COMMANDANT INSTRUCTION 5230.72

03 AUG 2018

Subj: COMMAND, CONTROL, COMMUNICATIONS, COMPUTERS, CYBER, AND INTELLIGENCE (C5I) SUSTAINMENT MANAGEMENT POLICY

Ref: (a) Commandant (CG-6) Directorate and Associated Duties, COMDTINST 5401.5 (series)
(b) Major Systems Acquisition Manual (MSAM), COMDTINST M5000.10 (series)
(c) Non-Major Acquisition Process (NMAP) Manual, COMDTINST M5000.11 (series)
(d) Department of Homeland Security (DHS) Acquisition Directive (AD) 102-01-103 (series), Systems Engineering Life Cycle (SELC)
(e) Doctrine for Mission Support, Coast Guard Publication (MS-O), October 2015
(f) Deputy Commandant for Mission Support (DCMS) Engineering Technical Authority (ETA) Policy, COMDTINST 5402.4 (series)
(g) Coast Guard Configuration Management Manual, COMDTINST M4130.6 (series)
(h) U.S. Coast Guard Cybersecurity Manual, COMDTINST M5500.13 (series)
(i) Coast Guard Innovation Program, COMDTINST 5224.13 (series)
(j) DHS Instruction 102-02-001 (series), Capital Planning and Investment Control (CPIC) Guidebook
(k) DHS Instruction Guide 102-02-002, Operational Analysis Guidebook
(l) Coast Guard Operational Requirements Generation Manual, COMDTINST M5000.4 (series)
(m) Information and Communication Technology (ICT) Final Standards and Guidelines, as published in the Federal Register on January 18, 2017 and as amended March 23, 2018

1. PURPOSE. To enhance Command, Control, Communication, Computer, Cyber, and Intelligence (C5I) capabilities that support Coast Guard’s missions and business functions outlined in Reference (a), this Directive identifies the authority, roles, and responsibilities governing sustainment management for C5I systems. This policy also provides high-level guidance to comply with References (b) through (l). Additionally, this policy reaffirms the authority and responsibility for the Assistant Commandant (CG-6) to publish Capital Planning and Investment Control (CPIC) policy, procedures and C5I Program Management Office (PMO) guidelines.
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.** Command, Control, Communications, Computers and Information Technology (C4&IT) System Development Life Cycle (SDLC) Policy, COMDTINST 5230.66A and Command, Control, Communications, Computers and Information Technology (C4&IT) Configuration Management Policy, COMDTINST 5230.69A are canceled.

4. **DISCUSSION.** Coast Guard acquisitions are governed by References (b) and (c). Figure 1 illustrates the scope of this sustainment management policy, using stages defined in Reference (d). Sustainment consists of engineering and technical support by a Product or Service Line Manager to maintain an operational capability. Program management of sustained systems includes budgeting, risk management, and stakeholder management to maintain scope, cost, schedule, and performance baselines and measurement until the system is identified for requirements refresh or disposal.

![Sustainment Diagram](image)

**Figure 1:** This Directive outlines the authority, roles, and responsibilities governing sustainment management for C5I systems.

This Instruction is complemented by Commandant (CG-6) Capital Planning and Investment Control procedures and C5I PMO guidelines, which define compliance activities aligned to this policy for both major and non-major C5I investments respective acquisitions, accompanied by details of the products, processes, activities, decision events, inputs, outputs, and tools for each phase of Systems Engineering Lifecycle (SELC).

5. **DISCLAIMER.** This policy is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide technical guidance for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.

