the Navy (DON).

2. Cancellation. SECNAVINST 4105.1.

3. Background. Assessments independent of the system developers ensure an impartial evaluation of program status. Consistent with references (a) and (b), the ILA process provides the program manager and Milestone Decision Authority (MDA) with a measure of Integrated Logistics Support (ILS) planning and implementation. In addition, assessments of logistics support programs prior to Initial Operational Capability and Full Operational Capability (IOC/FOC) by the program manager and user community ensure timely awareness of potential deficiencies requiring immediate attention and corrective action. The assessment process provides an effective methodology for evaluating risk, life cycle cost, supportability, and support system performance from a Total Life Cycle Systems Management (TLCSM) perspective.

4. Scope. This instruction applies to all DON acquisition programs (including joint service programs, whether the DON is the executive, participating, or lead service) covering systems that are developed, operated, maintained, and supported by the Navy and/or Marine Corps. Systems under the responsibility of the Director, Strategic Systems Programs, and the Nuclear Power Directorate of the Naval Sea Systems Command are exempted.

5. Policy

a. Results of ILAs shall be the basis for logistics certification and serve as an entrance criteria for acquisition milestones B and C and the Full Rate Production (FRP) decision. ILAs shall be conducted on joint service programs for Navy/Marine Corps segments (including joint service programs whether the DON is the executive, participating, or lead service). For programs where the MDA is not the Navy (e.g., Acquisition Category (ACAT) ID or IAM (Major Automated Information System)), the designated Navy acquisition executive will require completion of an ILA and certification of the results prior to review by the MDA.

b. As the principal logistics agent for the Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN(RDA)), the Deputy Assistant Secretary of the Navy for Logistics (DASN (L)) shall ensure compliance with the requirements of this instruction and advise the MDA of the adequacy of the program's logistics support at milestone and major program decisions for all ACATs.

c. The cognizant Program Executive Officer (PEO), Direct Reporting Program Manager (DRPM), or Systems Command (SYSCOM) Commander shall:

(1) Ensure ILS planning, resources, risk and execution are independently assessed for compliance with program objectives and readiness to proceed. This independent assessment shall be accomplished on a schedule that supports acquisition decision milestones B and C and the FRP decision.

(2) Report and certify to the MDA, prior to milestones B and C and FRP decision meetings, the adequacy of ILS planning, management, resources, risk mitigation, and execution for cognizant ACAT programs. Certification shall be based on the results of the ILA using the criteria contained in enclosure (1).

(3) Assess metrics for achieving established and approved Capability Development Document (CCD) logistics requirements in conjunction with the user at IOC and FOC.

6. Actions

a. For ILAs, the PEO, DRPM, or SYSCOM Commander shall:

(1) Ensure a documented process is in place that implements the requirements of this instruction and addresses the overall management of ILAs.

(2) By the second week of August each year, publish and submit a schedule of ILAs to support planned milestone decisions for the next fiscal year to the DASN (L), Deputy Chief of Naval Operations (DCNO(N4)), and the Deputy Commandant of the Marine Corps, Installations and Logistics (DCMC (I&L)).

(3) Provide adequate notification to all stakeholders, participants and Fleet representatives as identified in reference (c) prior to the initiation of each assessment. Adequate notification is defined as receipt of notification at least four weeks prior to initiation of the assessment.

(4) Ensure ILAs are conducted using the guidance contained in reference (c).

(5) Designate a qualified team leader and provide resources to establish an assessment team. The team leader is responsible for selecting qualified team members. Qualifications for team leaders and members are as follows:

(a) Independence: Team leaders and members must be independent of the program. In order to avoid conflicts of interest, independent is defined as an individual who is not active nor has been recently active in the management, design, test, production or logistics planning of the program, whether from the program office, supporting field activity, or a member of a contractor activity.

(b) Education: Defense Acquisition Workforce Improvement Act Level III or equivalent certification for team leaders and level II or equivalent for team members in Program Management, Acquisition Logistics or Systems Engineering career fields.

(c) Experience: Team leaders must have participated in at least one ILA as a team member. Team members must work in a program management, systems engineering or logistics-related function.

(d) Fleet/user: Fleet/user representatives must be invited to participate in the ILAs and are exempt from the above education and certification requirements.

(6) Ensure the following factors of the ILS program are evaluated regardless of the product support strategy: design interface; management; budgeting and funding; maintenance planning; support equipment; supply support; manpower, personnel and training; packaging, handling, storage, and transportation; configuration management; technical documentation and data; environmental, safety and occupational health; facilities; and computer resources and

software support. Reference (c) contains specific evaluation criteria.

