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COMMANDANT INSTRUCTION 5230.70

Subj: COMMAND, CONTROL, COMMUNICATIONS, COMPUTERS AND INFORMATION
TECHNOLOGY (C4&IT) INFRASTRUCTURE MANAGEMENT POLICY

Ref: (a) Establishment of the CG-6 Directorate and Associated Duties, COMDTINST 5401.5
(series)

1. PURPOSE. This Instruction establishes the authority, roles, and responsibilities governing Coast
Guard Command, Control, Communications, Computers and Information Technology (C4&IT)
classified and unclassified infrastructure. C4&IT Infrastructure is the designated set of systems and
services which serve as an enterprise utility that Coast Guard mission and business systems are
required to use. C4&IT Infrastructure funding is centrally managed on behalf of the enterprise.
This policy applies to all C4&IT systems that are designated as C4&IT Infrastructure in the Coast
Guard Systems Inventory. All Coast Guard organizations involved in the planning, acquisition,
production, deployment, support, operation, and disposition of C4&IT systems shall employ the
C4&IT Infrastructure Policy and adhere to the roles defined herein.

2. ACTION. Area and District commanders, commanders of maintenance and logistics commands,
commanding officers of Headquarters units, assistant commandants for directorates, Chief Counsel,
and special staff offices at Headquarters shall ensure that all Coast Guard and contractor support
personnel or organizations involved in the acquisition, development, operations, maintenance, or
use of Coast Guard C4&IT systems comply with the provisions of this Instruction. Internet release
is authorized.

3. DIRECTIVES AFFECTED. None.

4. C4&IT INFRASTRUCTURE. C4&IT Infrastructure systems and services, as an enterprise utility,
enable business and missions systems to lower their overall cost and complexity. C4&IT
Infrastructure systems have the following characteristics:

a. CG-6 serves as Sponsor for all designated C4&IT Infrastructure systems and manages funding
centrally on behalf of the enterprise.

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	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	1	1	1	1	1	1																				
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NON-STANDARD DISTRIBUTION:

b. C4&IT Infrastructure systems are core components of the Enterprise Architecture.

c. CG-6 publishes, to the rest of the enterprise, the requirements for use of the C4&IT Infrastructure by mission and business systems and the interfaces required in order for mission and business systems to use, and interconnect to, the C4&IT Infrastructure.

d. All mission and business systems must recognize and comply with required interfaces, upgrades, enhancements, and development timelines to C4&IT Infrastructure systems.

e. Mission and business system development will collaborate with C4&IT Infrastructure development to assess and address impact on C4&IT Infrastructure system requirements throughout the system development life cycle.

f. C4&IT Infrastructure systems will be developed, maintained, and operated in accordance with enterprise policy and practice for all C4&IT systems.

5. <u>C4&IT INFRASTRUCTURE MANAGEMENT ROLES AND RESPONSIBILITIES</u>. The Commandant (CG-6) organization works proactively with all entities involved in the system life cycle. Figure 1: CG-6 Roles and Relationships Framework, as outlined in reference (a), illustrates the key roles involved and their relationships. The remainder of this section describes the roles, relationships, and responsibilities as they relate to this policy.

a. <u>CG-6</u>. The Chief Information Officer (CIO). The CIO is responsible for implementing C4&IT Infrastructure systems throughout the Coast Guard. The CIO shall lead the C4&IT Infrastructure management program by partnering with all Sponsors and Program Managers to plan, design, develop, deploy, and maintain C4&IT Infrastructure to maximize shared benefit across all programs and systems. The CIO shall provide a comprehensive foundation for meeting Coast Guard-wide mission and business requirements. CG-6 has the following C4&IT Infrastructure responsibilities:

(1) Maintaining and approving the C4&IT Infrastructure policy and practices. To this end, CG-6 shall establish a C4&IT Infrastructure Policy Review Board, comprising representatives from various stakeholder groups, to develop and maintain the C4&IT Infrastructure policy and practices.

(2) Managing funding for C4&IT Infrastructure systems in order to provide maximum shared benefit to the enterprise.

(3) Ensuring that C4&IT Infrastructure components are developed and managed in accordance with Federal IT laws and policy, applicable national and international standards, Department of Homeland Security (DHS) policies and standards, applicable Department of Defense policy and standards, enterprise policy and practice for all C4&IT systems, and industry best practices.

(4) Ensuring that C4&IT Infrastructure interfaces are designed to maximize organizational benefit by minimizing complexity for developers of business and mission systems that utilize the C4&IT Infrastructure.