6. **MAJOR CHANGES.** Cancellation of SDLC policy implies removal or realignment of several roles. The former roles of Asset Manager, System Development Agent (SDA), and System Support Agent (SSA) under Command, Control, Communications, Computers and Information Technology (C4&IT) System Development Life Cycle (SDLC) Policy, COMDTINST 5230.66A have been
discontinued; however, the responsibilities performed by these roles are distributed between roles in this policy as follows:

a. Former Asset Manager responsibilities are either inherent to the C5I PMO or fall within a chartered Sustainment Program Manager.

b. Former SDA responsibilities that apply to acquisition activities belong to the Acquisition Program Manager, as defined in References (b) and (c). Maintenance activities, formerly performed by the SDA that do not meet criteria for acquisitions are now split between the Sustainment Program Manager and service lines within C5I Service Center (SC).¹

c. The former SSA responsibilities have been allocated between the Sustainment Program Manager, C5I SC, and Coast Guard Cyber Command (CG CYBER) as described in Section 11.

7. **ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.**

a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, Commandant (CG-47). This Instruction is categorically excluded (CE) under current Department of Homeland Security (DHS) categorical exclusion (CATEX) A3 from further environmental analysis in accordance with “Implementation of the National Environmental Policy Act (NEPA),” DHS Instruction Manual 023-01-001-01 (series).

b. This Instruction 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 policy in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Department of Homeland Security (DHS) and Coast Guard NEPA policy, and compliance with all other applicable environmental mandates.


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 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.

¹ An active Organizational Modification Request suggests that the Command, Control, Communications, Computers and Information Technology Service Center (C4ITSC) name be changed to the C5I SC. All references to C5I SC can be interchanged with the C4ITSC.
10. **POLICY.** The following policy governs all C5I systems in sustainment:

   a. Sustainment engineering includes (preventative, corrective or adaptive) maintenance, procurement, obsolescence management, disposal and other activities performed in the Operations and Maintenance (O&M) and Disposition stages of the systems engineering lifecycle, as depicted in Figure 1. All references to SELC in this policy, unless specifically stated, refer to sustainment-centric SELC products. SELC, as directed in this policy, is applied to sustainment engineering activities and may be used to update SELC products created during a previous or continuing acquisition program.

   b. Capability enhancements and convergence initiatives may be considered new development projects outside the sustainment phase. As such, technology refresh, capability enhancement, or convergence initiatives may be categorized as an acquisition program and funded with investment resources (Procurement, Construction, & Improvement (PC&I)). This may occur if a project or activity increases the capacity, capability or service life of an asset as outlined in Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series). When this threshold is reached, the project or activity shall be governed in accordance with Reference (c) and follow USCG planning, programming, budgeting and execution (PPBE) and CPIC processes throughout the annual budget formulation and execution phases. This requires detailed planning and programming at least three years in advance of the refresh, capability enhancement or convergence initiative.

   c. Within two years of assignment, C5I personnel that are engaged in sustainment engineering projects (predominately within CG-68 and C5I SC) shall attain Department of Homeland Security (DHS) project or program certification including the Federal Acquisition Certification Program and Project Manager (FAC P/PM) level certification or equivalent. Supervisors may identify additional project or program certification requirements that are commensurate with staff’s position, civilian grade, or military rank as defined in the respective civilian position description. Sponsor’s Representatives and Requirements Managers shall also complete Requirements Management certification within one year of assignment. All software development and configuration personnel shall complete “DHS Introduction to Section 508 compliance” a minimum of once every three years. Additional advanced Section 508 training will be assigned based on roles and responsibilities.

   d. The following responsibilities apply to all C5I systems in O&M.

      (1) The Sponsor’s Representative (SR) is responsible for documenting customer satisfaction and other business justification data through regular Operational Analyses (OAs).

      (2) Commandant (CG-68) is responsible for identifying the minimum documentation required in a SELC Tailoring Plan to inform enterprise management of cost, schedule, and performance objectives, including sustainment engineering activities and coordinating with Engineering Technical Authorities (ETA) as defined in Reference (f).

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2 PC&I was formally known as Acquisition, Construction, and Improvement (AC&I).
(3) The Sustainment Program Manager is responsible for adjudicating updated operational requirements and emerging technical standards that affect system effectiveness and suitability. In accordance with Reference (m), Sustainment Program Managers are also responsible for documenting functional requirements, overseeing completion of SELC documentation per the approved SELC Tailoring Plan, and providing input to OAs.

