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United States Coast Guard

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COMDTINST 5230.71
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COMMANDANT INSTRUCTION 5230.71

Subj: COMMAND, CONTROL, COMMUNICATIONS, COMPUTERS AND INFORMATION TECHNOLOGY (C4&IT) INVESTMENT 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 the Coast Guard Command, Control, Communications, Computers and Information Technology (C4&IT) investment management process. C4&IT investment management processes ensure C4&IT products, systems or services directly support Coast Guard mission and business needs, establish clear accountability for C4&IT resource management, and promote enterprise-wide coordination in developing C4&IT assets. All Coast Guard organizations involved in the planning, acquisition, production, deployment, support, operation, and disposition of C4&IT assets shall employ the C4&IT investment management policy and practices 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 planning, acquisition, development, operations, maintenance or use of Coast Guard C4&IT assets comply with the provisions of this Instruction. Internet release is authorized.
3. DIRECTIVES AFFECTED. None.
4. C4&IT INVESTMENT MANAGEMENT. C4&IT investment management identifies which C4&IT systems or services should be funded, either through new initiatives or through reallocation of the base, and ensures C4&IT investments are reviewed for their effectiveness and efficiency in meeting Coast Guard mission and business needs. The C4&IT investment management process provides a framework for instilling proper stewardship across the enterprise in both new and continuing C4&IT initiatives. The C4&IT investment management process applies to all C4&IT

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funding streams and all C4&IT assets (software, hardware, services, etc.) that enable C4&IT capability.

5. **C4&IT INVESTMENT MANAGEMENT ROLES AND RESPONSIBILITIES.** The Commandant (CG-6) organization works proactively with all entities involved in managing C4&IT assets. Figure 1, CG-6 Roles and Relationships Framework, as outlined in reference (a), illustrates the key roles involved and their relationships. CG-6 Roles and Responsibilities ensure that an enterprise-wide management perspective is achieved across the entire C4&IT program and support is considered early in the conception stage. The remainder of this section describes the roles, relationships, and responsibilities as they relate to this policy.