(5) Ensuring that C4&IT Infrastructure interface standards are published and updated for use by developers of business and mission systems.
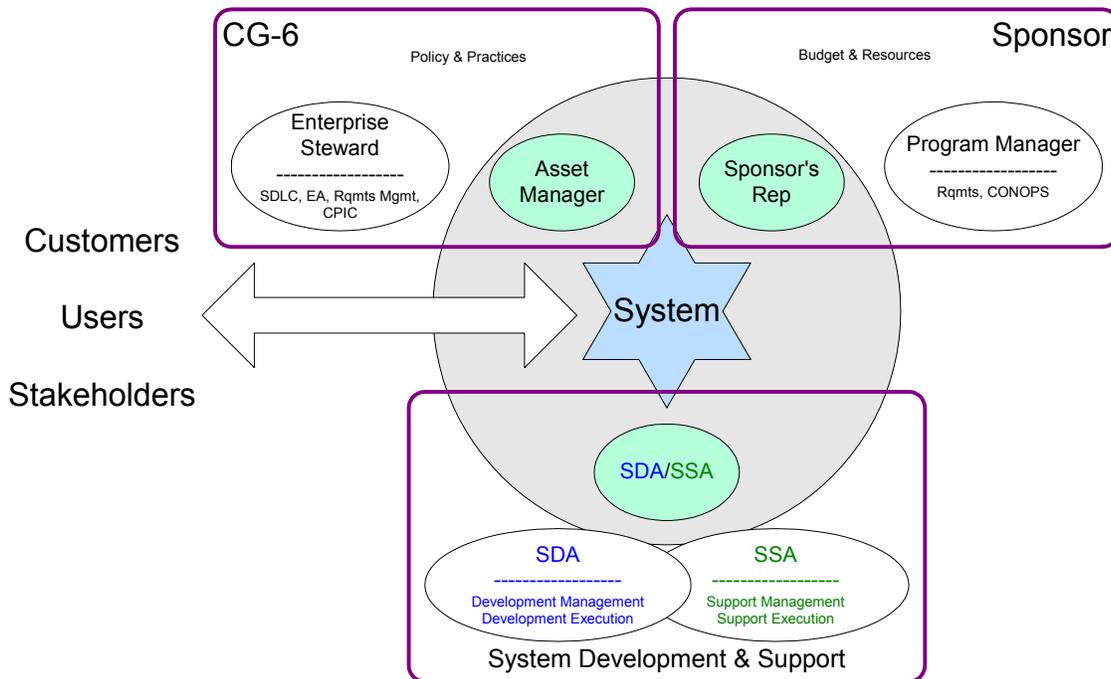
Figure 1: CG-6 Roles and Relationships Framework

    (6)   Ensuring configuration management of C4&IT Infrastructure systems.

    (7)   Participating actively throughout the annual budget process in supporting investment and acquisition priority decisions for C4&IT resources.

    (8)   Delegating the execution of C4&IT Infrastructure Practices to the roles defined herein.

b. <u>Enterprise Steward</u>. CG-6 provides enterprise-level stewardship of the policies and practices associated with C4&IT Infrastructure. The Enterprise Steward monitors the health, effectiveness, and efficiency of the C4&IT Infrastructure and ensures organizational compliance. The Enterprise Steward has the following C4&IT Infrastructure responsibilities:

    (1)   Proactively communicating, educating, and training Coast Guard personnel in the effective execution of C4&IT Infrastructure policies and practices.

    (2)   Ensuring maximum organizational benefit from C4&IT Infrastructure systems by periodically reviewing requirements of business and mission systems for ways they can be met by C4&IT Infrastructure while lowering total ownership cost.

    (3)   Managing C4&IT Infrastructure requirements, including identification and incorporation of validated changes to the Enterprise Architecture (EA).

c. <u>Asset Manager</u>. The Asset Manager is designated by CG-6 to guide, oversee, and monitor C4&IT Infrastructure policies and practices for the assigned system. An asset is a system, product, data, service, capability, or resource that is available, managed, delivered, applied, supported, or sustained on an enterprise scale by the CG-6 organization. The Asset Manager shall collaborate with the Sponsor's Representative, the System Development Agent (SDA), and the System Support Agent (SSA) to ensure alignment and compliance with Coast Guard C4&IT Infrastructure policies and practices. The Asset Manager has the following C4&IT Infrastructure responsibilities:

(1)   Representing the Enterprise Steward's interests in ensuring maximum organizational benefit from C4&IT Infrastructure systems.

(2)   Communicating with other Asset Managers regarding any impacts on the EA.

(3)   Developing and recommending changes to C4&IT Infrastructure policies and practices to enhance the quality of C4&IT Infrastructure practices.

(4)   Facilitating resolution of issues among the Sponsor's Representative, SDA, SSA, and other programs.

(5)   Ensuring that resource estimates are realistic, adequate and have considered all aspects of C4&IT Infrastructure integration with the EA and C4&IT systems.