(4) The Sustainment Program Manager is responsible for assuring that section 508 contractual obligations, testing and remediation are completed and documented pursuant to the requirements of the investment (ICT type) within the O&M stage.

e. This Instruction does not supersede information assurance roles as described in Reference (h). Operational effectiveness requires close alignment between Risk Management Framework and Sustainment Management roles.

f. Individuals designated to a sustainment role for a C5I system shall carry out their responsibilities as outlined in both this policy and as further described in C5I PMO guidelines.

g. The Commandant (CG-6) organization works proactively with all entities involved in the system lifecycle. Specific roles in this policy which have Configuration Management (CM) duties include: CIO, Sustainment Program Manager, Service Line Managers and Sponsor/Sponsor’s Representative.

11. SUSTAINMENT ROLES AND RESPONSIBILITIES.

a. The Assistant Commandant for C4&IT (CG-6) and Chief Information Officer (CIO):
   (1) Serves as member of Executive Oversight Committee (EOC), per Reference (b).
   (2) Authorizes establishment of C5I Configuration Control Boards (CCBs), as necessary and publishing the list of authorized C5I CCBs.
   (3) Delegates the execution of the CM practices to the roles defined herein.
   (4) Serves as Engineering Technical Authority (ETA) Warranting Officer as described in Commandant (CG-6) scope in Reference (f).
   (5) Formally designates C5I sustainment management roles and responsibilities in writing to ensure organizational alignment and accountability for each C5I system.

b. The C5I Resource Council (RC):
   (1) Prioritizes all PC&I C5I funding needs for consideration by the Systems Integration Team (SIT) and EOC.
   (2) Prioritizes all O&M C5I funding needs for EOC approval.
   (3) Rates and weights systems and programs across the portfolios and recommends the prioritization and budget requests to the EOC.
   (4) Reports back to the EOC on how approved C5I funds were executed during the budget execution year in accordance with the budget formulation justifications and measures.
(5) The Co-Chairs (Commandants (CG-68) and (CG-761)) shall provide direction to the C5I RC necessary to develop Planning, Programming, Budgeting and Execution (PPBE) related submissions. This Direction shall include:

(a) Requirements and resource prioritization frameworks from Commandant (CG-761) informed by DHS, Coast Guard, Deputy Commandant for Operations (DCO), DCMS, and C5I strategic plans, and Area Commander and CIO priorities.

(b) Direction to subordinate governance bodies.

(6) Coordinates identification of potential acquisition programs for governance review, as described in Reference (c).

c. The Office of C5I Program Management (CG-68):

(1) Oversees CPIC for IT Investments and SELC compliance.

(2) Develops guidance and standards regarding the design, build, configuration, and maintenance of C5I capabilities, and interoperability of Coast Guard capabilities with the Department of Defense (DoD), DHS, and relevant Technical Warrant Holders (TWH) as necessary.

(3) Develops and recommends changes to CM policies and practices, as necessary, to enhance the quality of C5I systems and CM practices.

(4) Ensures that CM performance measures are developed, tracked, and evaluated.

(5) Ensures that CM training is defined, resourced, and provided and that CM performance measures are defined, tracked, and evaluated.

(6) Provides technical control for the C5I SC, on behalf of Commandant (CG-6), to support all C5I systems, capabilities, and resources. Monitors operations and field-level maintenance activities.

(7) Serves as the Co-chair of C5I RC, per C5I RC Charter, and provides management and oversight for approved C5I portfolios.

(8) Oversees the overall execution of all C5I funds, regardless of funding type.

(9) Oversees the overall execution of funds, regardless of funding type, applied to C5I systems managed outside of Commandant (CG-9) in accordance with the EOC.

(10) Maintains total asset visibility of C5I capabilities per Reference (e).

