Transportation Security Administration

To enhance mission performance, TSA is committed to promoting a culture founded on its values of Integrity, Innovation and Team Spirit.

REVISION: This revised directive supersedes TSA MD 300.12, *Program Requirements Review and Approval*, dated April 23, 2008.

SUMMARY OF CHANGES: Section 1, Purpose, updated; Section 2, Scope, updated; Section 3, Authorities, added and removed authorities; Section 4, Definitions, added and removed definitions; Section 5, Responsibilities, updated; Section 6, Policy, updated; and Section 7, Procedures, updated and added the structured review and approval process conducted in conjunction with key Acquisition Decision Events.

1. **PURPOSE:** This directive provides TSA policy and procedures for program requirements review and approval.

2. **SCOPE:** This directive applies to all TSA acquisition programs and other procurement activities as identified by the Component Acquisition Executive.

3. **AUTHORITIES:**

   A. Public Law 107-71, the Aviation and Transportation Security Act of 2001

   B. Public Law 107-296, the Homeland Security Act of 2002

   C. DHS Directive 102-01b, *Acquisition Management Directive (Revision 02)*

   D. TSA MD 300.8, *Acquisition Program Review and Reporting*

4. **DEFINITIONS:**

   A. Acquisition: The conceptualization, initiation, design, development, test, contracting, production, deployment, logistics support, modification, and disposal of systems, supplies, or services (including construction) to satisfy DHS needs.

      NOTE: Acquisitions result from investment decisions, responds to approved requirements, aligns to strategic direction, and are guided by approved baselines. An acquisition does not include establishment of agency needs (requirements determination) or financial management.

   B. Acquisition Decision Authority (ADA): The acquisition official designated to ensure compliance with DHS Directive 102-01 for a particular acquisition.

      NOTE: DHS Directive 102-01 provides specific ADA responsibilities not outlined in this directive.

C. Acquisition Decision Event (ADE): A predetermined point within the acquisition phases at which the investment will undergo a review.

D. Component Acquisition Executive (CAE): A TSA senior acquisition official who implements, manages, and oversees the TSA's acquisition processes. The CAE is designated by the DHS Chief Acquisition Officer.

E. Concept of Operations (CONOPS): A document that describes how a proposed asset, system, or capability will be employed and supported.

F. DHS Acquisition Review Board (ARB): A board comprised of the ADA, Under Secretary for Management, Under Secretary for Science and Technology, Assistant Secretary for Policy, General Counsel, Chief Financial Officer, Chief Procurement Officer, Chief Information Officer, Chief Human Capital Officer, Chief Administrative Officer, Chief Security Officer, user representative sponsoring the capability, and other officials identified as subject matter experts by the ADA.

   NOTE: The ARB is an executive board convened for the specific purpose of reviewing acquisitions during the acquisition life cycle to ensure requirements of the different phases of the life cycle are met. *Ref.* DHS Directive 102-01 for specific ARB responsibilities not outlined in this directive.   For acquisitions that do not require DHS approval, the ARB responsibilities are performed by a TSA ARB.

G. Functional Requirement Document (FRD): A document that describes the needs in terms of system function, inputs, processes, outputs, external interfaces, performance, system availability, and maintainability.

   NOTE: FRD's are developed only for material related acquisitions and IT related acquisitions.

H. Mission Need Statement (MNS): A document used to synopsize, at a high-level, specific functional capabilities required to accomplish the user's needs in support of the agency's mission.

I. Other Procurement Activities: Procurements via contracting for materiel or services not associated with an acquisition program.

J. Operational Requirements Document (ORD): A high-level requirements document describing mission, objectives, and capabilities in operationally relevant terms.

K. Post Implementation Review (PIR): Conducted in the Produce/Deploy/Support phase of the acquisition process to document deployment, implantation, and coordination issues.

L. Program (or Acquisition Program): A directed and funded acquisition that provides new, improved, or continuing systems or services in response to an approved need.

   NOTE: Programs may be composed of multiple projects, services contracts, interagency agreements (IAAs), and other types of acquisition.

M. <u>Requirements Council (RC)</u>: A TSA executive board, which reviews the program's needs and requirements.

   NOTE: The RC review does not include the other DHS Directive 102-01 acquisition requirements for the key phases in the acquisition life cycle framework

N. <u>Requirements Crosswalk Matrix (RCM)/Requirements Traceability Matrix (RTM)</u>: A matrix that links the capability gap, operational requirements, and functional requirements.

O. <u>Requirements Guidance Team (RGT)</u>: A TSA integrated process team of action officers representing each of the RC principals, ad hoc members, and other supporting offices.

P. <u>Requirements Sponsor/User Representative</u>: The sponsor represents the operational needs of the Component and, ultimately, the end-users of the required system. The terms "sponsor/user/user representative" are used interchangeably.

