



DEPARTMENT OF THE NAVY

NAVAL SEA SYSTEMS COMMAND
2531 JEFFERSON DAVIS HWY
ARLINGTON VA 22242-5160

IN REPLY REFER TO

NAVSEAINST 5230.10
Ser 04IT1P/148
30 Mar 98

NAVSEA INSTRUCTION 5230.10

From: Commander, Naval Sea Systems Command

Subj: MANAGEMENT OF INFORMATION TECHNOLOGY INFRASTRUCTURE
PROJECTS AND LINKAGE TO INFORMATION TECHNOLOGY BUDGET

Ref: (a) SECNAVINST 5000.2B
(b) Clinger-Cohen Act of 1996
(c) SEA 00 memo 5000 Ser 04IT/005 of 5 May 97

Encl: (1) Procedures for Management of NAVSEA
Infrastructure Projects
(2) Infrastructure Plan (IP) Format

1. Purpose. To provide policy and procedures for planning, approving, managing and acquiring Information Technology (IT) in support of the infrastructure of the Naval Sea Systems Command (NAVSEA).

2. Applicability and Scope

a. This instruction applies to all NAVSEA Headquarters and field activity groups involved in the design, development, acquisition, deployment and operation of IT infrastructure.

b. The policies and procedures of this instruction apply to the activities of prime contractors who acquire, install or maintain IT on behalf of NAVSEA or its subordinate shore activities.

c. Weapons system acquisition programs that include IT and are managed under reference (a) are not subject to the policy and procedures contained in this instruction.

d. The Deputy Commander for Nuclear Propulsion (SEA 08), who is also the Deputy Assistant Secretary for Naval Reactors within the Department of Energy, shall implement and oversee all policy and practices pertaining to this Instruction under his cognizance. SEA 08 will coordinate with other NAVSEA codes on IT infrastructure projects, when appropriate.

3. Background. IT infrastructure provides support across functional and organizational lines and involves information transfer and processing resources which store, retrieve and display information. In accordance with reference (b), Chief Information Officers (CIOs) are responsible for ensuring that IT is acquired and information resources are managed in the manner

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that implements the policies and procedures of planning, acquisition policies and procedures unique to automated information systems (AISs); evaluating the performance of IT programs on the basis of applicable performance measures; issuing IT management policies, architectures and standards; planning and managing the IT budget; and deciding whether to continue, modify or terminate IT programs. Reference (c) gave the NAVSEA CIO authority to manage and approve Command and Activity Group IT IPs. A substantial portion of the IT budget is expended in support of the IT infrastructure; therefore, a comprehensive policy for IT infrastructure managed is provided in this instruction.

4. Definitions

a. Account Manager - Staff members who support the NAVSEA CIO and are assigned specific field activity groups or headquarters directorates in order to provide assistance and advice on IT acquisition matters.

b. Activity Group CIO - Individuals selected by leadership of their activities to represent the organization's concern and issues; they are fully empowered to speak and make IT commitments for their organizations, e.g., standards, common IT infrastructure, and architecture.

c. Aggregate Support System - An aggregate support system is a collection of programs/projects that fall below the \$2 million AIS threshold.

d. AIS Code - Any program in the IT Budget which exceeds \$2 million (program and operations) in any fiscal year reported. This guidance is consistent with IT budget data calls from higher authority.

e. Field Activity Groups - Major field activity components of NAVSEA, e.g., Naval Surface Warfare Center and Naval Undersea Warfare Center.

f. IT infrastructure project - Any IT system or collection of existing systems that have passed deployment milestones and are in the operations and maintenance phase. An infrastructure project generally supports one or more of the following areas:

- (1) Operations and maintenance
- (2) Local area network
- (3) Wide area network
- (4) Telecommunications
- (5) Computer systems

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g. Milestone Decision Authority (MDA) (NAVSEA CIO) - The IT management approval authority for all actions within the scope of an infrastructure project.

h. NAVSEA Headquarters Campus CIO - Manages and oversees the NAVSEA Headquarters Campus IT functions, including development, deployment and maintenance of NAVSEA Headquarters IT systems and coordination of all customer support, development of the headquarters architecture, infrastructure and implementation plans as well as overall operation of the campus IT infrastructure.

i. NAVSEA Chief Information Officer (CIO) - Manages and oversees the establishment and management of NAVSEA-wide IT planning, policy, budget, architecture, milestone decision authority, and the achievement of goals and objectives of the NAVSEA Strategic Plan.