(11) Approves SELC Tailoring Plans and SELC Technical Reviews for C5I sustainment engineering as described in Paragraph 10.d(2).

(12) Approves SELC Tailoring Plans for C5I procurements and programs, as determined by Non-Major Acquisition Oversight Council (NMAOC) and/or EOC.

(13) Serves as Commandant (CG-6) representative to NMAOC.
(14) Evaluates Portfolios and respective Portfolio Managers based upon accuracy of portfolio roadmaps, alignment with Enterprise Architecture (EA) blueprint, accessibility compliance, completeness of DHS’ Investment Evaluation, Submission, and Tracking (INVEST) for portfolio systems, transparency of the budgeted and actual funding of C5I systems, and total asset visibility (TAV) for inventories within their portfolio.

(15) Maintains the C5I system disposition process and serve as approving authority for C5I Disposition Reviews.

(16) Ensures proper sustainment planning for C5I acquisition programs and evaluates Sustainment Program Managers.

(17) Act as the primary liaison with the acquisition program manager for transition of cyber compliant C5I systems into the sustainment community.

(18) Coordinates with Commandant (CG-62) and Commandant (CG-67) to ensure all C5I system inventory and data catalog records (e.g., Enterprise Systems Inventory (ESI), DHS’ Information Assurance Compliance System (IACS), and INVEST system) are accurate, including updates based upon acquisition or sustainment designation memos.

(19) Sets training, certification, and education standards for sustainment management roles, and serves as the Program Manager for Cyber Information Technology (IT) engineering and management postgraduate advanced education programs. Provide appropriate membership to the Commandant (CG-9) USCG Acquisition Workforce Certification Board.

(20) Maintains an overview of the Cyber IT workforce that performs the planning, design, build, test, configure, and implementation functions assignment.

d. The Office of C5I Capabilities (CG-761):

(1) Serves as the Sponsor’s Representative for all C5I capabilities throughout the Coast Guard (including those capabilities supporting Areas and HQ directorates) whether funded by Research and Development (R&D), PC&I, Operations and Support (O&S) or other appropriations, except where this role is otherwise delegated.

(2) Prioritizes, as Co-chair for the C5I RC, all funding sources for all C5I investments.

(3) Defines, maintains, evaluates, validates and articulates organizational mission/business goals and operational requirements for C5I systems.

(4) Supports Sponsors and Commandant (CG-68) to develop and defend C5I resource proposals which are mission-focused and aligned with C5I Strategic Direction.

(5) Documents and ensures the maintenance of accurate, current, and comprehensive information for the Enterprise Architecture Business Reference Model (BRM) and C5I strategic plan with the C5I Resource Council. Serves on the Enterprise Architecture Board (EAB) to review new and modified C5I investments, products and standards in coordination with Commandant (CG-671).
(6) Performs the role of C5I capability integrator. Ensures transparency, traceability and documentation of all C5I requirements, CONOPS, funding prioritization decisions, policies and doctrine. Receives technical requirements and mandates from ETAs and forwards these to Sponsor’s Reps and Sustainment Program Managers for evaluation and reprioritization by C5I Resource Council (through PWG), if necessary.

e. The Office of Enterprise Architecture (EA) and Technology Innovation (CG-67):
   (1) Develops, manages, and communicates EA, Data Management, Information Resources Management (IRM) and authoritative data sources, Service Component Reference Model (SCRM), and Technical Reference Model (TRM).
   (2) Oversees proper documentation and maintenance of the Business Reference Models (BRM) developed by Commandant (CG-761).
   (3) Maintains and ensures all C5I system inventory records (e.g., Enterprise Systems Inventory (ESI)) are accurate in accordance with OMB definitions of major, minor, and general support systems plus external information systems.
   (4) Maintains and ensures accuracy of all C5I application inventory records.
   (5) Coordinates with Commandants (CG-62) and (CG-68) to ensure that funded devices and components are associated with a system and/or system Authority to Operate (ATO) boundary.
   (6) Oversees that potential C5I acquisitions do not introduce duplication or fragmentation to the Coast Guard EA and comply with Coast Guard C5I technical standards.
   (7) Assesses if introduction of new functionality will impact the baseline enterprise network, storage, and internal and cloud computing environment service levels.
   (8) Conducts periodic EA reviews to identify duplicate C5I systems and convergence opportunities, and make recommendations to C5I RC as appropriate.
   (9) Serves as the Commandant (CG-6) representative to the Headquarters Innovation Council and Coast Guard Innovation Council, per Reference (i); this includes coordinating with the research and development program on initiatives relating to C5I system engineering.
   (10) Develops and manages the C5I enterprise strategy in coordination with Commandant (CG-761).

