

Test and Evaluation

I. Purpose

This Directive establishes the Department of Homeland Security (DHS) policy, responsibilities, and requirements regarding Test and Evaluation (T&E) activities to be performed throughout the acquisition management processes.

II. Scope

This Directive applies throughout DHS, with the exception of the Office of Inspector General and those authorities delegated to the Director of the Domestic Nuclear Detection Office.¹

This Directive applies to existing and future, classified or non-classified, major (Level 1 and Level 2) acquisition programs/projects prior to Full Operating Capability (FOC) deployment identified on the Major Acquisition Oversight List (MAOL).

***Note:** Component Acquisition Executives (CAE) may create Component-level Test and Evaluation acquisition policies within the "spirit and intent" of this Directive. If CAE-approved Component-level acquisition policy does not exist, the Component manages and oversees acquisitions in accordance with this Directive.*

DHS Directive 026-06, "Test and Evaluation," is hereby superseded.

III. Authorities

A. Title 6, United States Code (U.S.C.), Section 181, "Under Secretary for Science and Technology," Section 182, "Responsibilities and authorities of the Under Secretary for Science and Technology," and Section 188, "Conduct of research, development, demonstration, testing and evaluation"

B. DHS Delegation 10001, "Delegation to the Under Secretary for Science and Technology"

¹ The content of this Directive does not supersede the independent Research, Development, Test and Evaluation authorities delegated to the Director of the Domestic Nuclear Detection Office (DNDO).

- C. DHS Delegation 10003, Revision 01, "Delegation to the Director of Test and Evaluation"
- D. DHS Directive 102-01, "Acquisition Management"
- E. Title 41, U.S.C., Section 1702(b), "Authority and functions of the Chief Acquisition Officer (CAO)"
- F. DHS Delegation 0702, Delegation to the Senior Procurement Executive (SPE)

IV. Responsibilities

- A. The **Under Secretary for Science and Technology**, through the Director, Office of Test and Evaluation (DOT&E),
 - 1. Establishes T&E policies and processes for DHS acquisitions, procurements, and investments; and
 - 2. Manages the execution of this Directive and implementing Instructions.
- B. The **Under Secretary for Management (USM) as the Chief Acquisition Officer (CAO)**, in addition to other responsibilities,
 - 1. Assist the Under Secretary for Science and Technology in aligning the implementation of DHS T&E policy and process with the implementation of DHS acquisition and procurement policies and processes; and
 - 2. Ensure acquisition decisions for Level 1, Level 2, and other specified acquisitions are informed by T&E results. These are obtained in accordance with this Directive and its associated implementing policies and processes.
- C. The **Chair, Joint Requirements Council (JRC)** facilitates T&E participation in the development of requirements, and, in particular, ensuring that Key Performance Parameters are feasible, testable, and measurable.

D. The **Component Heads**

1. Oversee the implementation of T&E policies and procedures within their Components in accordance with Department policy and procedures;
2. Ensure proper staffing of programs/projects managed by their Component; and
3. Ensure adequate and timely T&E is performed in accordance with the approved T&E Master Plan (TEMP) to support informed acquisition decision-making.

E. The **Director, Office of Test and Evaluation**²

1. Develops and manages DHS T&E policy and procedures that are aligned to DHS acquisition and investment management processes;
2. Provides independent T&E oversight of DHS Level 1, Level 2, and other specified major acquisitions as identified on the MAOL; and
3. Is the final approval authority of the Operational Test Agent (OTA), TEMP, and Operational Test Plans (OTPs) for any DHS major (Level 1 and Level 2) acquisitions, identified on the MAOL.

F. The **Chief Procurement Officer (CPO)**, as delegated authority from the USM, develops and maintains the Department's Acquisition Career Management Program to ensure there is an adequate professional workforce; this includes the Department's T&E Manager Certification Program.

V. Policy and Requirements

A. **Directive Implementation**: DHS T&E within this Directive's scope is managed through implementing Instructions assigned numbers between 026-06-001 and 026-06-999. These Instructions and any associated manuals and guides that fall within this Directive's scope are controlled and managed by a process established through this Directive's implementing Instructions, and managed by the Office of Test and Evaluation.

² Includes all authorities in Delegation 10003, Rev 01, Delegation to the Director of Test and Evaluation, June 17, 2016.

B. **Policy**: DHS major acquisition programs/projects, regardless of program level, use T&E to assist with risk management during the development, procurement, deployment, and operation of systems and services. The fundamental purposes of T&E are to inform refinement of the selected alternative, provide timely information to senior department management regarding system progress towards meeting capability needs through independent assessment throughout the life cycle, and to demonstrate that the system satisfies user mission needs and is operationally effective, suitable, and secure. In achieving the fundamental purposes of T&E the following requirements are implemented:

1. ***Test and Evaluation Master Plan (TEMP)***: All programs subject to DOT&E oversight submit for approval a TEMP describing the program's T&E strategy over the entire life cycle. For major (Level 1 and Level 2) acquisitions on the MAOL, programs require DOT&E approval of the TEMP prior to proceeding to Acquisition Decision Event (ADE) 2B. Guidelines for the TEMP are provided in DHS Instruction 026-26-001.

2. ***Independent Operational T&E***: For major (Level 1 and Level 2) acquisition programs/projects on the MAOL, OT&E is conducted by an organization independent of the Program Manager, user organization, and the development contractor utilizing a DOT&E approved OTPs. The Independent OT&E organization (the OTA) is approved by DOT&E prior to ADE 2A. Follow-on Operational Test and Evaluation (FOT&E) periods may be used to assess corrections of deficiencies identified during OT&E conducted prior to ADE-3 and Critical Operational Issues (COIs) that were partially resolved or unresolved during OT&E prior to ADE-3. FOT&E may be used to evaluate implementation of required and/or additional capabilities not present in the baseline OT&E system/release configuration. FOT&E may evaluate effectiveness, suitability, and cybersecurity impacts for deployment in new environments or against new threat.

3. ***Letter of Assessment (LOA)***: For major (Level 1 and Level 2) acquisition programs/projects on the MAOL, DOT&E prepares an LOA based on the OT&E Report provided by the OTA. The LOA includes an assessment of the adequacy of the OT&E, an independent evaluation of operational effectiveness, suitability, cybersecurity, and any further independent analysis. DOT&E provides an LOA to the Acquisition Decision Authority (ADA) and Chairman of the Joint Requirements Council for consideration prior to ADE 2C, ADE 3, and other major acquisition decisions as appropriate.

Questions

Address any questions or concerns regarding this Directive to DHS Science and Technology Directorate, Office of Test and Evaluation.



Chip Fulghum
Acting Under Secretary for Management

5/5/17
Date