



**DEPARTMENT OF THE AIR FORCE**  
HEADQUARTERS SPACE AND MISSILE SYSTEMS CENTER (AFSPC)

MEMORANDUM FOR ALL TWO-LETTER OFFICES

2003 July 02

FROM: SMC/FM  
SMC/PK

SUBJECT: New Start Validation Policy

References: (a) AFI 65-601, *Congressional New Start Notification Procedures*  
(b) Draft IC AFI 63-101, *Congressional New Start Notification*  
(c) AF FAR Supplement 5332.702-90, *New Start Validation*

1. The purpose of this memorandum is to document local policy for the New Start Validation process and implement references (a) through (c). This policy complies with the intent of Public Law 106-79 Sec. 8096 which holds DoD officials financially responsible for initiating a new start program without proper congressional new start notification.

2. The Air Force new start validation policy requires the System Program Director (SPD) and the Program Control Chief (PCC) to validate the effort being procured was in the congressional appropriation prior to obligating funds. If the program is an out-of-cycle new start, notification must be submitted to Congress as required by the DoD financial management regulation before funds can be obligated.

3. While new starts must always be considered, SMC policy will not require completion of a validation form (attached) for certain actions. Consequently, the following are excluded from the requirement to complete the validation form:

Execution of O&M funds unless O&M funds are new to the program (i.e., first year of sustainment);

- b. Any effort funded through another Service/Agency or Foreign Military Sales. The validation form only applies to Air Force funds (includes funds received or sent on all types of funding documents, the "owner of funds" is responsible for sending a new start form with the funds if required);
- c. Incremental funding actions for ongoing efforts if no change in work is authorized. Prepare one new start validation for each enacted FY for total annual requirement;
- d. Appn 3010, 3011, 3020 & 3080 commodity budget programs (BP). Note, 3080 non-commodity programs that require validation are listed on the SAF/FM web site: <http://www.saffm.hq.af.mil/FMB/FMBI/newstarts/30803011.html>
- e. All Basic Research (6.1) and Applied Research (6.2) efforts unless
  - (1) Initiating a new research project (budget program activity code) not listed in the applicable descriptive summary (R-2 exhibit)
  - (2) Obligation is for an Advanced Concept Technology Demonstrations (ACTD) or an Advanced Technology Demonstrations (ATDs);

- f. All Small Business Innovation Research (SBIR) Phase 1 and Phase 2 efforts;
- g. Contract modifications within the scope of the contract modified pursuant to clauses that don't result in the acquisition of additional items or "new work" and that are within the scope of the budget documentation (i.e., R & P docs and exhibits). Such modifications include award fees, contract closeout price adjustments, in-scope engineering change proposals (ECPs), in-scope change orders (including contract change proposals (CCPs)), in-scope supplemental agreements and in-scope work requests;
- h. Program management and administrative efforts directed at business management and SPO operations such as supplies, Government Purchase Card (GPC) purchases, training and TDY;
- i. Advisory and Assistance Service (A&AS) contracts and tasks not directed at weapon systems development/procurement (i.e., business operations);
- j. Issuance of requests for proposal (RFP), evaluation of proposals and contract negotiation in anticipation of Congressional new start notification/approval is considered part of normal program office activities and do not require the completion of the new start validation form until the contract is executed.

4. Lastly, the intent of the new start policy is to hold the highest responsible management levels accountable. Accordingly, the SPD or in *limited* circumstances the Deputy SPD (06/GS-15 equivalent) when acting as SPD, and the PCC are required to sign the new start validation form. Additionally, the senior FM staff for Investment or O&M funds (FMP/FMA as appropriate) can sign the new start validation form on a limited basis when the PCC is unavailable.

5. Please contact Mr. Joe Schleifer (PKC) or Mrs. Jan Bishopp (FMP) if you have any questions regarding this policy.



KENNETH L. YODER, GM-15  
Director, Financial Management  
and Comptroller



PATRICIA KIRK- McALPINE, SES  
Director of Contracting

Attachment  
New Start Validation Form

cc:  
SMC/FMA/P  
SMC/PKC/X  
SMC/JAQ

**ATTACHMENT 1  
New Start Validation Form**

**In accordance with AFI 63-101, I have confirmed the following prior to approving this contracting action (one of the following must be answered yes):**

	YES/NO
<b>1. Program is budgeted and appropriated.</b> Effort was budgeted in the President's Budget Submission and is consistent with program direction provided by Defense Appropriations Conference language and/or marks. Fiscal year of President's Budget Submission must match fiscal year of funds being used. This effort is not a new start.	
<b>2. Program is a Congressional add.</b> Effort was not requested in the President's Budget Submission, but funds were appropriated by the Defense Appropriations Conference and effort is consistent with program direction provided by Defense Appropriations Conference language and/or marks. Fiscal year of marks must match fiscal year of funds being used. This effort is not a new start requiring Congressional approval. SAF/AQX or AF/ILS Program Authorization attached.	
<b>3. Program is an out-of-cycle New Start.</b> Effort is an out-of-cycle new start for which Congressional notifications/approval has been accomplished as reflected on the Secretary of the Air Force funds release document. SAF/AQX or AF/ILS Program Authorization attached.	
<b>4. SAF/HAF has advised that new start notifications are not required</b> (documentation attached).	

System Program Director

Program Control Chief

**Department of Defense Appropriations Act, 2000, Public Law 106-79 Sec. 8096.  
None of the funds in this Act may be used to compensate a DoD employee who initiates a new start program without notification to OSD and the congressional defense committees, as required by DoD financial management regulation.**