f. C5I Service Center (C5I SC):
   (1) Coordinates depot-level support of C5I systems and services as guided by the Mission Support Business Model (MSBM) defined in Reference (e).
   (2) Provides annual (and quarterly updated) IT Acquisition and Disposal Forecast and procurement packages compliant with the CIO and Head of Contracting Activity (HCA) direction. Recommends to Commandant (CG-68) opportunities to consolidate or eliminate duplicative contract services, or hardware and software procurement vehicles.
(3) Reports to Commandant (CG-68) on status of sustainment spending, including through periodic (quarterly at a minimum) Program Management Reviews (PMR), and compliance with information assurance and other Commandant (CG-6) policies.

(4) Coordinates and standardizes C5I sustainment and maintenance activities of Service Lines as funded by C5I RC and directed by Commandant (CG-68) (i.e. SELC guidance).

(5) Establishes and governs C5I logistics workflow and processes, including Defense Enterprise Service Management Framework (DESMF) change and configuration management processes, Section 508 accessibility, maintenance development process, problem and incident management processes, integration and test management, and assessment and authorization in alignment with Commandant (CG-6) technical guidance and standards.

(6) Provides C5I lifecycle support services, including project management, logistics planning and analysis, contracting and procurement, cost estimation, availability and capacity management, testing, technical data and documentation management.

(7) Coordinates with the sponsor’s representative to ensure the sponsor’s representative has identified any performance, security, Section 508 accessibility and privacy impacts to the enterprise network, storage, and internal and cloud computing environment.

g. Coast Guard Cyber Command (CG CYBER):

(1) Fulfills field-level (or organizational-level) support of enterprise C5I systems and services as guided by the MSBM defined in Reference (e).

(2) Informs Commandants (CG-62) and (CG-68) on status of cyber vulnerabilities, ATO, operations and field-level maintenance activities, as well as compliance with information assurance, Section 508 accessibility and other Commandant (CG-6) policies, for resource prioritization through C5I RC.

(3) Informs Sustainment Program Managers on task orders that may require adjustments to approved budgets.

h. Portfolio Managers:

(1) Co-chair C5I Portfolio working groups along with the Requirements Manager.

(2) Collaborates with Requirements Manager, lead Requirements and Resource prioritization scoring and ranking activities, including: rating and weighting systems and programs within a portfolio, and defend the prioritization and budget requests to the C5I Resource Council.

(3) Tracks spend plans, obligations, and expenditures within the portfolio and determine the portfolio’s trade space based upon C5I RC prioritization, performance metrics, and program and system schedules.

(4) Estimates portfolio benefits, risks, costs (including life cycle cost estimate), and schedule; also create roadmaps to deliver and sustain required C5I capabilities.
(5) Prepares budget and resource proposals (RPs) during budget formulation for C5I RC consideration.

(6) Prepares and recommends spend plan adjustments to budget execution (in-year) for approval in collaboration with Commandant (CG-761).

(7) Tracks the annual and quarterly IT Acquisition and Disposal Forecast and make recommendations for procurement package remediation or funding sweep if the milestones are slipping or have not been met.

