



DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND
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IN REPLY REFER TO

NAVSEAINST 4105.1
Ser 04PT/031
28 JAN 95

NAVSEA INSTRUCTION 4105.1

From: Commander, Naval Sea Systems Command

Subj: INDEPENDENT LOGISTICS ASSESSMENTS

Ref: (a) DODINST 5000.2 of 23 Feb 91
(b) SECNAVINST 5400.15 of 5 Aug 91
(c) SECNAVINST 5000.2A of 9 Dec 92
(d) SECNAVINST 5420.188C of 16 Jul 92
(e) SECNAVINST 5200.35C of 7 Jan 91

Encl: (1) Integrated Logistic Support Certification Criteria
(2) Integrated Logistic Support Self Assessment Guide
(3) Integrated Logistic Support Areas To Be Assessed
(4) Logistic Assessment Board Process and Members

1. Purpose. To promulgate responsibilities and procedures for conducting Independent Logistics Assessments (ILA), by the Naval Sea Systems Command and its affiliated Program Executive Officers (PEO) and Direct Reporting Program Managers (DRPM).

2. Exception. This instruction does not apply to the systems under the responsibility of the Director, Strategic Systems Programs (DIRSSP) and the Nuclear Power Directorate of the Naval Sea Systems Command.

3. Background. Department of Defense (DoD) and Department of Navy (DoN) policy for Integrated Logistics Support (ILS) is outlined in references (a) through (e). ILAs for the acquisition of platforms/systems are required by reference (b). In the past assessments were conducted by N432 (Logistic Review Group) and SEA 04L (Logistic Readiness Reviews). This responsibility is now assigned to the cognizant PEO/DRPM/SYSCOM Commander. The new ILA process more actively involves the acquisition chain of command in both the assessment process and resolution of the deficiencies. The assessments are to be completed prior to program milestone decisions, Initial Operational Capability (IOC), Full Operational Capability (FOC) and the first Limited Rate Initial Production (LRIP) milestone when LRIP is not included in the Engineering and Manufacturing Development acquisition strategy or a subsequent ILA assessment. A certification of logistics readiness is to be made to the Milestone Decision Authority (MDA).

4. Scope. This instruction applies to all phases of all acquisitions by the Naval Sea Systems Command and its affiliated PEOs and DRPMs (including joint service programs whether the Navy

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is the Executive, Participating or Lead Service) which will introduce systems to be operated, maintained and supported by the Navy.

5. Responsibilities

a. PEO/DRPM/SYSCOM Commander. The cognizant PEO/DRPM/SYSCOM Commander is responsible for ensuring that ILS is reviewed for readiness to proceed and that results are reported to the cognizant MDA.

b. PEO/DRPM/SYSCOM Commander. The cognizant PEO/DRPM/SYSCOM Commander is responsible for certifying the adequacy of ILS planning, management, resources, and execution of all ACAT I, ACAT II, and ACAT III programs where the MDA resides with ASN(RD&A). The cognizant PEO/DRPM/SYSCOM Commander will determine the certifying official for all other ACAT programs. The certification criteria of enclosure (1) shall be used when certifying a program to the MDA.

c. DEPCOMs. With respect to the ILA, the responsibilities and authority of the Commander, Naval Sea Systems Command are delegated to the cognizant Deputy Commander.

6. Action

a. PEO/DRPM/DEPCOM. The PEOs/DRPMs/DEPCOMs will ensure that ILAs are completed for all ACAT I through ACAT IV programs as required by reference (a), using the following process as a guide:

(1) Schedule an assessment following the timeline requirements for each program approaching a milestone decision and IOC.

(a) Ensure that appropriate program milestones are identified and reviewed, the required assessment completion date is determined and the assessment schedule is published. Provide ILA schedule and milestones to SEA 04.

(b) Conduct a logistics self assessment of the program to validate its readiness to undergo the milestone ILA and document the results. An ILS self assessment report guide is provided as enclosure (2) and a sample self assessment report is available on request from SEA 04.

