PROGRAM MANAGEMENT

COMDTINST 5200.15

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U.S. Department of
Homeland Security

**United States
Coast Guard**

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United States Coast Guard

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Subj: PROGRAM MANAGEMENT

Ref: (a) OMB Circular No. A-11 Section 270 – Program and Project Management
(b) DHS Instruction 102-01-001, Rev. 02, Acquisition Management
(c) Major Systems Acquisition Manual (MSAM), COMDTINST M5000.10 (series)
(d) Level 3 Non-Major Acquisition Program (NMAP) Manual, COMDTINST M5000.11 (series)
(e) Coast Guard Organization Manual, COMDTINST 5400.7 (series)
(f) Coast Guard Planning, Programming, Budgeting and Execution (PPBE) Process, COMDTINST 7100.1 (series)
(g) Coast Guard Acquisition Management Roles & Responsibilities, COMDTINST 5000.12 (series)
(h) Management's Responsibility for Internal Controls and Reporting Requirements, COMDTINST 5200.10 (series)
(i) Coast Guard Personnel Allowance List (PAL) Manual, COMDTINST M5312.14 (series)
(j) Command, Control, Communications, Computers, Cyber, And Intelligence (C5I) Sustainment Management Policy, COMDTINST 5230.72 (series)

1. <u>PURPOSE</u>. This Instruction provides the statement of policy and responsibilities for the management of Coast Guard programs and clarifies the integration of program management into strategic planning, resource management, and performance improvement processes. This Instruction also provides a common framework for program management within the Coast Guard that supports compliance with Reference (a).

2. <u>ACTION</u>. All Coast Guard unit commanders, commanding officers, officers-in charge, deputy and assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Instruction.

3. <u>AUTHORIZED RELEASE</u>. Internet release is authorized.

4. <u>DIRECTIVES AFFECTED</u>. None

5. <u>DISCUSSION</u>.

   a. High performing organizations closely align strategic planning, resource management, and performance improvement efforts within and across the organization. Failure to align these activities across an organization result in reactive planning, inefficient use of people and funding, and increased risk to the organization's ability to identify and achieve intended strategic intent. Due to the size and complexity of the Coast Guard, breaking down organizational efforts into programs, like-groups of activities oriented around a common objective, provides the structure needed to systematically develop, execute, and monitor strategic planning, resource management, and performance improvement efforts. Effective and efficient accomplishment of program objectives is essential to mission success. A properly designed program management framework facilitates the achievement of organizational goals through achievement of program objectives.

   b. In addition to sound organizational management practice, program management is the primary focus of several federal laws and policies. The Government Performance and Results Act (GPRA), Government Performance and Results Act Modernization Act (GPRAMA) and the Program Management Improvement Accountability Act (PMIAA) were established to improve Program (P) and Project Management (PM) practices within the federal government. Reference (a) describes policy requirements for implementation of these laws. DHS further requires the Coast Guard to comply with elements of these laws and policies in Reference (b). Systematic implementation of practices and principles identified in the laws and policies described above strengthens program performance, drives efficient and effective mission execution, and increase alignment of Coast Guard governance and processes with DHS.

   c. The purpose of this Instruction is to establish an enterprise level framework to govern organizational activities and processes related to program management. This framework integrates activities and processes across the organization to ensure alignment of organizational resources with strategic goals. It requires linking resources directly to the programs they support and establishes performance measures that aid in monitoring program performance towards Coast Guard strategic goals. This Instruction also establishes baseline roles and responsibilities for those involved in program management across the enterprise.

6. <u>DISCLAIMER</u>. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended to nor does it impose legally binding requirements on any party outside the Coast Guard.

