BY ORDER OF CINCNORAD
BY ORDER OF USCINCSPACE

NORAD USSPACECOM
CHECKLIST 10-53

1 AUGUST 2001

Operations

NORAD/USSPACECOM SYSTEM CERTIFICATION CHECKLIST

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Pages: 14
Distribution: F

This checklist reflects requirements for system certification as described in NUI 10-12, ***NORAD-USSPACECOM System Certification Process*.**

1. References have been provided for each checklist item. The verification column in the checklist lists organizations N-SP/J6C action officers can contact to gain information to confirm the status of the checklist items. The intent is to use existing information rather than generate a new reporting requirement. The verification sources are not limited to those provided in the checklist. If additional sources of verification are available, users are encouraged to include them.

2. This publication establishes a baseline checklist for the system certification process. The N-SP/J6C action officer is the office of primary responsibility for completion of the checklist. Units are encouraged to contact the OPR of this checklist to recommend additions and changes deemed necessary. See **Attachment 1**.

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Director, Command Control Systems

Attachment 1

SYSTEM CERTIFICATION CHECKLIST

Table A1.1. System Certification Checklist.

Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
SECTION 1: CONOPS.				
1.1. GENERAL:				
1.1.1. Complete identification phase of the certification process.	All	N-SP/J6C	NUI 10-12	
1.1.2. Attend design review meetings.	ITG, ITO, ARC, STD, MR	N-SP/J6C	NUI 10-12	
1.1.3. Review contents of each planned version release.	ITG, ITO, ARC, STD, MR	N-SP/J6C, ESC/ NDC	NUI 10-12, NUI 10-21	
1.1.4. Review Standard Change Forms (SCFs).	ITG, ITO, ARC, STD, MR	N-SP/J6C	NUI 10-12, NUI 10-21	
1.1.5. Review program plans, system requirements, and designs.	ITG, ITO, ARC, STD, MR	N-SP/J6C, ESC/ NDC	NUI 10-12	
1.1.6. Has a Command, Control, Communication, Computers and Intelligence (C4I) Support Plan (C4ISP) been completed and reviewed?	ITG, ITO, ARC, L, CM, MR	ESC/NDC	DOD 5000.2-R, DOD Acquisition Deskbook: C4ISP Guidance and Format	
1.1.7. Prepare statement of certification parameters.	All	N-SP/J6C	NUI 10-12	
1.1.8. Prepare/publish the System Certification Plan.	All	N-SP/J6C	NUI 10-12	
Key for Certification Elements: A - Accuracy, R - Reliability, T - Timeliness, U - Unambiguity, S - Security, ITO - Interoperability, ITG - Integration, ARC - Architecture, STD - Standards, AVL - Availability, L - Logistics Support, OR - Operations Readiness, CM - Configuration Management, MR - Mission Requirements, D - Doctrine, C - CONOPS				

Certification Item	Certification-Elements	Verification Source *	Certification Reference	Answer Y/N/ NA
1.1.9. Complete strategy phase of certification process.	All	N-SP/J6C	NUI 10-12	
1.1.10. Complete a Trial Period Assessment.	All	N-SP/J6C	NUI 10-12	
1.1.11. Review all anomalies, discrepancies, etc.	A, R, T, U	N-SP/J6C	NUI 10-12	
1.1.12. Review the Software Version Description Document.	ITG, ITO, ARC, STD, MR	N-SP/J6C	NUI 10-12	
1.1.13. Prepare certification recommendation.	All	N-SP/J6C	NUI 10-12	
1.1.14. Complete decision phase of certification process.	All	N-SP/J6C	NUI 10-12	
1.2. NETWORK:				
1.2.1. Are network availability requirements clearly stated for mission systems?	MR, AVL, OR, R	AFSPC/DR, ESC/ NDC	CJCSI 6811.01A AFSPC ORD 003-84 para 4.2.1, System Maturity Matrix (SMM)	
1.2.2. Does the network meet the mission availability requirements?	MR, AVL	Network Control Center (NCC), AFSPC/SC NOSC	AFSPC ORD 003-84 para 4.2.1.1,	
1.2.3. Does a Concept of Operations exist for network utilization?	MR, C	NCC, AFSPC/SC NOSC	N/UWSS CONOPS (DRAFT TBD)	
1.2.4. Do network control procedures and policies adhere to the Joint Defense Information Infrastructure Control Center Concept of Operations?	MR, OR	NCC, AFSPC/SC NOSC	AFI 33-115 V1 para 3.1	
1.2.5. Have diverse paths for assured connectivity requirements been addressed?	R, OR, MR, AVL	AFSPC/SC, ESC/ NDC, DISA	CJCSI 6811.01A	
1.2.6. Have appropriate survivability and HEMP hardening requirements been addressed?	R, OR, MR, AVL	ESC/NDC	CJCSI 6811.01A	

