COMMANDANT INSTRUCTION 5000.12

JULY 06, 2012

Subj: COAST GUARD ACQUISITION MANAGEMENT ROLES & RESPONSIBILITIES

Ref: (a) Department of Homeland Security Acquisition Directive 102-01 (20Jan10)
     (b) Executive Oversight Council (EOC) Charter (17May11)
     (c) Department of Homeland Security Memorandum, United States Coast Guard Nomination for Component Acquisition Executive (CAE) (10Aug09)
     (d) Coast Guard Memorandum, Delegation of Authority (16Feb11)
     (e) Major Systems Acquisition Manual (MSAM), COMDTINST M5000.10 (series)
     (f) CG-9 Chief Acquisition Officer (CAO) Charter dated (5May11)
     (g) Non-Major Acquisition Process (NMAP), COMDTINST 5000.11 (series)
     (h) Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series)
     (i) Department of Defense Standard Practice For System Safety, MIL-STD-882 (series)
     (j) Commandant (CG-1) Technical Authority, COMDTINST 4700.5 (series)
     (k) Commandant (CG-2) Memorandum, Decision Memo – Intelligence Support to Acquisitions (28Feb11)
     (l) Commandant (CG-4) Technical Authority, COMDTINST 4700.4 (series)
     (m) Commandant (CG-6) Technical Authority, COMDTINST 5230.79 (series)
     (n) Chief Financial Officer (CFO) Technical Authority, COMDTINST 5402.3 (series)
     (o) Information and Life Cycle Management Manual, COMDTINST M5212.12 (series)

1. PURPOSE. This Instruction establishes the Coast Guard acquisition management roles and responsibilities in support of acquisition projects consistent with the Department of Homeland Security’s (DHS) policy in reference (a).

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

3. DIRECTIVES AFFECTED. None.
4. ACQUISITION ORGANIZATION. The Coast Guard has an established organizational structure to support the Component Acquisition Executive (CAE) in all elements of acquisition decision making. Figure 1: Coast Guard Acquisition Organization illustrates that organization.

![Coast Guard Acquisition Organizational Diagram](image)

Figure 1: Coast Guard Acquisition Organizational Diagram

5. ACQUISITION GOVERNANCE.

a. The Coast Guard Acquisition Review Board’s (CG ARB) primary functions are to review major acquisition projects annually; to review projects at Coast Guard Acquisition Decision Events (ADE) when the CAE is the Acquisition Decision Authority (ADA); and to review projects in preparation for an ADE in which DHS is the ADA. As an oversight advisory group, the CG ARB serves as a forum to discuss project issues and resolve problems that need to be addressed by senior Coast Guard management. The CG ARB:

   (1) Analyzes project cost, schedule, technical progress, accomplishments, risks, achievement of the acquisition phase exit criteria, and future plans to determine if the project is prepared to enter into the next acquisition phase; and,

   (2) Recommends approval or disapproval for the project to proceed to the next phase.
b. The Executive Oversight Council (EOC) is a flag/senior executive service (SES) level forum that monitors major risks, addresses emergent issues, reviews acquisition decision event exit criteria progress, and provides direction to cross directorate teams (e.g., Resource Councils) as required to support successful execution of major and non-major acquisition projects. The EOC’s primary function is to review and address risks and issues that have the potential to result in significant performance, cost, and/or schedule changes for major and non-major acquisition projects in accordance with reference (b). Commandant (CG-9), the EOC Chair, also serves as the decision authority for non-major acquisitions for ADE 2 and 3.

c. The Systems Integration Team (SIT) is a cross-directorate, cross-enterprise senior leadership team whose primary purpose is to support the EOC with the management of issues and provide a forum to discuss and resolve project issues that directly or indirectly impact cross-directorate stakeholders.

d. Resource Councils. Resource Councils for Aviation, Cutters, C4ISR, Mission Support and Information Technology (MSIT), and Boats and Operational Training were established to implement cross-enterprise management groups that function as senior-level advisory councils to the EOC.

