



COMDTINST 5230.77A
DEC 11 2009

COMMANDANT INSTRUCTION 5230.77A

Subj: COAST GUARD AND DEPARTMENT OF HOMELAND SECURITY CHIEF INFORMATION OFFICER (CIO) REVIEW AND APPROVAL OF COMMAND, CONTROL, COMMUNICATIONS, COMPUTERS, AND INFORMATION TECHNOLOGY (C4&IT) ACQUISITIONS

Ref: (a) DHS Management Directive MD 0007.1, Information Technology Integration and Management dated 15 Mar 2007

1. **PURPOSE.** This Instruction establishes the authority, roles, and responsibilities governing the Information Technology Acquisition Review (ITAR) process. In reference (a), the Department of Homeland Security (DHS) requires the review and approval of all Coast Guard Command, Control, Communications, Computers and Information Technology (C4&IT) acquisitions. The Coast Guard Chief Information Officer (CIO) must effectively manage and administer all IT resources and assets to meet mission and enterprise program goals, and ensure that all IT acquisitions are aligned with Department, Administration, and Congressional priorities. Reference (a) states that the CIO must approve the acquisition of all IT equipment, software, services, hardware, communications, infrastructure and programs prior to contract award.
2. **ACTION.** All CG 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.** Implementation of Coast Guard and DHS Chief Information Officer (CIO) Review and Approval of Command, Control, Communications, Computers and Information Technology (C4&IT) Acquisitions Equal To or Greater Than \$2.5 Million, COMDTINST 5230.77, is cancelled.

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4. INFORMATION TECHNOLOGY ACQUISITION REVIEW (ITAR). ITAR is a review and approval process that is required prior to the award of any Information Technology (IT) procurement. The Coast Guard CIO (CG-6) must review and approve all IT procurements \$100K and above (inclusive of options). After Coast Guard CIO approval, the DHS CIO must review and approve all IT procurements of \$2.5M and above (inclusive of options). Furthermore, reference (a) gives the Coast Guard CIO the authority and responsibility to determine if non-IT procurements contain embedded IT, and CIO approval requirements apply to the IT portion of the procurement. Procurement actions requiring review include, but are not limited to: contracts, task orders, delivery orders, Inter-Agency Agreements (IAA), Reimbursable Agreements, modifications, grants, exercise of options, Military Interdepartmental Procurement Requests (MIPRs), commodity purchases and any other contractual activity that includes an obligation for IT assets or services. IT procurements made under DHS-wide contract vehicles (e.g., EAGLE and FirstSource) are NOT exempt from this requirement. The following guidelines apply:
 - a. IT Procurements \$2.5M and above (including options). All C4&IT procurements \$2.5M and above will first be submitted by the ITAR requestor to the Coast Guard CIO (CG-6) for review and approval. If approved, the Coast Guard CIO will forward these IT procurements to the DHS CIO for review and approval. When approved, the DHS CIO will issue an approval document authorizing the IT procurement. This approval document must be provided to the contracting officer by the ITAR requestor prior to award of a contractual obligation.
 - b. IT Procurements \$100K and up to \$2.5M (including options). All C4&IT procurements \$100K and up to \$2.5M will be submitted by the ITAR requestor to the Coast Guard CIO for review and approval. If approved, the Coast Guard CIO will issue an approval document authorizing the IT procurement. This approval document must be provided to the contracting officer by the ITAR requestor prior to award of a contractual obligation.
 - c. Modifications. Even if basic award actions are approved, CIO approval is required for contract modifications where the increased contract cost is equal to or greater than \$100K. Modifications include increased scope and exercise of contract options not previously approved.
5. ITAR SUBMITTAL REQUIREMENTS. An ITAR package must be submitted to the Coast Guard CIO for review and approval. The ITAR package must include the following documents:
 - a. ITAR Checklist. The ITAR submitter (Program Manager/Contracting Officer's Technical Representative/Requisitioner) must submit a completed CIO checklist with each ITAR package. The DHS CIO developed the IT Acquisition Requestor Checklist available at the DHS CIO Website (link in paragraph 10 below). The checklist is currently in MS Excel, but will change to a web-based application in the future.
 - b. Performance Work Statement (PWS), Statement of Work (SOW) or Statement of Objectives (SOO). The ITAR submitter must submit a PWS, SOW or SOO with each ITAR package. This is necessary to ensure that DHS required clauses for Security, Enterprise Architecture

and Office of Accessible Systems & Technology (OAST) Section 508 are included in the contract.