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Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
1.2.7. Has the requirement for automatic switchover (failover) of mission critical nodes and paths been addressed?	R, OR, MR, AVL	ESC/NDC	CJCSI 6811.01A, AFSPC ORD 003-84 para 4.2.1.2	
1.2.8. Are there clearly defined command relationships between the Network Control Centers (NCC), Network Operations Support Centers (NOSC), Network Security Officers and MAJCOM'S?	S, OR	NCC, AFSPC/SC NOSC	AFI 33-115 V1 para 6	
1.3. INFRASTRUCTURE:				
1.3.1. Does the Enterprise meet the mission availability requirements?	MR, AVL	721CS NCC, AFSPC/SC NOSC	AFSPC ORD 003-84 para 4.2.1.1	
1.3.2. Has the requirement for automatic switchover (failover) of mission critical nodes been addressed?	R, OR, MR, AVL	ESC/NDC	CJCSI 6811.01A, AFSPC ORD 003-84 para 4.2.1.2	
SECTION 2: NETWORK OPERATIONS.				
2.1. NETWORK:				
2.1.1. Are network availability metrics reported weekly to the appropriate organizational body?	OR, AVL	ESC/NDC AFSPC/SC	AFI 33-115 V1 Para 6.4.3.1.10	
2.1.2. Are there current instructions or directives that ensure network personnel comply with training requirements in order to meet mission requirements?	OR, MR	NCC, AFSPC/SCX	AFI 33-115 V2 para 1	
2.1.3. Is key network support functionality in place:				
2.1.3.1. Enterprise Control?	OR, L	NCC, AFSPC/SC NOSC	AFI 33-115 V2	
2.1.3.2. Event Management?	OR, L	NCC, AFSPC/SC NOSC	AFI 33-115 V2	

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Certification Item	Certification-Elements	Verification Source *	Certification Reference	Answer Y/N/ NA
2.1.3.3. Functional System Administration?	OR, L	NCC, AFSPC CSS/SCO	AFI 33-115 V2	
2.1.3.4. Help Desk?	OR, L	NCC, AFSPC/SCO	AFI 33-115 V2	
2.1.3.5. Network Administration?	OR, L	NCC, AFSPC/SCO	AFI 33-115 V2	
2.1.3.6. Network Defense Control?	OR, L	NCC, AFSPC/SC NOSC	AFI 33-115 V2	
2.1.3.7. Network Management?	OR, L	NCC, AFSPC/SC NOSC	AFI 33-115 V2	
2.1.3.8. Workgroup Management?	OR, L	NCC, AFSPC/SCX	AFI 33-115 V2	
2.1.4. Does network management follow established policies and procedures to manage IP addresses assigned to the network?	OR, A, CM	NCC	AFI 33-115 V1 Para 6.4.2.1	
2.1.5. Have the procedures and effects of applying changes resulting from a change in INFOCON level been reviewed to ensure mission applications will not be inadvertently shut down?	AVL	NCC AFSPC CSS		
2.1.6. Does network architecture provide redundant paths for missions, messages and Enterprise middleware?	R, MR, AVL	NCC, AFSPC CSS	AFI 33-115 V1 Para 6.4.3.3.11.2	
2.1.7. Has the network availability requirement been addressed?	R, OR, MR, AVL	AFSPC/SC	CJCSI 6811.01A	
2.1.8. Does network management software provide means to monitor interface network connections?	S	NCC, AFSPC CSS, DISA	AFI 33-115 V1 Para 3.6.2	
2.1.9. Does network control management software provide recognition of Security events?	S	NCC, AFSPC CSS	AFI 33-115 V1 Para 6.4.3.4.4 and 6.4.3.4.5	
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Certification Item	Certification-Elements	Verification Source *	Certification Reference	Answer Y/N/ NA
2.1.10. Does network control management software provide recognition of Fault Detection?	R, S, L, AVL	NCC, AFSPC CSS	AFI 33-115 V1 Para 3.1.2.1	
2.1.11. Does network control management software provide recognition of Network Configuration status?	CM	NCC, AFSPC CSS	AFI 33-115 V1 Para 3.1.2.1	
2.1.12. Does network control management software provide recognition of Accounting management?	L	NCC	AFI 33-115 V1 Para 3.1.2.1	
2.2. INFRASTRUCTURE:				
2.2.1. Are Enterprise availability metrics reported weekly to the appropriate oversight organizational?	OR, AVL	ESC/NDC AFSPC/SC	AFI 33-115 V1 Para 6.4.3.1.10	
2.2.2. Have key Enterprise support positions been established for Database Administration?	OR, L	721CS NCC, AFSPC CSS	AFI 3-115 V2	
2.2.3. Are there clearly defined Enterprise monitoring points to assess the health and status of the Enterprise.	S, OR	721CS	CMU ORD	
2.2.4. Do Enterprise applications possess a command level Certificate to Operate (CTO) or equivalent service document?	OR, D	AFSPC/SC	DITSCAP 8510.1 para C.2.1.1.3	
2.2.5. Does Enterprise control management software provide recognition of Fault Detection?	R, S, L, AVL	721CS NCC, AFSPC CSS	AFI 33-115 V1 para 3.1.2	
2.2.6. Does Enterprise control management software provide recognition of Enterprise Configuration status?	CM	721CS NCC AFSPC CSS	AFI 33-115 V1 para 3.1.2	
SECTION 3: QUALITY OF SERVICE.				
3.1. NETWORK:				
3.1.1. Are network Quality of Service (QoS) requirements clearly stated for each mission system in terms of timeliness for messages and middleware access, priority of service, bandwidth, accuracy and accountability?	A,T,U,R	AFSPC/DR	Applicable ORD	