(c) Select an independent assessment Team Leader. For purposes of this instruction, independence is achieved when the assessing personnel have no direct responsibility for the product or program being assessed (i.e., no assessor is

evaluating his/her own work or decision, or that of anyone in his/her specific code). Acceptability of the team leader is the prerogative of the cognizant PEO/DRPM/DEPCOM. In general a team will be independent of the pertinent program; have practical experience in a similar program, program office, or product; and be Level 3 certifiable in the Defense Acquisition Workforce Improvement Act (DAWIA) logistics career field. When the DAWIA process is fully instituted, formal certification of the team leader to Level 3 in the logistics career field is desirable. SEA 04 will maintain a listing of potential team leaders to assist the cognizant PEO/DRPM/DEPCOM in selecting a Team Leader.

(d) Provide input to ensure the comprehensive NAVSEA Corporate assessment schedule, coordinated by NAVSEA 04, is current.

(2) Approve tailored assessment scope and criteria appropriate to the program under assessment.

(a) Ensure a broad program overview/brief is provided to the identified Team Leader. The purpose of this overview is to assure that the Team Leader is knowledgeable of the program particulars and is able to intelligently recommend the timeline, membership of the team, and the method to be used in the ILA.

(b) Approve assessment criteria, methods and milestones developed by the Team Leader in conjunction with the program office, customer representatives(s), and other concerned organizations, as deemed appropriate. The ILA may be conducted as a discrete event or as a series of events over a longer period as appropriate to the specific nature of the program, the resources available, and the scope of the assessment required. Tailoring of the assessment is appropriate to ensure that areas which are not pertinent to the program are not included while the breadth and depth of the assessment required by reference (a) is achieved. Documentation evaluated as part of the assessment will be that documentation normally used by the Program Office in its management function. It is not intended that logistics plans or products be developed or produced only for the purposes of the assessment. Logistic and other assessment teams will accept documentation in the Master Program Plan (MAPP) as satisfying reference (a) and subsidiary documentation requirements. Assessment milestones will provide for preparation of a comprehensive report of the assessment which supports the milestone decision process.

(3) Establish an Assessment Team. Independence is preferred for the Assessment Team Members (see paragraph 6.a.1.c). In consideration of the identified assessment method, and working with the appropriate organization, the Team Leader

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shall recommend a group of qualified team members to serve on the team. The Team Leader shall ensure a Team Member is identified to assess one or more of the specific areas deemed necessary to be reviewed which are listed by enclosure (3). The PEO/DRPM/DEPCOM, who have final approval authority for team composition, will either approve the team as submitted or direct changes. SEA 04 will maintain a listing of potential team members to assist team leaders in forming the recommended teams.

(4) Conduct Assessment. Ensure that the assessment is conducted according to the approved method and schedule.

(5) Determine any required actions in response to assessment report.

(a) Resolve issues identified within the assessment report. Convene the Logistic Assessment (LA) board where deemed necessary for resolution of outstanding issues identified during the ILA which have not been previously resolved by other means. The LA board process and its membership is described in enclosure (4). Approve the final ILA report, ensuring that it documents issues resolved and Plan of Action and Milestones (POA&M) for those outstanding issues.

(b) Ensure follow-up actions are completed and ILA issue status reports are developed by the program office and provided to interested personnel as appropriate. Enclosure (4) identifies the interested personnel who should be notified when all ILA actions are complete.

(c) Certify, to the MDA, program readiness to proceed to the next acquisition phase.

b. Team Leader. The identified Team Leader shall ensure that the assessment is conducted in accordance with reference (a) including the following:

(1) Conduct Assessment

(a) Request a documented self-assessment from the program manager.

(b) Attend and ensure attendance of team members at a detailed Program Overview/Brief provided by the cognizant Program Office. The purpose of this briefing is to assure that each team member is familiar with unique aspects of the program and its purpose.

(c) Conduct the independent assessment utilizing the established assessment criteria approved by the PEO/DRPM/DEPCOM.

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Document all draft/final assessment information (ILA announcement letter, schedule, agenda, milestones, issues, recommendations and status of ILA issues).

(d) Assemble information and resolve issues.

(1) Coordinate issue resolution with the Program Manager, Team Members, and Customer, as required. Ensure issues, agreements, and resolutions are clearly documented.