(8) Evaluates programs’ ability to execute approved C5I budgets. Identify program funding that cannot be executed and notify C5I RC.

(9) Monitors all planned and ongoing IT initiatives of the portfolio (e.g., sub-portfolios, programs, investments, systems, services, projects) and ensure that inventory profiles and exhibits are maintained and accurate.

(10) Provides input to IT Major Investment and IT Non-Major Investment business cases that identify the system purpose; justification; prior, current and out-year costs; schedule and milestones; performance measures and results; return on investment; risks; acquisition strategy; and operational analysis (if in production) during budget formulation and budget execution in accordance with PPBE, CPIC and SELC.

(11) Informed of NMAOC briefings/decisions.

(12) Informed of CCB and other governance bodies’ decisions.

(13) Plans specific, measurable, and relevant objectives that follow the strategic and Program Planning guidance.

(14) Ensures controls and oversight are sufficient to assure compliance with relevant laws, regulations, and performance results that meet standards for stakeholder satisfaction.

(15) Recommends system upgrades, changes, and disposition.

(16) Ensures all cybersecurity funding and resource estimates in the portfolio are accurate and included in the portfolio prioritization.

(17) Ensures Federal Information Security Management Act (FISMA) requirements are met.

(18) Validates CPIC compliance and reporting.

i. Sustainment Program Managers:

(1) Accomplishes sustainment program objectives, for the management of assigned C5I systems. This includes effective and efficient coordination of sustainment activities between C5I SC and CG CYBER.

(2) Receives requirements changes from Commandant (CG-761) (see Paragraph 11.d.(6)) and performs functional decomposition, reviews for impacts to approved budgets, roadmaps, technical risks, etc. Engage Sponsor’s Rep and PWG when requirements changes require funding or prioritization adjustments.
(3) Drafts SELC Tailoring Plans for C5I sustainment engineering projects, as defined in Paragraph 10.d(3), with input from Service Lines and ETAs.

(4) Approves Service Level Agreements (SLAs) jointly with the other party, in accordance with Commandant (CG-67) enterprise architecture service levels and technical standards, and ensure Service Lines are accountable to maintain supported systems in accordance with approved budgets.

(5) Maintains IT Major Investment and IT Non-Major Investment documents that identify the system purpose; justification; prior, current and out-year costs; schedule and milestones; performance measures and results; return on investment; risks; acquisition strategy; Section 508 Compliance and operational analysis (if in production) during budget formulation and budget execution in accordance with PPBE, CPIC and SELC.

(6) Maintains total asset visibility of C5I systems; this includes updating the inventory profiles and exhibits (i.e., ESI record, INVEST, and IACS) of C5I systems within the program for completeness and accuracy.

(7) Maintains an accurate accounting and configuration changes of all assigned C5I equipment, devices, and components.

(8) Creates and review budget requests, collaborate with Service Line Managers to prepare justifications for their Portfolio Management Prioritization, track costs, and provide input to Portfolio Manager and roadmaps based upon inputs from Service Line Managers.

(9) Remediate gaps in SELC documentation, as approved in SELC Tailoring Plans for legacy systems.

(10) Provides input to Sponsor’s Reps completing Post-Implementation Reviews (PIR) or OAs within chartered program. Update INVEST with finalized PIR or OA.

(11) Achieves and/or maintain system and personal certifications in accordance with sustainment charter.

(12) Monitors and oversee disposition of C5I systems in accordance with approved disposition review.

(13) Complies with PPBE, CPIC, and Information Technology Acquisition Review (ITAR) process for each C5I system in sustainment (i.e., O&M and Disposition).

(14) Engages with ETAs within Commandants (CG-1), (CG-4), and (CG-6) per Reference (f), and relevant technical domains within Commandants (CG-2), (CG-7), and (CG-8) as necessary to ensure proper disposition planning.

(15) Identifies potential acquisitions and coordinate with Commandants (CG-68) and (CG-761) for submission to the NMAOC for evaluation per Reference (c).