(7) Provide assessment reports and certifications to the MDA; the DASN (L); the DCNO(N4); the DCMC (I&L); the respective DASN whose portfolio contains the subject program; and all stakeholders. Ensure the ILA report identifies the ILS factors assessed during the review and provides rationale for each area not assessed. The report shall contain the resultant observations/findings based on a review of the program. Using the guidance contained in reference (c), draw conclusions regarding the program's ILS posture and its ability to meet established performance metrics. Provide recommendations regarding ILS certification. Based on the observations/findings and using the criteria of enclosure (1), categorize each ILS factor as red, yellow, or green which provides the basis for the overall program certification rating. The report and certification should be distributed as soon as possible following completion of the assessment but at least one month prior to the milestone decision to facilitate resolution of any issues.

(8) Provide a Plan of Action and Milestones (POA&M) addressing ILA corrective action of yellow and red issues to the MDA (or via the Navy acquisition executive if Navy is not the MDA), the DASN (L), the DCNO(N4), the DCMC (I&L) and the respective DASN whose portfolio contains the subject program. Perform corrective action, validated by the team leader, in accordance with the POA&M.

b. For IOC and FOC, the PEO, DRPM, and SYSCOM Commander shall:

(1) Ensure a process is in place to assess the readiness of the logistics program for IOC (or Fleet introduction) and FOC.

(2) Assess logistics readiness in conjunction with the user prior to IOC or Fleet introduction and FOC. Additional guidance for these assessments is contained in reference (c).

(3) Certify the adequacy of logistics support. Certification shall address each logistics factor, identifying any deficient areas and providing work-around plans that have been fully coordinated with and agreed to by the end user. The certification statement shall be signed by the respective Program Manager (PM) and the associated PEO, the respective DRPM or the respective PM and associated SYSCOM. At a minimum, results of these assessments and subsequent certification statements (whether via naval message or formal letter) shall be provided to the MDA, the DASN (L), the DCNO(N4), the DCMC (I&L), the PM, the Commander, Fleet Forces

Command and the respective DASN whose portfolio contains the subject program.

c. In regard to TLCSM, the program manager shall support the conduct and completion of ILAs, IOC and FOC reviews using the guidance of reference (c).

d. DASN (L) shall:

(1) Oversee the timely implementation and effectiveness of the assessment and certification processes.

(2) Adjust policy and guidance as required to ensure the effectiveness of the logistics assessment process.

(3) Provide representation on ACAT I/II ILAs and IOC/FOC assessments. Provide support on other ACAT ILAs as required.

(4) Review assessment reports, POA&Ms, and corrective actions and provide recommendations to the ASN(RD&A) prior to the milestone review. Adjudicate any non-concurrences with the ILA issues and recommendations.

(5) Maintain a file of all PEO/DRPM/SYSCOM ILA reports and certification statements.

e. DCNO(N4) and DCMC (I&L), as appropriate, shall:

(1) Provide support to DASN (L) as required.

(2) Review assessment reports, POA&Ms, and corrective actions and coordinate recommendations to DASN (L).

(3) Provide representation on ACAT I/II ILAs and IOC/FOC assessments. Provide support on other ACAT ILAs as requested by DASN (L).

f. Applicable stakeholders, as identified in reference (c) shall participate in ACAT I/II ILAs and IOC/FOC assessments, as appropriate.

7. Reports. The reports required by this instruction are exempt from reports control by SECNAVINST 5214.2B.

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INDEPENDENT LOGISTICS ASSESSMENT CERTIFICATION CRITERIA

Acquisition programs are to be logistically certified utilizing the criteria below.

GREEN (READY TO PROCEED)

A program is logistically certified when there are no or only minor issues. Each issue has an approved mitigation plan in place to eliminate the deficiency prior to the milestone decision. There is no impact in the program's ability to meet logistics performance requirements within cost and schedule.

YELLOW (CONDITIONALLY READY TO PROCEED)

A logistics program is conditionally certified when issues of moderate risk exist with established, detailed action plans in place. However, the resolution of the deficiency will not occur prior to the milestone decision and requires continued monitoring. Once the action is completed, there is no expected degradation to logistics performance requirements and minimal impact to cost and schedule. Once identified actions are resolved as verified by the Independent Logistics Assessment (ILA) team lead, the program is considered logistically certified.

RED (NOT READY TO PROCEED)

A logistics program is not certified when there are major issues or actions outstanding that have substantial impact on the program's ability to meet logistics performance requirements within cost and schedule. The program should not proceed to a milestone decision until detailed action plans are developed and in place, which meet minimum logistics performance requirements with acceptable impacts to cost and schedule. Once these plans are in place and properly resourced to the satisfaction of the ILA team lead, the program is considered to be conditionally certified.