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Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
3.1.2. Have QoS requirements been satisfied by the network?	A,T,U,R	NCC, AFSPC/SC	Applicable ORD	
3.1.3. Does Network Management maintain a QoS plan for the entire network based on the cumulative requirements of all mission and non-mission servers and applications attached to the network?	MR	NCC, AFSPC/SC	Applicable ORD	
SECTION 4: SECURITY.				
4.1. GENERAL:				
4.1.1. Has an INFOCON response plan been established?	S, R	NCC, AFSPC CSS, ESC/NDC	AFSSI 5024, V1 Para 3.2.5	
4.1.2. Has a completed System Security Authorization Agreement been provided?	S	DAA, ESC/NDC	DITSCAP 8510 Para C2.1.1.5, AFSSI 5024	
4.2. NETWORK:				
4.2.1. Has a Security Test and Evaluation, to include initial and follow-on Denial of Service Risk Assessments and Network Intrusion tests, been accomplished?	S, R	NCC, AFSPC/SCMO, AFSPC CSS, ESC/NDC	AFSSI 5024, V1 Para 3.2.5	
4.2.2. Has the network been certified and accredited IAW an approved security certification and accreditation process?	S	DAA, ESC/NDC	DITSCAP, DoD Directive 8510.1 para C1.1.2, AFSSI 5024	
4.2.3. Has a completed "Minimal Security Activity Checklist" been provided?	S	DAA, ESC/NDC	DITSCAP 8510.1 Para C.5.3	

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Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
4.2.4. Is classified network management performed separately from unclassified Network Management?	S	NCC, AFSPC CSS ESC/NDC	AFI 33-115 V1 Para 5	
4.3. INFRASTRUCTURE:				
4.3.1. Is the system certified and accredited IAW the Department of Defense Information Technology Security Certification and Accreditation Process (DITSCAP), DOD Directive 5200.40 and DOD Manual 8510.1?	S	DAA, ESC/NDC	DITSCAP, DOD Directive 8510.1 para C1.1.2, AFSSI 5024	
4.3.2. Has the Designated Approval Authority granted an interim or full Approval To Operate (ATO)?	S	DAA ESC/NDC	DITSCAP, DOD Directive 8510.1 para C1.1.2, AFSSI 5024	
SECTION 5: TESTING.				
5.1. GENERAL:				
5.1.1. Attend Test Planning Working Group Meetings.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.2. Review/comment on the Test and Evaluation Master Plan (TEMP).	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.3. Is a communications test unit test required?	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.4. Review/comment on Developmental Test and Evaluation (DT&E) Plan.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.5. Review DT&E Test Objective Worksheet (TOW).	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	