5. Policy

a. NAVSEA activity groups will use the IP to secure IT management approval.

b. Operations and maintenance of unique or proprietary user hardware and software shall be identified in the IP and shall be approved by the NAVSEA CIO, prior to each Fiscal Year.

c. Infrastructure projects that are currently covered by Life Cycle Management (LCM) authority will be reported in the activity group IP. The IP will be approved annually by the NAVSEA CIO and may include multiple years.

d. An IP does not require an acquisition category designation, Department of Navy-level direction, or sponsor approval.

e. In July of each year, all NAVSEA Headquarters and field activity group CIOs shall submit a draft IP reflecting requirements at the lowest echelon of the activity group. As budgets are refined and approved, the final IP shall be submitted and signed in September. The NAVSEA Headquarters Campus CIO will receive, review, manage, coordinate, and approve Headquarters IPs. The NAVSEA CIO will manage, coordinate and approve field activity group IPs.

f. The IPs shall be used as management tools and shall be linked to the IT Budget.

g. IPs will be approved at the activity group level and at the headquarters level by the CIO. Activity groups shall submit a summary IP with division level IPs attached. The Headquarters Campus CIO shall submit a summary IP with directorate and Program Executive Office (PEO) IPs attached. The individual IPs should be a consolidation of infrastructure projects.

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h. Acquisitions of infrastructure IT resources from other Government agencies under the Economy Act will conform to Federal Acquisition Regulation (FAR) Subpart 17.5. A Determination and Findings (D&F) statement shall be prepared in accordance with FAR 17.502 and 17.503, and Defense FAR Supplement 217.503, and shall be signed by an appropriate approval authority. A copy of the D&F will be furnished with the order for the IT resources.

i. Infrastructure projects will be documented and approved under a multiple year Infrastructure Plan, annually approved by the NAVSEA CIO, that defines implementation, funding and management requirements.

j. Post-deployment IT automated information system (AIS) programs (new starts; major integration or new technology; major modernization; new systems including hardware or software development) reaching the operations and maintenance phase shall transition to infrastructure projects.

k. Management of NAVSEA IPs shall be in accordance with enclosure (1). Enclosure (2) provides the standard format for an IP.

6. Responsibilities

a. The NAVSEA CIO, in accordance with reference (c), shall:

(1) Act as the MDA for all acquisitions within the scope of an infrastructure project;

(2) Conduct reviews, if appropriate, during the life of an infrastructure project;

(3) In conjunction with the project manager, structure acquisitions to ensure a logical progression through a series of phases to reduce risk, ensure affordability, and provide adequate information for decision-making; and

(4) Annually approve activity group IPs that have been linked to the Information Technology budget.

b. Activity Group CIOs shall:

(1) Submit an annual consolidated Activity Group IP for approval.

(2) Obtain NAVSEA CIO approval for all modifications to fiscal year IPs.

(3) On a continuing basis, work with local program managers to ensure that IPs are approved in a timely manner and meet the needs of the customer.

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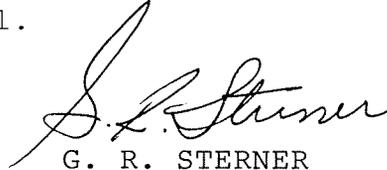
(4) Develop performance measures and conduct periodic reviews to ensure compliance with the NAVSEA Technical Architectures, and inform senior leadership of any proposed modifications to the NAVSEA Technical Architecture.

7. Action

a. NAVSEA Headquarters claimants and field activities are responsible and accountable to the NAVSEA CIO for effective conformance to this instruction.

b. Distribute this instruction to appropriate Command personnel.

8. Other The NAVSEA point of contact for this instruction is Mr. James Given, SEA 04IT1, 703-602-8736 x100, DSN 332-8736 x100, FAX number 703-602-8744, e-mail address: Given_Jim@hq.navsea.navy.mil.



G. R. STERNER

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**NAVAL SEA SYSTEMS COMMAND (NAVSEA) PROCEDURES FOR
MANAGEMENT OF INFRASTRUCTURE INFORMATION TECHNOLOGY (IT)**

The objective of the Infrastructure Plans (IPs) is to reflect the real IT systems in the Command and to make the infrastructure more visible to the NAVSEA community. IT infrastructure provides support across functional and organization lines and connects NAVSEA's mission support, command, control, and intelligence computers and users through voice, data imagery, video and multimedia services. The IPs shall accurately reflect NAVSEA's total investment in IT, ensure interoperability and system integrity across the enterprise, provide a controlled process for managing modifications to IT infrastructure, and provide safeguards to secure information used to accomplish mission operation and maintenance objectives.

Examples of IT infrastructure are: corporate applications architecture (major business processes); application enablers (Defense Message System, Standard Procurement System, document management, workflow, e-mail); application support (operating system, messaging); data architecture (data base management systems, repositories) and networks (voice, video, data, network operating system, protocols, wide area network). Infrastructure may include business systems (project management, financial, contracting, electronic data interchange, modeling and simulation) and administrative systems (personnel, logistics, medical and property management).

The activity group requesting the IT IP approval is responsible for fulfilling all requirements of this policy. The memorandum or letter requesting IT acquisition management approval of the IP shall be signed by the activity group Chief Information Officer (CIO), the NAVSEA Milestone Decision Authority (MDA).