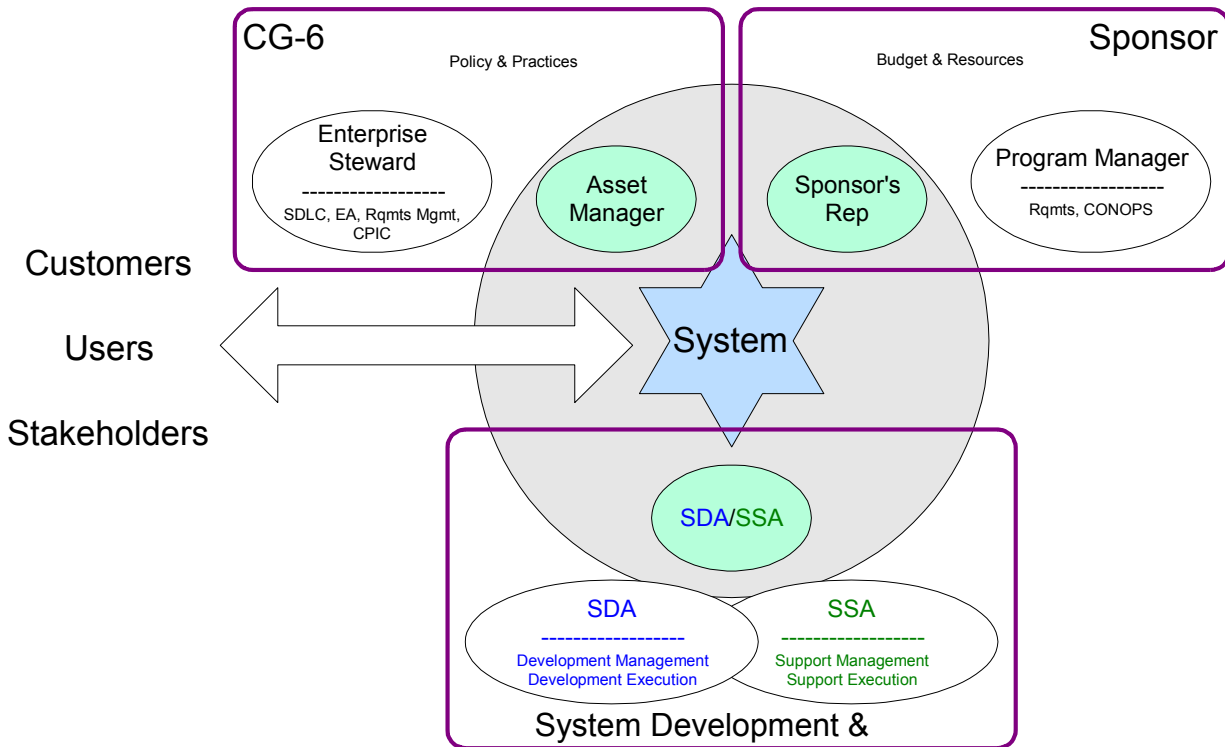


Figure 1: CG-6 Roles and Relationships Framework

- a. **CG-6.** The Chief Information Officer (CIO) is responsible for the C4&IT investment management policies and practices throughout the Coast Guard. The C4&IT investment management process provides a comprehensive foundation for selecting and continuing those C4&IT systems or services that align with and best meet Coast Guard-wide mission and business goals and requirements. CG-6 has the following C4&IT investment management responsibilities:
 - (1) Maintaining and approving C4&IT investment management policy and practices. CG-6 shall establish a C4&IT Investment Management Policy Review Board comprised of representatives from various stakeholder groups to develop and maintain C4&IT investment management policy and practices.

- (2) Ensuring that C4&IT investment management practices are developed and managed in accordance with Federal laws and policy, national and international standards, Department of Homeland Security (DHS) policies and standards, applicable Department of Defense policy and standards, and industry best practices.
 - (3) Ensuring that C4&IT investment management practices are designed to support effective deployment of systems to enable mission performance. Processes should be systematic and repeatable and should ensure appropriate priorities drive investment decisions.
 - (4) Ensuring C4&IT investment management processes are aligned with the overall Coast Guard budget development process, including Agency Capital Plans and the Future Year Homeland Security Plan.
 - (5) Partnering with all Sponsors to plan, design, develop, deploy and maintain C4&IT systems that maximize shared benefit across the enterprise.
 - (6) Establishing the C4&IT Investment Review Board responsible for the review and prioritization of C4&IT assets, and recommending allocation of C4&IT base budgets that maximize the effectiveness of the C4&IT program.
- b. Enterprise Steward. CG-6 provides enterprise-level stewardship of the policies and practices associated with C4&IT investment management. The Enterprise Steward monitors the health, effectiveness, and efficiency of C4&IT investment management and ensures organizational compliance. The Enterprise Steward role has the following responsibilities:
- (1) Ensuring that C4&IT investment management standards are published and updated.
 - (2) Proactively communicating, educating, and training Coast Guard personnel in the effective execution of C4&IT investment management policies and practices.
 - (3) Identifying, managing and incorporating changes to C4&IT investment management requirements.
- c. Asset Manager. The Asset Manager is designated by CG-6 to guide, oversee, and monitor C4&IT policies and practices for an assigned system. A C4&IT asset is a system, product (e.g., software, equipment, information, policy, practice), 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 investment management policies and practices. The Asset Manager has the following C4&IT investment management responsibilities:
- (1) Managing and participating, as necessary, in the C4&IT investment management process for a given C4&IT system and reporting on the performance of the overall C4&IT investment management process in meeting its intended objectives.
 - (2) Facilitating resolution of issues among the Sponsor's Representative, SDA, SSA, and other programs during the C4&IT investment process.
 - (3) Reviewing C4&IT investment submissions for accuracy and completeness and ensuring estimates are realistic, adequate, and have considered all aspects of C4&IT policies and practices.
 - (4) Managing performance, development and support metrics and reporting progress.
 - (5) Ensuring the C4&IT System Inventory is updated as a result of investment decisions.

- d. Sponsor. The Sponsor is the organizational element that articulates goals, validates requirements, acquires all resources, and accepts C4&IT capability needed to support a Coast Guard mission. The Sponsor has the following C4&IT investment management responsibilities:
- (1) Acquiring, through planning and programming, the necessary resources to fully implement and support the needed C4&IT system, while considering total operating costs and the entire life cycle of the C4&IT system.
 - (2) Ensuring all C4&IT investments, including those executed within operational budgets, are appropriately reviewed in accordance with C4&IT policy and practices.
 - (3) Defining, maintaining and articulating organizational/program goals and validating requirements developed by the Program Manager.
 - (4) Ensuring that C4&IT investment management policies and practices are addressed and monitored throughout the life cycle of each C4&IT system.
- e. Program Manager. The Program Manager is the Sponsor's designated manager responsible for development and production of program requirements. The Program Manager advocates the end user's concerns and establishes and maintains mechanisms that ensure the user's needs are being addressed in the budget development process. The Program Manager has the following C4&IT investment management responsibilities:
- (1) Defining, maintaining, evaluating, and articulating program requirements.
 - (2) Developing and monitoring performance measures that quantify the C4&IT system's success in meeting business objectives, tracking costs, and improving capability.
 - (3) Ensuring maximum organizational benefit from C4&IT assets by periodically reviewing performance against current business and mission requirements.
 - (4) Assimilating input from users, customers and stakeholders that supports program requirements, and ensuring program requirement information is accurately reflected in budget requests.
 - (5) Maintaining liaison with users, customers and stakeholders to align C4&IT investment requests with Coast Guard and C4&IT business plans.
 - (6) Developing screening, acceptance and prioritization criteria within their programs for C4&IT assets.
 - (7) Allocating resources necessary to develop and manage C4&IT investment management products.
- 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 managing C4&IT assets. The Sponsor's Representative, working in collaboration with the Asset Manager, SDA and SSA, has the following C4&IT investment management responsibilities:
- (1) Maintaining liaison with the Asset Manager, the Sponsor, and technical staffs of the SDA and SSA to fulfill C4&IT investment management requirements.
 - (2) Communicating with end users, customers and stakeholders to gather input and provide feedback regarding the status of C4&IT investment requests.