6. COAST GUARD LEADERSHIP ROLES AND RESPONSIBILITIES.

a. Component Acquisition Executive. As designated by reference (c), the Coast Guard’s Component Acquisition Executive (CAE) is the Vice Commandant. The CAE is responsible for implementation, management, and oversight of Coast Guard acquisition processes. The CAE:

1. Establishes Coast Guard acquisition processes;

2. Oversees execution of the Coast Guard acquisition portfolio;

3. Serves as the Coast Guard-ADA for Level 1 and 2 major acquisitions; providing approval to proceed to DHS ARB (see Figure 2 Coast Guard Acquisition Levels and Acquisition Decision Authorities for applicability to specific ADEs);

4. Serves as the final ADA for select Level 1 and 2 major acquisitions, if designated by DHS;

5. Delegates ADA for non-major acquisitions and select major acquisitions (see Figure 2 Coast Guard Acquisition Levels and Acquisition Decision Authorities);

6. As designated by reference (d), reports breaches in accordance with Coast Guard Authorization Act of 2010 (P.L. 111-281) §575; and,

7. Charters the Chief Acquisition Officer (CAO).
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**Note ¹**: See reference (e) for descriptions of ADEs and Acquisition Levels

**Note ²**: CAE will chair CG ARB whenever DHS ADA is designated as the Deputy Secretary (S2), if not, CAE may delegate to DCMS for Level 1 ADE-2A/2B/2C and ADE-3

**Note ³**: ADA for non-major projects is delegated to DCMS (ADE-1) and CAO (ADE 2&3)

Figure 2: Coast Guard Acquisition Levels and Acquisition Decision Authorities

b. Deputy Commandant for Mission Support. The Deputy Commandant for Mission Support (DCMS) has an active role in acquisition management and is responsible for all facets of life-cycle management for Coast Guard assets. The DCMS:

1. Serves as the Coast Guard-ADA for Level 1 major acquisitions at ADE-0 and ADE-4; Level 2 major acquisitions at ADE-0, ADE-2A/2B/2C, ADE-3 and ADE-4; and Level 1 major acquisitions at ADE-2A/2B/2C and ADE-3 if designated by the CAE;

2. Serves as the ADA for non-major acquisitions at ADE-1;

3. Charters major acquisition project managers; and,

4. Serves as a core member of CG ARB.

c. Deputy Commandant for Operations. Charged with developing and overseeing the execution of operational planning, policy, and international engagement at the strategic level, the Deputy Commandant for Operations (DCO) is involved with resource acquisition at the strategic level. The DCO:

1. Oversees mission analysis and requirements generation;

2. Approves the Mission Analysis Report (MAR) and Operational Requirements Document (ORD);

3. Supervises all sponsor functions;

4. Serves as a core member of CG ARB; and,

5. Identifies a program sponsor for each major and non-major systems acquisition to represent the mission program throughout the project’s lifecycle.

7. ACQUISITION DIRECTORATE ROLES AND RESPONSIBILITIES.

a. Chief Acquisition Officer. Commandant (CG-9), Assistant Commandant for Acquisition, is chartered by the CAE as the Coast Guard Chief Acquisition Officer (CAO). The CAO sets the strategic direction for Coast Guard acquisitions and oversees the effective execution of all acquisition related functions in accordance with reference (f). The CAO also:
(1) Reports directly to the CAE on matters pertaining to acquisition roles and responsibilities;
(2) Serves as the primary representative for the Coast Guard at DHS CAE Council;
(3) Develops and approves Coast Guard acquisition policies and processes to ensure effective management and appropriate oversight of Coast Guard acquisitions;
(4) Monitors the performance of acquisition programs and projects through the use of rigorous cost, schedule and performance metrics and advises the Commandant, through the chain of command, on the appropriate business strategies to best execute Coast Guard acquisition projects;
(5) Ensures compliance with all applicable acquisition laws and policies including the Coast Guard Authorization Act of 2010;
(6) Serves as the ADA for ADE-2 and ADE-3 for non-major acquisition projects;
(7) Charters non-major acquisition project managers;
(8) Serves as a member of the CG ARB; and,
(9) Serves as the chair of the EOC.