(16) Provides input to key acquisition artifacts (e.g., Program Transition Plan, Lifecycle Cost Estimates).
(17) Responsible as the primary liaison with the acquisition program manager for transitioning cyber compliant C5I systems into the sustainment community, per reference (h).

(18) Ensures logistics and sustainment requirements are defined, described in detail, included in requirements, and delivered to appropriate sustainment support entity. This includes: technical data requirements including standards for drawings, manuals and troubleshooting guides; types and numbers of spare parts; and training requirements.

(19) Monitors technical progress in the field of C5I engineering and logistics related to mission support services, capabilities, assets, or systems.

(20) Represents the PMO in matters relating to maintenance of C5I systems and capabilities.

(21) Ensures regular performance reviews to measure progress toward planned program goals. Monitor and review system performance measures and assist in decision-making tied to system upgrades, changes, and disposition. Develop corrective action plans for underperforming programs and systems. Update Investment (Program) performance measure values in INVEST and update the performance measures as appropriate.

j. C5I Resource Management and Governance Division (CG-682):

(1) Provides oversight and direction for IT Asset Management, per Reference (j).

(2) Manages the CPIC process and governance, and compliance for IT Investments, per Reference (j).

(3) Conducts budget oversight, including OMB Major IT (Exhibit 300) Major Investment and Non-Major (Exhibit 53) Investment submissions for all Information Management (IM) and IT related resources.

(4) Manages internal IT controls in support of enterprise risk activities and audit activities.

(5) Prepares inputs and responses to the PPBE process.

(6) Coordinates out-year budget planning for C5I programs, including RP preparation by promulgating guidance from Commandants (CG-6/CIO), (CG-8/CFO), (DCMS-8), (DCO-8), and C5I RC.

(7) Manages the ITAR process for all IT acquisitions and spending Reference (j).

(8) Manages Section 508 compliance policy and processes across USCG.

(9) Provides C5I acquisitions with Section 508 standards subject matter expertise throughout all stages of the Acquisitions Lifecycle and SELC framework.

(10) Reviews IM/IT project implementation plans to ensure adequate resources will be available to support all maintenance and logistics aspects before proceeding from the development / procurement phase to the production / operational phase.

(11) Manages performance metrics, analyses and assessments, as conducted by Sustainment Program Managers.
(12) Supports C5I cyberspace workforce human capital management functions, including workforce certification oversight.

(13) Creates and manages policies for C5I PPBE and CPIC requirements for IT Investments.

(14) As directed by the USCG Deputy CIO, serves as the liaison to DHS regarding CPIC for IT Investments.

(15) As directed by the USCG Deputy CIO, serves as the liaison to DHS regarding Federal IT Acquisition Reform Act (FITARA) implementation.

(16) Coordinates real property or facility requirement RPs with Commandant (CG-43).

k. Service Line Managers:

(1) Accountable for cost, schedule and performance execution of sustainment projects and any specifically chartered acquisition programs within Service Line.

(2) Creates budget justifications during budget formulation and budget execution for planned work, including likely impacts if a substantial portion of requested funding is not funded.

(3) Ensures service requests identify the total cost of ownership before accepting the work, including:

(a) Project/Program Management;

(b) Systems Architecture;

(c) Information Assessment and Authorization (i.e. System Security Plan, System Test and Evaluation, Contingency Plan, Control Identification and Test Result documentation, Vulnerability Test and Evaluation and Section 508 accessibility compliance);

(d) Traceability between functional requirements and systems’ specifications;

(e) Test Bed;

(f) Unit, System, Regression and Integration Test and Evaluation;

(g) Configuration Management;

(h) Resolution cost contingency budget reserved for critical and high test findings.