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Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
5.1.6. Review DT&E planned scenarios.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.7. Review DT&E test procedures.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.8. Observe DT&E.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.9. Prepare Trip Report or Quick Look Evaluation Report (QLER).	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.10. Obtain data reductions from DT&E for analysis.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.11. Prepare Data Analysis Report.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.12. Review Operational Test and Evaluation/Force Development Evaluation (OT&E/FDE) test plans.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.13. Review OT&E/FDE test scenarios.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.14. Review OT&E/FDE test procedures.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.15. Review OT&E/FDE TOW's.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.16. Publish OT&E/FDE data collection requirements.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.17. Attend the Test Readiness Review Board (TRRB).	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.18. Observe OT&E/FDE.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	

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Certification Item	Certification-Elements	Verification Source *	Certification Reference	Answer Y/N/ NA
5.1.19. Prepare Trip Report or QLER.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.20. Obtain data reductions for OT&E/FDE data analysis.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.1.21. Require a Data Analysis Report.	A,R,T,U	AFOTEC, 17TS, 721SPTG/TC	NUI 10-48, AFSPI 99-101, 99-102	
5.2. NETWORK:				
5.2.1. Does the network meet Joint Interoperability Test Command requirements for missions and users?	CM, ITO, STD	JITC	NUI 33-18 Para 2.2.1 9	
5.2.2. Are all test points and connections clearly labeled?	OR, CM	NCC, 721SPTG/TC	AFI 33-115 V1 Para 6.4.3.1	
5.2.3. Does network management maintain a list of network test point locations and test point characteristics?	OR, CM	NCC, 721SPTG/TC	AFI 33-115 V1 Para 6.4.3.1	
5.2.4. Have test control issues been considered as they relate to network architecture?	CM	AFSPC/DR, ESC/ NDC NCC, 721SPTG/TC	N/SP-STD-3000/ 3200	
5.3. INFRASTRUCTURE:				
5.3.1. Does the system meet Joint Interoperability Test Command requirements for missions and users?	CM, ITO, STD	CTF, JITC	NUI 33-18 para 2.2.1 9	
5.3.2. Determine system compliance with N/SP-STD-3000.	A,R,T,U	N-SP/J6C	ITW/ AA-STD-3000	
5.3.3. Determine system compliance with N/SP-STD-3200.	A,R,T,U	N-SP/J6C	ITW/ AA-STD-3200	

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Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
SECTION 6: CONFIGURATION MANAGEMENT.				
6.1. GENERAL:				
6.1.1. Are network hardware and software components defined in the Command C4ISR Architecture (CCTA), service and DOD Joint Technical Architecture documents?	CM, ARC, STD, ITG	N-SP/J6N	NUI 33-18	
6.1.2. Are Configuration Control Management responsibilities given to a designated Change Control Manager (CCM)?	CM	ESC/NDC, AFSPC/SC	DITSCAP 8510.1 para DL1.1.20	
6.2. NETWORK:				
6.2.1. Do network services meet minimum DII COE compliance levels for the particular mission system?	CM, ARC, STD, ITG	N-SP/J6N	NUI 33-18	
6.2.2. Does the network meet requirements for missions and users?	CM, ITO	CMOC/J6, AFSPC/DR, SC	Applicable ORD	
6.2.3. Does network management use an established Configuration and Control Management (CCM) process?	CM	NCC	DITSCAP 8510.1 Para DL1.2.1	
6.2.4. Has CCM responsibility been established for the network?	CM	AFSPC/SC	DITSCAP 8510.1 Para DL1.1.20	
6.2.5. Are there established CCM procedures for introducing new hardware and software, and updates to existing hardware and software?	CM	N-SP/J330W, AFSPC/SC	DITSCAP 8510.1 Para C4.3.6.4	
6.2.6. Have guidelines for modifications to the network that would require a network to be re-certified or re-accredited been established as it pertains to DITSCAP?	CM	NCC, DAA AFSPC/SCM	DITSCAP, AFI 33-202 Para 2.7	
6.2.7. Are network hardware and software modifications integrated with existing and future components?	CM, ITO	N-SP/J6N, ESC/NDC	Ref NUI 33-18 Para 2.2.1	