- c. Independent Government Cost Estimate (IGCE). The ITAR submitter must submit an IGCE with each ITAR package. This is necessary for the CIO to verify the request amount (current year) and the Total Estimated Potential Value (TEPV) of the IT procurement (including all options and modifications).
 - d. OAST Section 508 National Security Exception (NSE) request form. All ITAR requests must be reviewed by the OAST Section 508 coordinator in Commandant (CG-6). The OAST section 508 coordinator will determine whether a NSE is justified. Office of Accessible Systems & Technology (OAST) NSEs are generally applicable when a system is installed only on cutters or is a classified system. If the NSE is not justified, applicable OAST Section 508 clauses will be required in the contract documents, normally in the SOW/PWS. The DHS Accessibility Requirements Tool (DART) is available to help submitters develop the required Section 508 language. The DART tool is available at: <https://dhsonline.dhs.gov/portal/jhtml/dc/sf.jhtml?doid=76609>
 - e. Other supporting documentation. Other documents including proposals, price quotes, etc. may be helpful during review of ITAR packages and are recommended but not required when submitting ITAR packages. A Procurement Request (PR) is not needed and ITAR packages may be submitted prior to approval of the PR. A PR may be submitted if information in the PR will be helpful during the review.
 - f. Information Technology Acquisition Review (ITAR) Process. The ITAR process is accomplished electronically. Specific submittal requirements will be published in a Commandant (CG-6) ITAR Practices Guide.
6. DEFINITION OF INFORMATION TECHNOLOGY (FOR THE PURPOSES OF THE ITAR REQUIREMENTS). IT is defined in reference (a) as any equipment or interconnected systems or subsystems of equipment or techniques that is used in the automatic procurement, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of digital, voice, or video data or information to the appropriate levels of command. This includes command and control networks, common operational picture systems, information assurance services, communication products and standards, computers, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources. The IT described here is:
- a. Across all IT environments (e.g., mainframe, client-server, embedded, firmware, network).
 - b. Across all classifications (unclassified and classified).
 - c. Applications, systems, and infrastructure, including those acquired, contractually developed, and developed in-house.
 - d. Non-IT procurements or programs that involve the development of an IT system.

7. ALIGNMENT. Procurements of IT equipment, services, or programs are reviewed by the CIO to ensure they are aligned with Administration and Congressional priorities, and with DHS' strategic goals. The ITAR review process ensures alignment with the DHS Capital Investment Plan/Future Years Homeland Security Plan (CIP/FYHSP), enterprise architecture, information security, infrastructure transformation and OAST Section 508 requirements.
8. ROLE OF COMMANDANT (CG-69). The Coast Guard's C4&IT Office of Enterprise System Development Policy, Commandant (CG-69) serves as the primary agent for reviewing, evaluating, and processing ITAR requests above \$100K for Coast Guard CIO approval, and for forwarding IT procurements of \$2.5M or more to the DHS CIO. ITAR packages should be sent electronically to a central e-mail address (USCGITBUY@uscg.mil). Upon receipt, Commandant (CG-69) will provide an initial review to ensure the ITAR package is ready for CIO review. If complete, Commandant (CG-69) will request review by CG-6 office chiefs or their designated representatives. Questions regarding the ITAR process can be sent to USCGITBUY@uscg.mil.
9. ROLE OF PROJECT MANAGER (PM)/COTR/REQUISITIONER. Coast Guard PMs/COTRs/Requisitioners (ITAR Submitters) must electronically submit required DHS CIO review documentation for IT procurements \$100K or greater to the Coast Guard CIO. The ITAR Submitter should engage the CG CIO Office early during requirements development to ensure IT alignment. DHS CIO approval for IT procurements \$2.5M and above and Coast Guard CIO approval for IT procurements \$100K to \$2.5M should be obtained and included with the Procurement Request package when submitted to the Contracting Officer for further processing. Contracting officers have been instructed not to award IT contracts without CIO approval.
10. ELECTRONIC ACCESS TO DHS CIO ACQUISITION REVIEW DOCUMENTS. To ensure the latest documents are available and communication with the CIO is efficient, the DHS CIO established a website to store the latest versions of DHS CIO acquisition review documentation. ITAR submitters should review this site for ITAR current information and documents. <https://dhsonline.dhs.gov/portal/jhtml/community.jhtml?index=157&community=MGMT&id=2040080003>
11. APPROVAL TIMELINES.
 - a. IT Procurements \$2.5M and above. Minimum approval timeline is five business days for Coast Guard CIO review and approval and an additional ten business days for DHS CIO review and approval. Additional days are recommended to ensure that approval is received prior to published deadlines for contract award.
 - b. IT Procurements \$100K and up to \$2.5M. Minimum approval timeline is five business days for Coast Guard CIO review and approval. Additional days are recommended to ensure that approval is received prior to published deadlines for contract award.
 - c. DHS CIO Annual Deadlines for ITAR Submission. The DHS CIO establishes ITAR processing dates and submittal deadlines for each fiscal year. These dates (deadlines) are posted on the DHS website at: <https://dhsonline.dhs.gov/portal/jhtml/community.jhtml?index=157&community=MGMT&id=2040080003>. ITAR submitters are strongly advised to coordinate DHS CIO deadlines with procurement

office end-of-year cutoff dates to ensure compliance and timely obligation of funding. ITAR submissions may be made prior to creation of a Procurement Request (PR).

12. IT PROCUREMENT APPROVAL PROCEDURES. Additional IT Procurement Approval Procedures will be promulgated separately by CG-69 as an ITAR Practices Guide. The focus of the guide will be the IT business and technical planning disciplines of Enterprise Business Management (IT Investments), Portfolio Management, Enterprise Architecture, Information Security, Infrastructure Transformation, and OAST Section 508. The ITAR Practices Guide will define roles and responsibilities, define the submission package, and describe expected ITAR process results.
13. ENVIRONMENTAL ASPECTS AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this Instruction and have been determined not to be applicable.
14. FORMS/REPORTS. None.

M. B. LYTLE /s/
Acting Assistant Commandant for Command, Control,
Communications, Computers and Information Technology