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SECNAVINST 4105.1B
ASN (RD&A)
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SECNAV INSTRUCTION 4105.1B

From: SECRETARY OF THE NAVY

Subj: INDEPENDENT LOGISTICS ASSESSMENT AND CERTIFICATION
REQUIREMENTS

Ref: (a) SECNAVINST 5000.2D
(b) SECNAVINST 5400.15C
(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 4105.1A.

3. Background. 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. Assessments independent of the system developers ensure an impartial evaluation of program status. In addition, readiness reviews of logistics support programs prior to Initial Operational Capability (IOC) and Full Operational Capability (FOC) and throughout the program's life cycle by the program manager and user community ensure timely awareness of any deficiencies requiring immediate attention and corrective action. This process provides an effective method for evaluating risk, life cycle cost, supportability, and support system performance from a Total Life Cycle Systems Management perspective.

4. Scope. This instruction applies to all DON Acquisition Category (ACAT) programs (including Joint Service programs, whether the DON is the executive, participating, or lead Service) covering systems that are developed, operated, maintained, or 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 an ILA shall become the overall basis for assessments of program logistics health, risk, and certification and shall serve as entrance criteria for acquisition milestones B and C and the Full Rate Production (FRP) decision. For those programs subject to the two pass/six gate review process, ILA results and certifications should be a primary input into gates four through six corresponding to the respective milestones. ILAs shall be conducted on Joint Service programs for Navy/Marine Corps segments where the Navy is the lead or joint program manager (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., 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. The cognizant Program Executive Officer (PEO) or Systems Command (SYSCOM) commander shall:

(1) Ensure ILS planning, resources, risk and execution is independently assessed for compliance with program specifications, objectives and milestones. This independent assessment shall be accomplished on a schedule that supports acquisition decision milestones B and C and the FRP decision. If the timeframe between milestones or the FRP decision exceeds 5 years, an ILA shall be conducted prior to the 5-year mark and, if possible, coincide with a major systems engineering review.

(2) Report and certify to the MDA, prior to milestone B and C and FRP, and related gate decision meetings, the adequacy and program health of ILS planning, management, resources, affordability, 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) Ensure review of the program's logistics health and performance against metrics established in its requirements documentation is conducted in conjunction with user

representatives at IOC (or Fleet introduction and fielding) and FOC, and periodically over the life of the program as identified in the PEO or SYSCOM process.

6. Action

a. For ILAs, the PEO 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 and logistics certification.

(2) By the second week in August, submit a schedule of ILAs to support planned milestone decisions for the next fiscal year to Deputy Assistant Secretary of the Navy (Acquisition and Logistics Management) (DASN)(A&LM) and provide updates as changes occur.

(3) Provide appropriate notification to all stakeholders, participants and user representatives as identified in reference (c) prior to the initiation of each 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 and obtaining qualified team members. Qualifications for team leaders and members are as follows:

(a) Independence: Team leaders and members shall be independent of the program. In order to avoid conflicts of interest, independence 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 certification for team leaders and Level II or equivalent for team members.

(c) Experience: Team leaders shall have participated in at least one ILA. Team members shall have experience in the functional area they are assessing.

(d) User: User representatives shall be invited to participate in the ILAs and are exempt from the above education requirements.

(6) Ensure the program is assessed against all applicable ILS factors and criteria identified in reference (c), regardless of the product support strategy.

(7) Ensure the ILA report identifies the ILS factors assessed during the review and provide rationale for each area not assessed. It shall contain the resultant observations/findings based on a review of the program, and should identify concurrence or non-concurrence to the facts by the program office for each identified issue or risk. The report will draw conclusions regarding the program's ILS posture and its ability to meet established performance metrics, and provide recommendations regarding risk mitigation and corrective actions, as well as ILA certification. Using the guidance and the risk matrix contained in reference (c), each ILS factor shall be categorized as red (high risk), yellow (moderate risk), or green (low risk), which provides the basis for the supportability risk assessment and overall program certification rating identified in enclosure (1).

(8) Provide assessment reports and certifications to the MDA and appropriate stakeholders no later than 2 weeks prior to the scheduled milestone decision meeting. Where Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN)(RD&A) or higher authority is the MDA, provide assessment reports and certifications to DASN(A&LM), the respective product to DASN and all appropriate stakeholders.

(9) In conjunction with the report and certification, ensure the program manager provides a Plan of Action and Milestones (POA&M) addressing ILA recommended corrective actions. The POA&M shall be coordinated with the team leader.

(10) Ensure corrective actions are performed in accordance with the POA&M and submitted to the team leader for closure. Upon validated closeout of corrective actions, the team leader will issue notification of closure to all applicable parties.

b. A logistics readiness review of the status of ILS planning shall be conducted at IOC (or Fleet introduction/fielding) and FOC and periodically over the life of the program in conjunction with the user. These reviews are not subject to the ILA

certification process. For these reviews, the PEO or SYSCOM commander shall:

(1) Ensure a documented process is in place to assess the readiness of the logistics program for IOC (or Fleet introduction/fielding) and FOC. This shall define criteria for the frames between reviews after FOC.

(2) Review the program's logistics readiness in conjunction with the user representative at IOC (or Fleet introduction) and FOC and periodically over the life of the program as identified in the PEO or SYSCOM process. The reviews shall address each logistics factor, including sustainment metrics established in the program's requirements documents. Additional guidance for these assessments is contained in reference (c).

(3) Verify the adequacy of logistics execution. Identify any deficient areas and provide workaround plans that have been fully coordinated with and agreed to by the end user. Results of these reviews shall be provided to applicable stakeholders (e.g., DASN(A&LM); Deputy Chief of Naval Operations (Fleet Readiness and Logistics) (CNO (N4)); Headquarters Marine Corps; Deputy Commandant, Installations and Logistics; SYSCOM; and PEO).

c. The program manager shall support the conduct and completion of ILAs, IOC and FOC reviews and periodic reviews during the life cycle using the guidance of reference (c).

d. DASN(A&LM) shall:

(1) Ensure compliance with the requirements of this instruction and oversee the timely implementation and effectiveness of the ILA and certification process.

(2) Provide representation on ACAT I/II ILAs. Provide support on other ACAT ILAs as required, including IOC/FOC reviews.


(3) For programs where ASN(RD&A) is the MDA, review assessment reports, POA&Ms, and corrective actions. Advise and provide recommendations to ASN(RD&A) and the respective product to DASN, as appropriate, of the adequacy of a program's logistics support for each milestone and at major program decisions. Adjudicate any non-concurrences with the ILA issues and recommendations.

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

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

7. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed in accordance with Secretary of the Navy (SECNAV) Manual 5210.1.

8. Reports. The reports required by this instruction are exempt from reports control by SECNAV Manual 5214.1.



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**INDEPENDENT LOGISTICS ASSESSMENT
CERTIFICATION CRITERIA**

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

GREEN (LOW RISK - READY TO PROCEED)

A program is logistically certified when there are no or only minor issues or risks. 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 (MODERATE RISK - CONDITIONALLY READY TO PROCEED)

A logistics program is conditionally certified when there are issues of moderate risk 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 ILA team leader, the program is considered logistically certified.

RED (HIGH RISK - NOT READY TO PROCEED)

A logistics program is not certified when there are issues of high risk 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. Note: Only after these plans are in place and properly resourced to the satisfaction of the ILA team leader is the program considered to be conditionally certified.