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Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
6.2.8. Does network management maintain functional layout diagrams and hardware interconnection listings for the entire network to include mission and non-mission applications that ride the network?	CM, OR, U, ARC	NCC, AFSPC/SC CSS, ESC/NDC	AFI 33-115 V1 Para 6.4.3	
6.2.9. Has DISA approved all network connections through the DISA Connection Approval process?	CM, S	DISA, NCC, DAA	AFI 33-202 Para 3.6.2	
6.3. INFRASTRUTURE:				
6.3.1. Are system hardware and software components compliant with the approved standards in the Command C4ISR Technical Architecture (CCTA) and DOD Joint Technical Architecture documents?	CM, ARC, STD	N-SP/J6N	NUI 33-18 para 2.1.1	
6.3.2. Does system applications and software meet minimum DII COE compliance levels for N/UWSS?	CM, ARC, STD, ITG	N-SP/J6N, ESC/ NDC	NUI 33-18	
6.3.3. Does system database meet the standards defined by the DII COE?	CM, ARC, STD, ITG	N-SP/J6N, ESC/ NDC	DII COE Standards	
6.3.4. Do system displays meet the DII COE User Interface Specification and the ISC2 Style Guide.	CM, STD, ITG	N-SP/J6N, ESC/ NDC	DII COE User Interface Specifications, ISC2 Style Guide	
6.3.5. Does system management use an established Configuration and Control Management process?	CM	721CS NCC, AFSPC/SC CSS	DITSCAP 8510.1 para DL1.2.1	
6.3.6. Are there established change control procedures for introducing new hardware and software, updates to existing hardware and software and impact to existing performance when introducing new missions?	CM	ESC/NDC, N-SP/J330W, AFSPC/SC	DITSCAP 8510.1 para C4.3.6.4	

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Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
6.3.7. Have guidelines for modifications to the system that would require the system to be re-certified or re-accredited been established?	CM	721CS NCC, AFSPC/SC CSS	AFI 33-202 para 2.7	
6.3.8. Are Enterprise database change control procedures established to define change authority at the appropriate level for each database including those database files modified online without testing required?	CM	AFSPC CSS, ESC/ NDC		
6.3.9. Does Enterprise management maintain functional layout diagrams and hardware interconnection listings for the entire Enterprise to include mission and non-mission applications that ride the Enterprise?	CM, OR, U, ARC	721CS NCC, AFSPC/SC CSS, ESC/ NDC	AFI 33-115 V1 para 6.4.3	
6.3.10. Has the program been issued a Full Force Integration Number (FFIN) by Architecture Review Panel	CM, OR, U, ARC	Architecture Review Panel (ARP)	NUI 33-18	
SECTION 7: LOGISTICS.				
7.1. GENERAL:				
7.1.1. Is there a logistics support plan, procedure and/or a contract which provides adequate support for operations and maintenance?	L	ESC/NDC, AFSPC/SC	AFSPC ORD 003-84 para 5.0	
7.1.2. Are the appropriate percentages of critical and non-critical spares on site?	L	ESC/NDC, AFSPC/SC	AFSPC ORD 003-84 para 5.2.1	
7.1.3. Is all required support equipment delivered and on site?	L	ESC/NDC, AFSPC/SC	AFSPC ORD 003-84 para 5.3.2	
7.1.4. Has all maintenance training been completed?	L	ESC/NDC, AFSPC/SC	AFSPC ORD 003-84 para 4.2.2	

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Certification Item	**Certification-Elements**	**Verification Source ***	**Certification Reference**	**Answer Y/N/ NA**
7.1.5. Have approved technical orders been delivered to the site?	L	ESC/NDC, AFSPC/SC	AFSPC ORD 003-84 para 5.2	
7.1.6. Has the appropriate AFMC depot support been postured and put in place?	L	ESC/NDC, AFSPC/SC	AFSPC ORD 003-84 para 5.2	
7.1.7. Has Emergency Depot Level Maintenance (EDLM) procedures been established?	L	ESC/NDC, AFSPC/SC	AFSPC ORD 003-84 para 5.2	
7.1.8. Do maintenance response times meet mission needs?	L	ESC/NDC, AFSPC/SC	AFSPC ORD 003-84 para 5.2	

Notes: The organizations listed in the Verification Source column may not always apply in each situation and are not all-inclusive of organizations that may be involved with a particular checklist item. The organization verifying the completion of a checklist item may vary from situation to situation.

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