(6)   Ensuring that each C4&IT Infrastructure system is fully supported upon deployment, as evidenced by the promulgation of appropriate documentation.

(7)   Ensuring that C4&IT Infrastructure performance measures are developed, tracked, and evaluated.

d.   Sponsor. The Sponsor is the organizational element that articulates goals, validates requirements, acquires resources, and accepts C4&IT capability needed to support a Coast Guard C4&IT Infrastructure. The Sponsor has the following C4&IT Infrastructure responsibilities:

(1)   Promulgating policy regarding use of the C4&IT Infrastructure, development of systems that utilize the C4&IT Infrastructure, and sustainment of the C4&IT Infrastructure.

(2)   Ensuring that C4&IT Infrastructure concerns are addressed throughout the life cycle of each C4&IT system.

(3)   Ensuring that resources are available for C4&IT Infrastructure practices and that these practices are followed.

(4)   Designating the Program Manager and Sponsor's Representative for C4&IT Infrastructure.

(5)   Acquiring and allocating, through planning and programming, the resources necessary to fully develop, implement, and support C4&IT Infrastructure capability.

(6)   Defining, maintaining, and articulating organizational and program goals and validating requirements established by the Program Manager.

e.   Program Manager. The Program Manager is the Sponsor's designated manager who is responsible for development and production of program requirements. The Program Manager advocates the end user's concerns and establishes and maintains mechanisms to ensure that the user's needs are being addressed throughout the life cycle. The Program Manager has the following C4&IT Infrastructure responsibilities:

(1)   Coordinating and assimilating input from end users, enterprise application owners, operations and maintenance communities, and other stakeholders, and providing this input to the appropriate phase of the system development life cycle.

(2)   Developing, tracking, and evaluating performance measures that quantify the C4&IT Infrastructure's success in meeting objectives for response time, information accessibility, and connectivity. Developing measures of C4&IT Infrastructure's impacts on total cost of ownership for mission and business systems that utilize C4&IT Infrastructure services.

(3)   Fulfilling the planning, programming, and budgeting functions of the Sponsor's organization.

(4) Ensuring that training is defined and provided to end users and developers who are building interfaces to the C4&IT Infrastructure, and to the operations and maintenance community. The Program Manager also periodically reviews effectiveness of the various training programs and adjusts them as appropriate.

(5) Developing, updating, and establishing C4&IT Infrastructure doctrine, policies, and associated CONOPS, including operational or end user training requirements.

(6) Developing acceptance criteria for C4&IT Infrastructure systems.

(7) Defining, maintaining, evaluating, and articulating program requirements.

(8) Developing performance measures tying C4&IT Infrastructure system performance to mission and business systems performance or, where applicable, directly to mission accomplishment.

f. Sponsor's Representative. The Sponsor's Representative is designated by the Sponsor to serve as the liaison and interface for the Sponsor and the Program Manager to the other key roles involved in production, delivery, and support of C4&IT Infrastructure. The Sponsor's Representative has the following C4&IT Infrastructure responsibilities:

(1) Maintaining liaison with the Asset Manager, the Sponsor, and technical staffs of the SDA and SSA.

(2) Representing all of the Sponsor's needs.

(3) Developing cost estimates in collaboration with the CG-6 Asset Manager, who collects and assimilates appropriate SDA and SSA input.

(4) Developing and recommending changes to C4&IT Infrastructure policies and practices, as necessary, to enhance the quality of C4&IT Infrastructure practices.

(5) Preparing the business case and other justification for the Sponsor to use in acquisition of resources.

(6) Advocating for technology insertion and refresh.

(7) Communicating with end users to gather input and feedback and to relay results.

g. System Development Agent (SDA). The SDA is the individual, unit, firm, agency, or organization that performs, or has the responsibility for, the design, development, implementation, and support of C4&IT systems, as well as the acquisition of C4&IT products or services. The SDA has a critical role in the C4&IT Infrastructure life cycle. The SDA has the following C4&IT Infrastructure responsibilities:

(1) Carrying out approved C4&IT Infrastructure practices for assigned systems.

(2) Providing competent technical authority for changes to C4&IT Infrastructure systems being requested.

(3) Developing and submitting technical proposals to implement the requested change to the C4&IT Infrastructure.

(4) Collaborating with the Sponsor's Representative, Asset Manager, and SSA to identify and define requirements or solutions, including enhancements.

(5) Making C4&IT Infrastructure design and development changes approved by the cognizant Change Control Board.