7. <u>SCOPE AND AUTHORITIES</u>. It is recommended the reader become familiar with the directives and publications noted throughout this Instruction and are listed in numerical series order: then list:

   Coast Guard Personnel Allowance List (PAL) Manual, COMDTINST M5312.14 (series)
   Coast Guard Organization Manual, COMDTINST 5400.7 (series)

Coast Guard Planning, Programming, Budgeting and Execution (PPBE) Process, COMDTINST 7100.1 (series)
Government Performance and Results Act (GPRA), Government Performance and Results Act Modernization Act (GPRAMA)

Program Management Improvement Accountability Act (PMIAA)

8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. The Office of Environmental Management, Commandant (CG-47) reviewed this Commandant Instruction and the general policies contained within, and determined that this policy falls under the Department of Homeland Security (DHS) categorical exclusion A3. This Commandant Instruction will not result in any substantial change to existing environmental conditions or violation of any applicable federal, state, or local laws relating to the protection of the environment. It is the responsibility of the action proponent to evaluate all future specific actions resulting from this policy for compliance with the National Environmental Policy Act (NEPA), other applicable environmental requirements, and the U.S. Coast Guard Environmental Planning Policy, COMDTINST 5090.1 (series).

9. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located in the Coast Guard Directives System Library internally, and if applicable on the Internet at www.dcms.uscg.mil/directives .

10. RECORDS MANAGEMENT CONSIDERATIONS. Records created as a result of this Instruction, regardless of format or media, must be managed in accordance with the records retention schedules located on the Records Resource Center SharePoint site at: https://uscg.sharepoint-mil.us/sites/cg61/SitePages/CG-611-RIM.aspx .

11. DEFINITIONS. The lexicon provided below clarifies and expands upon terms used within this Instruction.

    a. Program. An organizational and accountability construct characterized by activities managed as a single entity with a commonality of purpose to achieve identified outcomes. Within the Coast Guard the term program is applied to a broad range of mission programs, support programs, acquisition programs, and other activities managed as programs each targeting a specific collection of functions and objectives. For the purposes of this Instruction, the term Program refers to Mission and Support Programs that are codified in the listing identified in paragraph 13.b.3 of this Instruction.

    b. Acquisition Program. Major and Non-major Acquisition programs (analogous to projects) subject to Reference (b), (c) and (d) are exempted from this Instruction.

    c. Federal Program. Federal Programs are those identified as such by the Department of Homeland Security and other Federal Agencies as subject to the GPRA Modernization Act of 2010 and any other subsequent federal level Program Management directives.

    d. Mission Program. A Mission Program is a strategic management construct with specifically delegated responsibility and accountability for an enterprise mission or

collection of enterprise missions. Mission Programs are also considered Federal Programs listed in the Federal Program Inventory. (*) Asterisked items are included in the DHS Federal Program Inventory, but not identified as Coast Guard Mission Programs.

    (1) Defense Operations

    (2) Marine Transportation System Management

    (3) Maritime Law Enforcement

    (4) Maritime Prevention

    (5) Maritime Response

    (6) Maritime Security Operations

    (7) Cross-Cutting Capital Investments and Maintenance*

    (8) Mission Support*

e. <u>Support Program</u>**.** A Support Program is a management construct with specifically delegated responsibility and accountability for activities, functions, or capabilities that support the Mission Programs.

f. <u>Sub-Program</u>. A Sub-Program is an element of a program, which contributes to the accomplishment of one or more program purposes. Sub-programs allow further delegation of responsibility and accountability for missions and functions.

g. <u>Program Director</u>. Program Directors are designated Flag or SES members ultimately responsible to DCO/DCMS/VCG for the overall management of the programs covered by this Instruction and identified in the Program listing managed by Commandant (CG-PAE). They are accountable for the transformation of strategic goals and policy into program plans and policies and making the most effective and efficient use of resources to accomplish those goals. In the case of Programs that report directly to the Vice Commandant, Flag or SES members may serve as both Program Manager and Program Director.

h. <u>Program Managers</u>. A Program Manager is an individual who is delegated strategic management accountability for one or more programs. They are responsible for both policy and resources associated with their programs.

i. <u>Sub-Program Managers</u>. Sub-Program Managers are individuals with delegated accountability for sub-programs. Sub-Program Managers report directly to Program Managers. Identification or creation of Sub-Program Managers should be considered when the Program span of control becomes too great to be managed by a single Program Manager. As an example, the Maritime Response Program contains the sub-program of Search and Rescue (SAR).