b. Program Executive Officer. Commandant (CG-93) is the Director of Acquisition Programs and the Program Executive Officer (PEO). Commandant (CG-93) also:
(1) Serves as a member of the EOC;
(2) Oversees the acquisition, integration, and delivery of assigned acquisition assets and systems for the Coast Guard;
(3) Ensures development, maintenance, and/or compliance with all project and program-related plans and existing directives;
(4) Provides direction and guidance for acquisition program and project managers to define and best satisfy program performance, schedule, and cost objectives while identifying and managing risk throughout the acquisition life cycle;
(5) Acts as the principal Coast Guard spokesperson for all acquisition program status and execution related issues;
(6) Promotes best practices and lessons learned by optimizing matrix team participation and employment of integrated product teams; and;
(7) Communicates formally and informally with technical authorities and sponsor to ensure efficient and effective execution of acquisition projects.

c. Acquisition Program Managers, Commandant (CG-93X). Acquisition Program Managers (PgM) manage a portfolio of major acquisition projects that are functionally related in a portfolio of assets (Aviation, Surface, C4ISR and Logistics). Each acquisition project within a PgM’s portfolio has an assigned Project Manager. The PgM also:
(1) Tracks the progress of each acquisition project within their respective portfolio against established baselines for cost, schedule, and performance;
(2) Enhances project management performance through standardized business processes and procedures and improves resource synergies across a portfolio;
(3) Ensures program and project relationships with technical authorities, project sponsors, and external stakeholders are established and effective;

(4) Provides program oversight for training and professional development of project personnel, including appropriate certifications and credentials;

(5) Facilitates start-up and close-out of assigned acquisition projects;

(6) Applies sound, risk-based decision making analysis practices to balance portfolio resources among projects and manage the many factors that influence program cost, schedule, and performance;

(7) Establishes a forum for cross-project collaboration, issue resolution, and sharing of lessons learned, and maintains a lessons learned file; and,

(8) Provides oversight, direction, guidance, and support to the acquisition Project Managers within the portfolio.

d. Project Manager, Commandant (CG-93YY). The Project Manager (PM) is the individual who is specifically chartered by DCMS to be responsible for planning and executing an acquisition project within an established cost, schedule, and performance baseline. The PM is to be appropriately certified for the level of acquisition. The PM:

(1) Plans, organizes, executes, and coordinates the assigned acquisition project in accordance with approved charter and applicable acquisition policies, processes and procedures;

(2) Executes the core processes and activities per references (e) and (g) with participation from appropriate stakeholders including sponsor(s), legal, and technical authorities;

(3) Acts as the focal point for reporting project specific information, including assisting the Program Manager by scheduling and conducting Project Establishment Meetings and capitalization of individual assets within 90 days of acceptance, in accordance with reference (h), the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series);

(4) Serves as the principal advisor to all formal project specific source selection activities or as a Source Selection Evaluation Board (SSEB) member;

(5) Assists Sponsor requirements generation activities; and,

(6) Ensures that all types of hazards are identified, evaluated, and mitigated to a level compliant with acquisition management policy consistent with reference (i).

e. Commandant (CG-91) is the Director of Contracting and Procurement and the Head of Contracting Activity (HCA) per Department of Homeland Security Management Directive 0003. Commandant (CG-91) also:

(1) Serves as a member of the EOC;

(2) Plans, directs, coordinates, and controls the procurement policy and operational contracting programs of the Coast Guard;

(3) Provides direct contract support to acquisition program and project managers responsible for delivering major assets and systems;