(i) Remediation/resolution cost contingency budget reserved for moderate and low test findings;

(j) Commitment and completion of existing Plan of Action and Milestones (POAM) schedule, staffing, and funding needs;

(k) Training;

(l) Additional costs identified to the program for new functionality that will negatively impact the baseline enterprise network, storage, and internal and cloud computing environment service levels; and
(m) Operations and Maintenance funding including periodic technology refresh, scheduled upgrades, and patching.

(4) Ensures that CM training is defined, resourced, and provided and that CM performance measures are defined, tracked, and evaluated.

(5) Provides visibility to C5I SC and Sustainment Program Managers of Service Line assets, including: budget execution and requests, compliance with Service Level Agreements, and accounting of assigned C5I equipment, devices, and components.

(6) Completes SELC documentation and support SELC technical reviews, as required by SELC tailoring plans for sustainment engineering projects or chartered acquisition programs within Service Line.

(7) Executes disposition of C5I systems in accordance with approved disposition review.

(8) Supports Acquisition Program Manager and Sustainment Program Manager with preparations to transition acquisition programs to sustainment.

(9) Delegates authority, but keep accountability, to assigned individuals (e.g., project managers) to execute sustainment engineering projects and maintenance.

l. Sponsors:

(1) Defines, maintains, evaluates, and articulates organizational and program goals and capabilities.

(2) Acquires, through planning and programming, the necessary resources to fully implement and support the needed C5I capability, considering total cost of ownership, risks, return on investment and expected disposal date for the system.

(3) Coordinates, assimilates, and provides end user input to the appropriate stage of the PPBE, CPIC, SELC, and Risk Management Framework (RMF), per Reference (h).

(4) Identifies and facilitate the resolution of issues tied to requirements and needs.

(5) Defines, tracks, and evaluates performance measures in accordance with CPIC and Commandant (CG-682) guidance.

(6) Develops, updates, and establishes program doctrine, policies, and associated concepts of operations, including operational or end user operational training requirements.

(7) Fulfills the PPBE functions of the Sponsor’s organization.

(8) Develops acceptance criteria (including expected and measured performance) for C5I systems in coordination with Commandant (CG-68).

m. Requirements Managers:

(1) Co-chair C5I Portfolio working groups along with Portfolio Manager.

(2) Manages requirements documentation, in accordance with Reference (l).
(3) Manages requirements traceability matrix; ensure traceability between operations, functional and technical requirements; ensure alignment with existing and emerging EA processes.

(4) Creates and manages requirement priority lists for the entire portfolio to enable prioritization of requirements between multiple systems and capabilities.

(5) Collaborates with Portfolio Manager, lead requirements and resource prioritization scoring and ranking activities, including: rating and weighting systems and programs within a portfolio, and defend the prioritization and budget requests to the C5I Resource Council.

n. Sponsor’s Representatives (SR):

(1) Coordinates concept approval for development of any new or existing C5I system with Commandant (CG-6) and the Sponsor.

(2) Elicits and articulates operational requirements on behalf of the Sponsor, Users, Customers, and Stakeholders.

(3) Receives requirements changes from Requirements “front door” for prioritization and review for impacts to approved budgets, roadmaps, and technical risks. See paragraph 11.d.(6). Engage Sponsor’s Representative and PWG when requirements changes require funding or prioritization adjustments.

(4) Assists in the development and/or validation of business process changes.

(5) Develops cost estimates in collaboration with Commandant (CG-68).

(6) Communicates and resolves issues identified with C5I system development, operation, and/or support with other sustainment management roles.

(7) Leads documentation of annual Operational Analyses per References (j) and (k). Process and relay change requests, input, and feedback from Users, Customers, and Stakeholders.

(8) Collaborates in the development of a SELC Tailoring Plan for each C5I project with Commandant (CG-68) in compliance with References (b) and (c).

12. FORMS/REPORTS. None.

13. REQUESTS FOR CHANGES. All change requests should be directed to Commandant (CG-68).

D. M. DERMANELIAN /s/
Rear Admiral, U.S. Coast Guard
Assistant Commandant for Command, Control, Communications, Computers, and Information Technology