- (3) Developing cost estimates and performing investment analysis in collaboration with the Asset Manager, SDA and SSA.
 - (4) Reporting on system status and adherence in meeting proposed schedule, budget and performance objectives.
- 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 a C4&IT system, and the acquisition of C4&IT products or services. The SDA has the following C4&IT investment management responsibilities:
- (1) Collaborating with the Sponsor's Representative, the Asset Manager and the SDA to identify, develop, and resolve design and development requirements, costs and schedules associated with C4&IT systems.
 - (2) Establishing functional and developmental performance metrics that track development timelines, costs, and deliverables for each C4&IT system. The metrics are included in the C4&IT investment management process review package and are monitored to ensure timely development of the system.
 - (3) Collaborating with the Sponsor's Representative, SSA and the Asset Manager to refine design and development requirements or solutions.
- h. System Support Agent (SSA). 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 assets. The SSA provides analysis in support aspects - both short term and long term - for the investment process. The SSA has the following C4&IT investment management responsibilities:
- (1) Collaborating with the Sponsor's Representative, the Asset Manager and the SDA to identify, develop, and resolve support requirements, costs and schedules associated with C4&IT systems.
 - (2) Serving as technical evaluator for C4&IT investment management support issues.
 - (3) Establishing support metrics (reflecting sustainability and availability) for each C4&IT system. The metrics are included in the C4&IT investment management process review package and are monitored to validate support estimates.
- i. User. The user is the individual, unit, or organization that directly depends on and uses the C4&IT system 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, suggests enhancements to existing C4&IT systems, or identifies new system requirements via the Sponsor's Representative.
- j. Customer. A customer is any person or organization for which the Coast Guard provides C4&IT products, systems or services. The customer provides feedback on existing C4&IT products, systems or services. The customer also provides feedback on how well the C4&IT products, systems or services are meeting their requirements so a determination can be made to continue or discontinue the investment. The customer suggests enhancements to existing C4&IT products, systems or services, or identifies new product, system or service requirements via the Sponsor's Representative.
- k. Stakeholder. A C4&IT investment management 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, C4&IT

investment decisions, is affected by C4&IT investment decisions, or has a vested interest in C4&IT investment decisions. The stakeholder provides feedback on existing C4&IT products, systems or services, suggests enhancements to existing C4&IT products, systems or services, and identifies new product, system or service requirements via the Sponsor's Representative.

6. IMPLEMENTATION. The C4&IT investment management practices establish the actions necessary to implement Coast Guard C4&IT investments. All Coast Guard organizations involved in the planning, acquisition, production, deployment, support, operation, and disposition of C4&IT systems shall follow the C4&IT investment management practices. CG-6 charters and delegates primary development, maintenance and review responsibility for these practices to the C4&IT Investment Management Policy Review Board. CG-6 has final approval authority for these practices. C4&IT investment management practices are promulgated separately. They are reviewed and updated regularly to improve the overall C4&IT investment management process and to maintain responsiveness to changes in mission and business priorities and technology. The C4&IT investment management practices provide the procedures and processes for the following:
 - a. Budget Preparation. A process for identifying and developing the required information necessary to formulate budget requests for new or continuing C4&IT systems or services across all funding streams (AFC, AC&I, etc.). Sufficient information is gathered during budget preparation to facilitate the prioritization and selection processes. Additional information is gathered after selection to fully support Coast Guard and external budget processes.
 - b. C4&IT Investment Prioritization and Selection. Review, prioritization and selection processes for C4&IT systems or services - both new initiatives and continued systems or services - to ensure alignment with mission/business needs and maximize the value added to over-all organizational performance. Recommendations that compensate for potential budget scenarios are sent forward to the appropriate approving official.
 - c. C4&IT Investment Control and Evaluation. Review and auditing processes to determine the effectiveness and efficiency of C4&IT systems, and the overall C4&IT program, in meeting mission and business goals.
7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this Instruction and have been determined to be not applicable.
8. FORMS/REPORTS. None.

N. HEINER /s/
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Information Technology, Acting