(4) Provides contract management services for non-major acquisitions in the Washington, D.C. metropolitan area;
(5) Serves as the principal authority and advisor for Federal contract regulations to Commandant (CG-9) and Coast Guard leadership on component acquisition matters;

(6) Serves as principal consultant and advisor on procurement and contracting matters for Commandant (CG-9);

(7) Provides expert advice to the DHS Chief Acquisition Officer and USCG Commandant, Vice Commandant, and Deputy Commandant for Mission Support on all contracting and procurement policy issues;

(8) Serves as the Source Selection Authority, unless delegated, responsible for selecting the successful contractor for all major acquisitions; and,

(9) Manages and provides oversight of workforce training and for certification of contracting personnel.

f. Commandant (CG-92) is the Director, Acquisition Services. Commandant (CG-92) also:

(1) Serves as a member of the EOC;

(2) Develops policies, processes and procedures for business case analysis to assess project scope, budget, and performance for acquiring major capital assets including, but not limited to ships, aircraft, and information technology hardware and software systems performance;

(3) Monitors major system acquisition activities to ensure compliance with the acquisition policies outlined in Government Performance Results Act; Clinger-Cohen Act; Office of Management and Budget (OMB) Circular A-11; DHS and Coast Guard guidance;

(4) Provides program support for management, execution, and support activities for all international acquisition activities to include Coast Guard Foreign Military Sales (FMS), Excess Defense Articles (EDA), and related International Cooperative Programs (ICP);

(5) Provides Program/Project Manager support for Research, Development, Test and Evaluation (RDT&E) activities to best support Coast Guard major and non-major system acquisitions;

(6) Manages and provides oversight for workforce management and certification for non-contracting acquisition personnel;

(7) Provides direct business management, financial management, communications management, personnel management, project execution and strategic support to acquisition program and project managers responsible for delivering major assets and systems; and,

(8) Serves as the principal advisor for strategic planning, communications and the coordination of external inquiries, including those from the DHS Office of the Inspector General, the Government Accountability Office and Congress.

8. **SPONSOR**. The sponsor is the designated organization that has the lead for documenting the business case, translating functional requirements into capabilities, and accepting the capability. The role of the sponsor is most typically served by Assistant Commandant for Capability (CG-7), but may also be served by other assistant commandants. The Office of Requirements and Analysis (CG-771) is gatekeeper for all requirements generation activities. Commandant (CG-7) assists in sponsor requirements generation activities when sponsor is other than Commandant (CG-7). The sponsor shall serve as the project advocate throughout the planning, programming and budgeting process. The sponsor also:
a. Serves as a member of the EOC;

b. Supports Commandant (CG-5R) and Commandant (CG-5P) mission analyses efforts. Conducts non-material and material analyses and documents the results in the Mission Analysis Report (MAR);

c. Develops the Mission Need Statement (MNS), the CONOPS, the Preliminary Operational Requirements Document (PORD), Deployment Plan (DP) and the Operational Requirements Document (ORD) in accordance with reference (e);

d. Oversees Operational Test & Evaluation (OT&E) and approves the final report to verify that operational requirements have been met in accordance with reference (e);

e. Works with Commandant (CG-9) and Technical Authorities to develop recommendations to resolve issues of project affordability and executability within the Capital Investment Plan (CIP);

f. Serves as the requirements manager; and,

g. Develops and conducts annual Operational Analyses on individual assets in accordance with DHS Operational Analysis Guidance version 1.1 dated May 2008.