j. Performance Management. Ongoing monitoring of program progress towards program goals. Performance measures may assess the type or level of program activities conducted (process), the direct products and services delivered by a program (outputs), or the results of those products and services (outcomes).

k. Project. Different from a program, projects are time bound with a specific start and end date and are typically designed to achieve a specific often singular outcome (building a website, completing an analysis, standing up a new command or product line, etc.). Progress is typically measured against a milestone-based schedule using non-recurring resource allocations. Program managers often oversee multiple projects in addition to recurring management activities that result in achievement of program goals.

l. Project Managers. Individuals responsible for leading teams in the application of knowledge, skills, tools, techniques, and resources to complete a specific project.

m. Resource. Resources consist of funding, materiel, and personnel. This may include real property and IT systems.

n. Technical Authority. The authority, responsibility, and accountability to establish, monitor, and approve policies, technical standards, tools, procedures, and processes in conformance with higher level policy, requirements, architectures, and standards as specified in Reference (e). Program organizations may hold both Program Management and Technical Authority roles.

12. POLICY. Coast Guard programs shall be structured and managed to realize program objectives effectively and efficiently with due regard to established constraints. All programs shall:

a. Integrate with enterprise strategic planning, resource management, and performance improvement processes and align with Coast Guard, and DHS strategies, and governance processes. Program Managers support achievement of organizational goals by aligning work within their program area to Coast Guard strategies.

b. Have established resources, policy, and requirements. Although multiple programs may be stakeholders in decisions related to personnel and resources, no resources can be directly attributed to more than one program. Resource and personnel management processes ensure that stakeholders are involved in resourcing decisions. Command and technical authority over personnel and other resources should not be confused with program ownership.

c. Have clearly defined performance goals linked to outcomes that support organizational strategies. This aligns program efforts to achievement of Coast Guard strategic goals. For Mission Programs, goals and outcomes are established via strategic management processes outlined by the Deputy Commandants that over see those Mission Programs.

13. ROLES & RESPONSIBILITIES. The following roles implement the responsibilities associated with program management. Authority and responsibilities of Program Directors,

Program Managers, and Sub-Program Managers should not be confused with Technical Authority or Command Authority.

a. <u>Deputy and Assistant Commandants shall</u>:

   (1) Be accountable for ensuring programs under their authority comply with this Instruction.

   (2) Develop policy and procedures that incorporate program managers' input in support of enterprise processes (e.g., Program Managers input should be included in development of Enterprise Risks).

b. <u>Commandant (CG-8) shall</u>:

   (1) Establish resource and performance management, governance, and processes, to support program management efforts.

   (2) Develop and maintain enterprise level program management policy, training requirements, and governance required to effectively implement robust program management practices for the Coast Guard. This does not prevent, or relieve, Deputy Commandants, Assistant Commandants, or other organizational elements from establishing additional policies, training requirements, or governance in support of program management efforts under their purview.

   (3) Manage an authoritative listing of Programs, Program Directors, and Program Managers for the Coast Guard. Establish change management processes to maintain this listing and publish updates.

   (4) Manage an authoritative system that links resources, including billets, to each Program. Establish change management processes to maintain this listing.

   (5) Develop an enterprise framework to guide execution of various program management functions identified in Reference (a) (e.g., evaluation, performance management, risk management, etc.) in support of strategic program management efforts.

   (6) Ensure that resources allocated through PPBE processes defined in Reference (f) can be readily linked to individual programs. Resources that support assets and capabilities should be traceable across pre-acquisition, acquisition, sustainment, and disposal activities. Resources are not directly assigned to assets. Instead, assets are accounted for under the various programs that acquire and support the asset.

c. <u>Program Directors shall</u>:

   (1) Be responsible for the development of, and effective and efficient accomplishment of program objectives for their assigned programs.

(2) Coordinate Coast Guard policy and provide overall management of specific Headquarters units. Reference (g) contains further clarification and shall be adhered to for roles and responsibilities related to acquisition, procurement, and contracting policy given the special nature of the authorities involved.

