



COMDTINST 5200.9

DEC 04 2014

COMMANDANT INSTRUCTION 5200.9

Subj: COAST GUARD ENTERPRISE REQUIREMENTS MANAGEMENT POLICY

Ref: (a) Enterprise Requirements Management (ERM) Tactics, Techniques, and Procedures (TTP), CGTTP 4-09.6 (series)
(b) U.S. Coast Guard Configuration Management Manual, COMDTINST M4130.6 (series)

1. PURPOSE.

- a. The purpose of this Instruction is to establish Coast Guard (CG) policy and authorities for Enterprise Requirements Management (ERM). ERM is the process of managing stakeholder needs in support of functional configuration baseline development and management. Functional baselines provide the traceability required between organizational needs and demonstrated outcomes, unambiguous goals and success criteria, essential for controlling complexity, risk, and scope. ERM records and links the complete spectrum of CG requirements, from the statutory mandates that define CG missions and regulate CG operations to the most basic policies, procedures, and specifications that define its organization, processes, and assets. This policy is designed to identify the interdependencies and interoperability of technical authority requirements providing a holistic management of CG requirements. ERM captures but does not govern the manner in which capital acquisition requirements are developed, generated, and validated.
- b. In support of this process, ERM establishes an authoritative, controlled requirements repository to facilitate requirement gap analysis, capability redundancy analysis, requirement conflict analysis, requirement prioritization, traceability analysis, requirement and capability reuse, and configuration management of all CG enterprise requirements. Intended ERM users include all CG Sponsors, Technical Authorities, Program Managers and Product Line Managers.

DISTRIBUTION – SDL No. 164

	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A		X	X																							
B				X	X																					
C						X																				
D		X		X																						
E																										
F																										
G																										
H																										

NON-STANDARD DISTRIBUTION:

2. **ACTION.** All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Instruction. Internet release is authorized.
3. **DIRECTIVES AFFECTED.** None.
4. **BACKGROUND.**
 - a. The sources noted in the table below levy the stated requirements upon the CG.

Requirement Source	Requirement
GPRA Modernization Act of 2010	Agencies are required to objectively manage and regularly report on performance and results. The Act calls for transparency, efficiency and accuracy.
14 USC § 663, Submissions of Plans to Congress	The Commandant shall identify and report unfunded and unsatisfied operational requirements to Congress.
Circular No. A-11, Part 7, Planning, Budgeting, Acquisition, and Management of Capital Assets, Office of Management and Budget, June 2008	The CG shall trace capital acquisitions and asset operation to CG missions.
48 Code of Federal Regulations – Federal Acquisitions Regulations System, Part 11 – Describing Agency Needs.	CG acquisition requirements shall state functions to be performed, required performance, or essential physical characteristics.
U.S. Coast Guard Commandant's Direction 2011	The CG shall correlate all resources to their operational and performance requirements.
U.S. Coast Guard Commandant's Direction 2011	The CG shall use requirements to identify system capability gaps and redundancies.

Table 1

- b. Satisfying the requirements noted above requires management of all the requirements that define the CG enterprise. The CG has historically limited the scope of requirements management to managing only those requirements necessary for system and/or asset development or acquisition. Requirements such as those imposed by the Code of Federal Regulations, Department of Homeland Security policies, Presidential Management Agenda items, Commandant Directives, and the remaining body of CG policies also require disciplined management. Many system, asset management, and acquisition requirements are driven and thus derived from these requirements.
5. **DISCLAIMER.** This policy is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational standards for CG personnel and is not intended to, nor does it, impose legally-binding requirements on any party outside the CG.
6. **IMPACT ASSESSMENT.** This policy does not impose new tasking or change existing tasking to operational commands. Not applicable.

7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
- a. The development of this policy has been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and is categorically excluded (CE) under current USCG CE # 1 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Policy contains guidance on, and provisions for, managing Coast Guard enterprise requirements and this is a routine administrative activity, Coast Guard categorical exclusion #1 is appropriate.
 - b. This directive will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policies in this must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates.
8. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located on the following Commandant (CG-612) web sites: Internet: <http://www.uscg.mil/directives/>, and CG Portal: <https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx>.
9. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been evaluated for potential records management impacts. The development of this Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.
10. POLICY.
- a. Scope. The CG shall establish an ERM capability to capture and manage all requirements that pertain to the CG, including but not limited to:
 - (1) All legal mandates, including the United States Code and the Code of Federal Regulations and applicable state and local statutes;
 - (2) Department of Homeland Security policies and directives;
 - (3) Presidential Management Agenda items;
 - (4) Commandant directives;
 - (5) Coast Guard policies;
 - (6) All requirements decomposed from those listed above, including but not limited to design specifications for materiel and systems, hardware and software requirements, and requirements that define organizations (billet structures, certification

requirements, etc.); plans; business processes; financial processes; data; platforms; facilities; and all contracted services. A requirement shall be deemed sufficiently decomposed when the requirement owner determines it to be measurable, actionable and unambiguous.

- b. Repository. The CG shall establish and maintain an Enterprise Requirements Library (ERL) as the authoritative repository of all CG Requirements Enterprise-wide utilizing CG TEAMS.
 - (1) The ERL shall maintain traceability between requirements such that the lineage of any requirement can be traced to its highest-level parent requirement(s) and to its lowest-level child requirement(s).
 - (2) The ERL shall maintain traceability between requirements that pertain to a specific enterprise architecture configuration item.
 - (3) Specific requirement metadata shall be managed within the ERL. Reference (a) identifies mandatory metadata attributes.
- c. Standards. The ERL and all requirement sets identified within it shall be configuration managed in accordance with Reference (b).

11. ROLES AND RESPONSIBILITIES.

- a. The CG shall use the ERL as their ERM tool and repository in accordance with this policy.
- b. The technical authority governing the ERL shall be CM Division, Commandant (CG-444).
- c. ERL Support
 - (1) Commandant (CG-444) shall develop documented procedures for CG ERM.
 - (2) Commandant (CG-444) shall provide support to CG ERM users.
 - (3) Commandant (CG-444) shall develop and provide training for CG ERM users.

12. FORMS/REPORTS. None.

13. REQUEST FOR CHANGES. Recommendations for changes and improvements to this Policy shall be submitted via the chain of command to the CM Division, Commandant (CG-444).

M. J. HAYCOCK /s/
Rear Admiral, U.S. Coast Guard
Assistant Commandant for Engineering and
Logistics