(2) Ensure that the PEO/DRPM/DEPCOM is kept informed of progress and issues during the course of the assessment.

(2) Provide Interim and Final Assessment Report.

(a) Prepare a draft (interim) assessment report for the PEO/DRPM/DEPCOM. Provide copies to the Program Manager, recipients identified by enclosure (4) as participants in the LA Board, and to other organizations as appropriate to the nature of the contents of the report.

(b) Prepare final report in sufficient time to support the milestone decision process and the certification of logistics readiness provided to the MDA. The report will be signed by the Team Leader and approved by the cognizant PEO/DRPM/DEPCOM. Ensure that copies are provided to all recipients of the draft reports and the MDA. The final report shall be prepared following the LA Board meeting, if convened, and clearly document the decisions reached. It must clearly indicate the logistics areas assessed and those not assessed, along with the rationale (e.g., area not applicable to the particular program, etc.). Enclosure (3) identifies the specific logistic areas to be reviewed during each logistic assessment. A sample ILA report is available on request from SEA 04. After distribution of the final ILA report team leaders ILA obligation to the PEO/DRPM/DEPCOM is complete.

c. Program Manager. The cognizant Program Manager shall ensure that the assessment is conducted in accordance with reference (b) including the following:

(1) Support the ILA process

(a) Coordinate with the Assessment Team Leader to ensure a valid and accurate assessment is achieved. It is intended that the assessment process be minimally disruptive to the program office, with primary importance placed on ensuring that a full and comprehensive evaluation is completed.

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(b) Assist other similarly scoped program assessments by providing staff, materials, and mutual assistance, as requested

7. Implementation. The above outlined ILA process is effective immediately. Minimally required steps for execution are outlined above. PEO/DRPM/DEPCOM may require additional measures be taken to ensure assessment accuracy and timeliness.



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INTEGRATED LOGISTIC SUPPORT CERTIFICATION CRITERIA

Programs are to be logistically certified utilizing the criteria below.

Green: (Ready To Proceed)

A program is logistically ready to proceed when there are no major issues to be resolved or actions required before the Program Decision Meeting and there are commitments and realistic completion dates set for all other important matters affecting supportability or life cycle affordability.

Yellow: (Conditionally Ready To Proceed)

A program is conditionally ready to proceed when there are major issues or actions outstanding to be resolved. The program may proceed, provided those issues and actions can be addressed and resolved subsequent to a milestone decision without unduly compromising supportability, readiness or life cycle cost.

Red: (Not Ready To Proceed)

A program is not ready to proceed when there are major issues or actions outstanding which require resolution before a Program Decision Meeting or when realistic resources, plans or commitments are not in place to resolve major issues or actions that are to be addressed after the Program Decision Meeting. Examples are:

Logistics planning and execution are inadequate to ensure delivery of fully supportable systems.

Accomplishments do not satisfy the intent of the Department of Defense or Department of Navy Policy.

Operational requirements do not adequately address supportability.

Valid support requirements are not fully funded and there are no approved work arounds established for the requirements.

Enclosure (1)

INTEGRATED LOGISTIC SUPPORT SELF ASSESSMENT GUIDE

1. References. Programs conducting a self assessment should refer to reference (a), Part 7, Section 2, attachments 1 and 2 for the specific considerations at Milestone decision points. In addition, enclosure (3) of this instruction, identifies the specific program areas to be appraised during an assessment.

2. Program Documentation. Review all program documentation to verify that each reflects the current program planning and execution. In addition documents should be dated and signed if required and reflect the most recent program planning. The Program overview presented to the Independent Logistic Assessment (ILA) team members should reflect this planning and execution.

3. ILS Elements. Review the planning and execution for each ILS element (see DoDI 5000.2, Part 7, Section A, attachment 1). If documentation for any of the ILS elements has not been developed or is not required, explain in the self assessment report.