(3) Be responsible for management of programs within their purview, including short- and long-range planning and programming of personnel and materiel resources. Regularly assess the performance of programs assigned to them. This includes determining if programs are meeting performance goals and identifying/addressing root causes if performance goals are not being met.

(4) Participate in the annual Statement of Assurance (SOA) for internal controls and compliance with laws and regulations in accordance with Reference (h).

d. Program Managers shall:

(1) Develop and monitor achievement of program goals and outcomes. Program Managers should continually assess programs under their purview for effectiveness, efficiency, and risks associated with program strategies and routinely evaluate alternatives for delivering these outcomes.

(2) Manage resources, establish policy and/or processes, manage organizational change, and conduct routine program performance assessments to ensure their program efforts effectively and efficiently support achievement of Coast Guard strategic goals.

(3) Manage, develop, and sustain the workforce to ensure the staffing necessary to meet program objectives in accordance with relevant Coast Guard policies and in collaboration with broader workforce governance bodies (e.g., Office of Enlisted Personnel Management, Rating Force Master Chiefs, and Workforce Management Teams).

(4) Program Managers are responsible for managing resources assigned to their program in accordance with References (f), and (i), and other relevant policy and guidance.

(5) Identify and manage data and information that support program activities in accordance with relevant Coast Guard policy.

(6) Be responsible for program performance. This includes development and tracking on internal CG measures to determine if programs are meeting performance goals and identifying/addressing root causes if performance goals are not being met.

(7) Lead participation in performance review efforts related to their programs.

(8) Identify, collect, and report metrics that support the DHS Annual Performance Report (APR) and other external deliverables related to performance management as applicable.

   (9) Ensure program requirements are documented. Documented requirements should serve as the basis for development of staffing, budget, and performance levels. Program Managers should document any requirements or service level assumptions that are being used to inform program staffing, budget, and performance levels.

(10) Represent program equities in support of Enterprise Risk Management activities and processes.

(11) Develop program goals and objectives that are responsive to stakeholders and customers and align with higher organizational strategic priorities. Develop, assess, and advocate for goals that balance resources and risk with achievement of desired program outcomes.

(12) Participate in organizational strategy and long-term planning processes. This includes but is not limited to representing program equities as part of DHS Strategic Reviews, Annual CG Strategic Reviews, and CG Strategic Studies. Provide program level data and cost estimates for out-year planning efforts and studies facilitated by Commandant (CG-PAE). This includes providing input into planning documents and long-term cost model validation efforts.

(13) Liaise with the appropriate Engineering Technical Authority organizations to ensure that established technical policies, standards, guidelines, architectures, and best practices are followed in accordance with Reference (e).

(14) In addition to other responsibilities identified in this section, C5I Program Managers shall adhere to Reference (j), which provides specific responsibilities for C5I Program Managers.

(15) Acquisition Program Managers chartered under reference (c) and (d) are exempt from this Instruction.

(16) In addition to other responsibilities identified in this section DCO Mission Program Managers shall adhere to specific guidance for Mission Program Managers as provided by the Deputy Commandant for Operations.

(17) In addition to other responsibilities identified in this section DCMS Program Managers shall adhere to specific guidance for DCMS Program Managers as provided by the Deputy Commandant for Mission Support.

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

15. <u>SECTION 508</u>.   This Instruction was created to adhere to Accessibility guidelines and standards as promulgated by the U.S. Access Board. If changes are needed, please communicate with the Coast Guard Section 508 Program Management Office at Section.508@uscg.mil.

16. <u>REQUEST FOR CHANGES</u>. Units and individuals may formally recommend changes through the chain of command using the Coast Guard Memorandum. Comments and suggestions from users of this Instruction are welcomed and should be sent to Commandant (CG-PAE) at: hqs-dg-lst-cg-8-pae-sp@uscg.mil. This Instruction will be updated based on significant changes in programs or higher-level directives. The Program Analysis and Evaluation Office (CG-PAE) shall be responsible for coordinating revisions.

/M. W. LAKE/
Rear Admiral, U.S. Coast Guard
Assistant Commandant for Resources