Q. <u>TSA ARB</u>: A TSA executive board chaired by the CAE.

5. **RESPONSIBILITIES:**

A. The CAE is responsible for:

   (1)   Establishing acquisition processes within TSA;

   (2)   Overseeing execution of TSA's acquisition portfolio;

   (3)   Serving as the ADA for TSA Level 1 and Level 2 acquisitions, if designated by the DHS Chief Acquisition Officer (CAQO);

   (4)   Chairing the TSA ARB and RC;

   (5)   Approving Level 3 program MNSs, CONOPS, and ORDs;

   (6)   Approving Level 1 and 2 program CONOPS;

   (7)   Endorsing DHS approval of Level 1 and 2 program MNSs and ORDs;

   (8)   Coordinating the requirements review and approval process with DHS;

   (9)   Designating a representative to chair the RGT; and

   (10) Tailoring the Program Requirements Review and Approval process to reduce the number of Requirement Council Events.

B. The TSA ARB is responsible for:

(1)   Convening for the purpose of program review and approval;

(2)   Reviewing all TSA acquisitions;

(3)   Conducting systematic reviews of acquisitions to ensure they are progressing appropriately for their current acquisition phase;

(4)   Approving acquisitions to proceed to the next acquisition life cycle phase for acquisitions that do not require DHS approval and have been delegated to TSA; and

(5)   Approving non-delegated acquisitions to proceed to the DHS ARB.

C. Assistant Administrators (AAs), and equivalents, are responsible for:

(1)   Establishing their own internal requirements development process to support their office's mission;

(2)   Serving as members of the TSA ARB and the RC;

(3)   Ensuring that program input to the Future Years Homeland Security Plan (FYHSP) reflecting TSA Acquisition Program Requirements are submitted to the TSA CFO's Office of Budget and Performance;

(4)   Serving as the User Representative role for their office's requirements, or designates a representative within their office to serve;

(5)   Reviewing a program's requirement documents prior to submission to the RC; and

(6)   Designating representatives to the RGT that are able to make decisions while representing the AA.

D. Program Manager (PM) is responsible for:

(1)   Coordinating the overall program acquisition and requirements development process;

(2)   Supporting the MNS development;

(3)   Working in conjunction with the User Representative to develop the CONOPS, ORD, and FRD; and

(4)   Developing and maintaining the RCM.

E. The RC is responsible for:

(1)   Reviewing mission needs and requirements to ensure the needs are clearly stated, not redundant with other efforts and align with strategic TSA and DHS direction;

(2)   Ensuring the requirements are valid, stable, and measurable; and

(3)   Endorsing the approval of the mission need and requirements.

F.   The RGT is responsible for:

(1)   Supporting the PM and User Representative throughout the requirements process in developing and reviewing the MNS, CONOPS, ORD and FRD;

(2)   Vetting requirement documents prior to submission to the RC; and

(3)   Supporting the RC.

NOTE: The focus of the RGT's support is ensuring the needs are clearly stated, not redundant with other efforts and align with strategic TSA and DHS direction; and ensuring the requirements are valid, stable, and measurable.

G.   The Requirements Sponsor/User Representative is responsible for:

(1)   Serving as the primary subject-matter expert on operational process and procedures;

(2)   Identifying capability gaps;

(3)   Developing and preparing the MNS; and

(4)   Working in conjunction with the PM to develop the CONOPS, ORD and FRD.

6. POLICY:

A. Program requirement documentation developed and maintained under this Management Directive shall be subject to all applicable TSA, DHS, and Federal policy for the identification and safeguarding of sensitive and classified information.

B. Requirement documentation shall follow the procedures defined in the DHS Directive 102-01b, Instruction 102-01-001, *Acquisition Instruction/Guidebook* and the appropriate appendices, as amended or replaced.

C. Acquisition program requirements will be subject to review and approval by the TSA RC in accordance with the procedures in this directive. The RC review and approval process will provide TSA management with the necessary information to promote collaboration and optimize risk reduction across all TSA lines of business.

7. PROCEDURES:

A. The RGT and RC ensure proper development and vetting of specific acquisition documentation required by the DHS Directive 102-01. Each document will be reviewed during a Requirements Council Event, as defined below.

      (1)   Requirements Council Event 1: MNS.

      (2)   Requirements Council Event 2: CONOPS, ORD and RCM.

      (3)   Requirements Council Event 3: FRD and RCM.

      (4)   Requirements Council Event 4: Any updated requirements documentation (i.e. MNS, CONOPS, ORD, FRD, or RCM).

B. The Requirements Sponsor/User Representative, in conjunction with the PM, as a part of each document's development, will engage with the RGT and RC as described in the *TSA Program Requirements Review and Approval Implementation Guide*.

8. **APPROVAL AND EFFECTIVE DATE:** This policy is approved and effective the date of signature unless otherwise specified.

APPROVAL

Signed   August 23, 2013

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Latetia Henderson   Date
Assistant Administrator for Acquisition

EFFECTIVE

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Date

Distribution: All TSA Offices
Point-of-Contact: Acquisition Policy Office, TSAAcquisitonPolicy@dhs.gov