4. ILS Self Assessment Report. It is recommended the ILS Self Assessment Report address the following areas as a minimum.

a. Identify the self assessment team and each team member's affiliation with the program being assessed.

b. State why the assessment is being conducted, to support which acquisition milestone.

c. Identify each ILS element assessed and state the adequacy or inadequacy of the program planning and execution.

d. State why the ILS element was judged as adequately or inadequately planned and executed.

e. ILS elements may be assessed as questionable if the self assessment team members are uncertain as to the adequacy or inadequacy of the planning and execution of the element.

f. Identify each ILS element which was not assessed and state why it was not assessed.

g. Team members evaluate the adequacy of the ILS planning and execution of the program to undergo an ILA in support of a Milestone decision. The program is scheduled for an ILA if the majority of the elements are judged to be adequately planned and executed. If a majority of elements are not judged as adequate the team develops POA&Ms to correct the deficiencies or makes a recommendation to seek outside help in solving the deficiencies.

Enclosure (2)

INTEGRATED LOGISTIC SUPPORT AREAS TO BE ASSESSED

The following specific areas identified below are to be reviewed during each logistic assessment. Additional information concerning the specific assessment areas is contained in the NAVSEA ILS Procedures Manual, volume II dated 29 May 1991. Updated information on Human Systems Integration (HSI) which includes manpower, training, personnel, safety, health hazards and human factors engineering may be found in reference (a), part 7, section B and reference (c). The logistic elements are cataloged by the work breakdown structure numbers which immediately follow the ILS elements identified below.

ILS Planning, 080-01: ILS management, budget and funding;

Design Interface, 080-02: Configuration Management, 041; Standardization, 070; Reliability and Maintainability, 076; Safety and Human Factors Engineering, 077; Survivability, 079; Logistic Support Analysis (MIL-STD-1388), 080-02-01; Design Manning and Testability, 080-02-02 and Quality Assurance, 090;

Maintenance Planning, 081: Including mission oriented operational availability, reliability centered maintenance, warranty, depot and system installation planning/schedules;

Support Equipment, 082: Including calibration requirements and 2M (gold disc development and parts support);

Supply Support, 083; Packaging, Handling, Storage and Transportation, 084; Computer Resources Support, 085;

Technical Data, 086: Including Technical Manual Contract Requirement (TMCR), Technical Manual SEATASK Requirement (TMSR), technical manuals, other maintenance publications, Maintenance Requirement Cards (MRC)s, Technical Repair Standard (TRS), drawings and drawing requirements, etc.);

Facilities, 087; Manpower and Personnel, 088; Training and Training Support, 089;

Continuous Acquisition and Life-Cycle Support (CALC); environmental planning factors and environmental impact analysis; environmental compliance and conservation; use of environmental preferable products and services; use of recyclable products; pollution prevention; hazardous materials control and management; occupational health and radiation safety.

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LOGISTIC ASSESSMENT BOARD PROCESS AND MEMBERS

Process. Convene and chair Logistic Assessment (LA) board meetings for programs under PEO/DRPM/SYSCOM Commander cognizance, as deemed necessary, to resolve issues resulting from the assessment and to provide recommendations to withhold or grant ILS certification and to proceed or not proceed to the milestone.

Members. The following flag-level members, or their designated representatives, comprise the LA board membership:

Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN (M&RA)).

Assistant Secretary of the Navy (Research, Development and Acquisition) (Logistics) (ASN (RDA)(LOG)).

Assistant Secretary of the Navy (Research, Development and Acquisition) (Product Integrity) (ASN (RDA)(PI)).

Assistant Secretary of the Navy (Installations and Environment) (ASN (I&E)).

DCNO (Manpower and Personnel) (N1) or Deputy Chief of Staff (DC/S) M&RA as appropriate.

Director of Naval Training (N7) or Commanding General Combat Development Command (CG MCCDC) as applicable.

Special Assistant for Safety Matters (N09F) or Director of Safety Division, Headquarter Marine Corps (HQMC) as applicable.

Representative or the cognizant Warfare area of system under review.

DCNO (Logistics) (N4) or DC/S I&L(L) as applicable.

Commander Naval Supply Systems Command (COMNAVSUPSYSCOM) or Commander Marine Corps Logistics Bases as applicable.

Commander Naval Facilities Engineering Command (COMNAVFACENGCOM) or Deputy Chief of Staff for Installations and Logistics (LF) as applicable.

Commandant of the Marine Corps (as appropriate).

Cognizant Training Agent (as appropriate).

Enclosure (4)