(6)   Defining, tracking, and evaluating C4&IT Infrastructure performance measures, pertaining to development, throughout the life cycle.

h.   <u>System Support Agent (SSA)</u>. The SSA is the individual, unit, firm, agency, or organization that performs, or has the responsibility for, the maintenance, support, and availability of C4&IT systems. The SSA participates in all aspects of the C4&IT Infrastructure life cycle. The SSA has the following C4&IT Infrastructure responsibilities:

(1)   Coordinating C4&IT Infrastructure system and service activities from the implementation phase through the remainder of the life cycle.

(2)   Providing competent technical authority for identifying, developing, and resolving support requirements associated with the C4&IT Infrastructure systems.

(3)   Collaborating with the Sponsor's Representative, Asset Manager, and SDA to define support requirements and support solutions.

(4)   Serving as technical evaluator for C4&IT Infrastructure development issues and as advisor to the C4&IT Infrastructure Process Review Board and other stakeholders.

(5)   Defining, tracking, and evaluating C4&IT Infrastructure performance measures pertaining to support throughout the life cycle.

i.   <u>User</u>. The user is the individual, unit, or organization that depends on, interacts with, and uses C4&IT Infrastructure systems and services to accomplish work, execute missions, or deliver products and services to Coast Guard members and external customers. The user provides feedback on existing C4&IT systems and services, suggests enhancements to existing C4&IT systems and services, or identifies new system or service requirements via the Sponsor's Representative.

j.   <u>Customer</u>. A customer is any person or organization that benefits from C4&IT systems or services. An internal customer is a person or organization inside the Coast Guard for which the C4&IT Infrastructure system or service is being provided. An external customer is a person or organization outside the Coast Guard for which the C4&IT product or service is being provided. The customer provides feedback on existing C4&IT systems or services, suggests enhancements to existing C4&IT systems or services, or identifies new system or service requirements via the Sponsor's Representative.

k.   <u>Stakeholder</u>. A C4&IT Infrastructure stakeholder is any person, group, or organization (e.g., customers; employees; suppliers; owners; Office of Management and Budget, DHS, or other agencies, and Congress) that can place a claim on, or influence, an C4&IT Infrastructure system, is affected by that system, or has a vested interest in, or expectation for, the system. The stakeholder provides feedback on existing C4&IT systems, suggests enhancements to existing C4&IT systems, or identifies new system requirements via the Sponsor's Representative.

6.   <u>IMPLEMENTATION</u>. The C4&IT Infrastructure Practices identified below establish actions necessary to manage the C4&IT Infrastructure. All Coast Guard organizations involved in the planning, acquisition, production, deployment, support, operation, and disposition of C4&IT systems shall follow the C4&IT Infrastructure management practice. CG-6 charters and delegates primary development, maintenance and review responsibility for C4&IT Infrastructure practices to the C4&IT Infrastructure Policy Review Board. CG-6 has final approval authority for these practices. The C4&IT Infrastructure practices provide the procedures and processes for the following:

a. Designating C4&IT systems as C4&IT Infrastructure systems. Designation as a C4&IT Infrastructure system means that the Sponsor for a candidate system has agreed to transfer it to CG-6 sponsorship, along with appropriate resources.

b. Acquiring C4&IT Infrastructure systems. C4&IT Infrastructure acquisition practices address the following:

    (1)   Design, development, and testing of C4&IT Infrastructure systems or upgrades, enhancements, and maintenance releases thereto.

    (2)   Procurement of additional units of C4&IT Infrastructure systems or components that have already been designed, developed, and certified as C4&IT Infrastructure.

    (3)   Procurement of other systems that may interface with C4&IT Infrastructure systems.

c. Specifying the interfaces to C4&IT Infrastructure. This includes developing mission and business systems that comply with these interfaces to obtain C4&IT Infrastructure services. C4&IT Infrastructure interfaces include the technical interfaces, the rules that govern use of C4&IT Infrastructure services under specified circumstances and prohibit system developers from building or utilizing other services for the same purpose, and training for developers of C4&IT systems that must interface with the C4&IT Infrastructure.

d. Operating and supporting C4&IT Infrastructure. This includes developing and maintaining C4&IT Infrastructure systems in accordance with the system development life cycle, managing C4&IT Infrastructure assets, managing bandwidth, managing staffing and training in accordance with the Resource Management Policy and Practice, maintaining security of the enterprise in accordance with the Information Assurance Policy and Practice, and measuring performance of C4&IT Infrastructure systems.

e. Using C4&IT Infrastructure. These include policies regarding acceptable use, user and technician training, user manuals, online help, and job aids.

6. <u>ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS</u>. Environmental considerations were examined in the development of this Instruction and have been determined to be not applicable.

7. <u>FORMS/REPORTS</u>. None.

                                        N. HEINER /s/
                                        Assistant Commandant for Command, Control, Communications, Computers and Information Technology, Acting