9. TECHNICAL AUTHORITIES. The Technical Authorities serve as the Coast Guard’s authoritative experts in providing the authority, responsibility, and accountability to establish, monitor, and approve technical standards, tools, and processes, and certify acquisition projects in conformance with statute, policy, requirements, architectures and standards, per reference (e). The Technical Authorities also:

a. Ensure proper technical standards and resources are incorporated into system requirements;

b. Support Commandant (CG-5R) and Commandant (CG-5P) mission analyses efforts and functional requirements development;

c. Serve as member(s) of the EOC; and,

d. Review and endorse the Project Systems Engineering Life Cycle Tailoring Plan (PSTP) to ensure the project’s technical management approach is technically sound and executable.

e. The Technical Authorities include:

(1) Commandant (CG-1). The Assistant Commandant for Human Resources is the Technical Authority for Human Systems Integration (HSI) and has the authority, responsibility, and accountability to establish, monitor, and approve technical standards, tools, and processes relating to HSI in conformance with policy, requirements, architectures, and standards in accordance with reference (j), Commandant (CG-1) Technical Authority, COMDTINST 4700.5 (series). Commandant (CG-1) also serves as a member of the EOC.

(2) Commandant (CG-2). The Assistant Commandant for Intelligence and Criminal Investigations directs, coordinates, and oversees intelligence and investigative operations and activities that support all Coast Guard mission objectives in accordance with reference (k), Commandant (CG-2) Memorandum, Decision Memo – Intelligence Support to Acquisitions (28Feb11). Commandant (CG-2) also supports mission analyses efforts of Commandant (CG-5R) and Commandant CG-5P) and assists the Sponsor with requirements generation activities. Commandant (CG-2) fulfills sponsor responsibilities for intelligence related
acquisition, but will closely coordinate with Commandant (CG-7), sponsor’s representative, to ensure alignment across C4ISR capabilities. Commandant (CG-2) supports the Commandant (CG-9) Test and Evaluation Master Plans (TEMP) process with intelligence expertise. Commandant (CG-2) also provides coordination of certification and accreditation for all Sensitive Compartmented Information (SCI) systems. Further, Commandant (CG-2) provides validated threat support documents for all Coast Guard systems, as well as Intelligence Support Plans (ISP) for all systems with intelligence capabilities or requirements. Finally, Commandant (CG-2) provides a tailored Counterintelligence Support Plan (CISP) for each Research, Development, Test, and Evaluation (RDT&E) activity and acquisition program with identified Critical Program Information (CPI), as validated by the Program Manager. Commandant (CG-2) also serves as a member of the EOC.

(3) Commandant (CG-4). The Assistant Commandant for Engineering and Logistics is the Technical Authority for design, construction, maintenance, and logistics support of all Coast Guard naval, aeronautical, and civil engineering systems and assets in accordance with reference (l) Commandant (CG-4) Technical Authority, COMDTINST 4700.4 (series). Commandant (CG-4) also serves as a member of the EOC.

(4) Commandant (CG-6). The Assistant Commandant for Command, Control, Communications, Computers, and Information Technology is the C4&IT Technical Authority in accordance with reference (m), Commandant (CG-6) Technical Authority, COMDTINST 5230.79 (series). Commandant (CG-6) also serves as a member of the EOC.

(5) Commandant (CG-8). The Assistant Commandant for Resources is designated as the Coast Guard Chief Financial Officer (CFO) and the Technical Authority responsible for financial management in accordance with reference (n), the Chief Financial Officer (CFO) Technical Authority, COMDTINST 5402.3 (series). Commandant (CG-8) also serves as a member of the EOC.

10. ADDITIONAL ROLES AND RESPONSIBILITIES. Other directorates in the Coast Guard organization support the acquisition governance framework by participating in CG ARB and EOC meetings, providing functional expertise as needed and providing services to ensure proper execution of acquisition projects.

a. The Assistant Commandant for Response Policy (CG-5R) and The Assistant Commandant for Prevention Policy (CG-5P) provide executive management oversight in the conduct of analytical studies to evaluate and improve Coast Guard total operation capabilities. Commandant (CG-5R) and Commandant (CG-5P) also:

(1) Serve as members of the EOC;
(2) Define and validate functional requirements;
(3) Support the capability sponsor’s requirements generation activities, including development of the MNS, CONOPS, PORD, and ORD, through membership on IPTs;
(4) Provide recommendations for material/non-material solutions at ADE-0;
(5) Schedule ADE-0 in accordance with reference (e) to present results of analyses that require material solutions and associated resources to resolve performance/capability gaps; and,
(6) Provide ongoing policy support from the mission-impact perspective throughout the project’s lifecycle, assisting the sponsor and acquisition directorates as necessary, participating in congressional briefings and budget meetings, and supports the sponsor in acting as a general advocate for the project.

b. Office of Performance Management & Assessment (CG-DCO-81). Works with Commandant (CG-5R) and Commandant (CG-5P) in accordance with reference (e) to plan, resource and conduct Coast Guard wide mission analyses to identify performance/capability gaps, document results in a Mission Analysis Report (MAR), and ensure that results are available to support the Coast Guard budget decision process.

c. Commandant (CG-092). Director of Government and Public Affairs serves as a member of the EOC as the subject matter expert for issues related to governmental and public affairs communications.

d. Commandant (CG-094). Judge Advocate General and Chief Counsel serves as a member of the EOC as the subject matter expert for legal matters. Legal counsel provides expert advice to the entire source selection organization, including the source selection authority, throughout the source selection process.

e. Commandant (CG-095). Director of Enterprise Strategy, Management and Doctrine Oversight serves as a member of the EOC as the subject matter expert for issues relating to geopolitical, economic, and environmental issues and trends as well as organizational analysis, change management, and continuing modernization initiatives.

f. Commander, FORCECOM. The Force Readiness Command serves as a member of the EOC as the subject matter expert for training and workforce readiness. FORCECOM will partner with the other members of the acquisition community to plan, resource, coordinate, and execute project and supporting training and human performance activities throughout the acquisition lifecycle.

g. CG ARB Executive Secretary. Commandant (CG-924) is the CG ARB Executive Secretary and provides administrative support to the CAE for scheduling, managing, and documenting CG ARB reviews. The CG ARB Executive Secretary:

(1) Coordinates reviews required by DHS;

(2) Serves as the Commandant (CG-9) point of contact to DHS in matters related to DHS review of acquisition programs, works in conjunction with other Coast Guard managers, such as CG-8 to maintain consistent Coast Guard message;

(3) Collects issues to be raised at the CG ARB;

(4) Receives, distributes, and coordinates read aheads for CG ARB review; and,

(5) Prepares Acquisition Decision Memoranda for CAE signature.

h. EOC Executive Secretary. Commandant (CG-924) is also the Executive Secretary for the EOC. The EOC Executive Secretary:

(1) Schedules EOC meetings and publishes agenda;

(2) Distributes read ahead packages;
(3) Maintains a record of proceedings and publishes minutes; and,
(4) Drafts memoranda documenting EOC decisions with copies to senior level decision authorities where decision authority has been delegated.

11. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations under the National Environmental Policy Act (NEPA) were examined in the development of this Instruction. This Instruction included preparation of guidance documents that implement, without substantive change, the applicable Commandant Instruction or other Federal agency regulations, procedures, manuals, and other guidance documents. It is categorically excluded from further NEPA analysis and documentation requirements under Categorical Exclusion (33) as published in COMDTINST M16475.1D, Figure 2-1. An Environmental Checklist and Categorical Exclusion Determination (CED) are not required.

12. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and reference (o), the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy requires substantial change to existing records management requirements.

13. RESPONSIBILITY FOR POLICY CHANGES. This Instruction will be updated as necessary. Commandant (CG-9) will coordinate the promulgation of time-sensitive amendments when needed. Recommendations for improvement or corrections shall be submitted directly to Commandant (CG-924).


15. FORMS/REPORTS. None.

16. DISCLAIMER. This document is intended to provide operational requirements for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.

J.P. Currier /s/
Vice Admiral, U.S. Coast Guard
Vice Commandant