MILESTONE DECISION AUTHORITY (MDA)

The NAVSEA CIO is the IT management approval authority for all actions within the scope of an IT infrastructure project. The CIO is responsible for conducting reviews throughout the life of an infrastructure project and is the approval authority for all acquisition actions connected with those reviews. A NAVSEA CIO forum has been established to assist the CIO in coordinating IT strategy and decisions throughout the Command.

MANAGING IT INFRASTRUCTURE PROJECTS

Infrastructure projects that are currently covered by Life Cycle Management (LCM) authority will be reported in the activity group IP. The IP will be approved annually by the NAVSEA CIO and may include multiple years.

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LINKING THE IT BUDGET TO PLANNED IT MANAGEMENT STRUCTURE

The IT Budget Exhibit is Congressionally mandated. The budget consists of various line items that define the planned expenditures related to IT within the Command. This includes IT related to hardware, software, communications, leased lines, supplies, contractor support, personnel, maintenance, etc. In this role: data is collected from all NAVSEA activity groups; reviewed and analyzed; consolidated and forwarded to NAVCOMPT and OSD budget analysts; defended at budget hearings or reclama sessions; and monitored for appropriate action.

The IT budget is developed concurrently with the appropriation and Navy Working Capital Fund (NWCF) budgets, the Department of the Navy budget, the Office of the Secretary of Defense budget and the President's budget. A POM budget is also developed for the IT budget and is referred to as "TAB G".

Justification for IT projects in the IT budget is constructed around Automated Information System (AIS) codes which are distinctly different than the IT AIS definitions used in reference (a).

IT budget AIS codes are assigned by the Department of the Navy Chief Information Office.

The NAVSEA CIO will use the IT budget as a management tool by linking the IT budget to the IPs. The two funding blocks on the IP are as follows:

- **Organizationally Funded IT Infrastructure:** These funds will be listed on the IP which will be derived from the IT budget. The funds that are listed in the IT budget will also be (partially or completely) appropriated dollars, i.e., when actual "IT budgeted" dollars are executed they will be appropriated dollars.
- **Direct Customer Funded IT at a Navy Working Capital Fund (NWCF) Activity:** Will link to the A-11 budget, but not necessarily to the IT budget. Reimbursable customer funded IT received from an appropriated activity will probably not link to either the appropriated budget or the IT budget.

The activity group that prepares the IP must include all IT residing within its physical boundaries, including assets acquired as a by-product of projects.

There are 44 budget line items in the IT budget of which 29 are cost categories. These 29 cost categories are consolidated down to 7 cost categories summarized in the "Cost Section" of the IP, which are directly reported in the IP (see Enclosure 2, Chart A). The establishment of standardized IPs provides an opportunity to

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link the IT budget and the management approval authority for infrastructure projects. The IP for infrastructure projects should include IT budget information which relates to project costs.

Command-wide infrastructure projects, requiring funding from all NAVSEA activities, must be planned in accordance with the appropriate budget cycles to accommodate documenting these requirements and funding in the activity IPs, thereby securing funding in a timely manner, i.e., Navy Defense Message System (NDMS).

An activity group's IT infrastructure can be enhanced or sustained either by:

Using budget authority for infrastructure which was identified by the activity group in the IT budget or;

Using funding received from other activities to improve or operate the local infrastructure (even if in support of the activity group providing the funds).

AUTHORITY TO SPEND DOLLARS ON IT

The NAVSEA CIO will review and approve the IPs. The IPs having been linked to the NAVSEA IT budget, will serve as the basis for authority to spend within the IP. The actual authority to spend dollars will be needed prior to the beginning of each fiscal year; therefore, the draft IPs will be developed and submitted to the appropriate account manager (see Enclosure 2, Chart B(1) and B(2)) in July of each year. Final IPs shall be submitted and signed in September. The IP will be consistent with the Command's IT architecture. Submission of the IP and approval by the NAVSEA CIO will constitute management authority to spend dollars on identified IT infrastructure requirements.

NAVSEA HEADQUARTERS CAMPUS INFRASTRUCTURE

The NAVSEA Campus IP will be managed as one activity group under the Headquarters Campus Chief Information Officer (CIO). The Program Management Offices (PEOs) were delegated Milestone Decision Authority (MDA) under reference (a); however, they have agreed to cooperate with the NAVSEA CIO in implementing a core set of computing standards. The PEOs will separately prepare an IP which the PEO leadership will sign and approve. The Campus CIO will consolidate the PEO IPs with the headquarters directorate IPs, sign the consolidated IP, to which the individual IPs will be attached, and submit the consolidated IP to the NAVSEA CIO for signature. This process will maintain the PEOs autonomy and keep the lines of authority clear.

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NAVSEA FIELD ACTIVITY GROUP INFRASTRUCTURE

The NAVSEA Field Activity Group Division's IP will be consolidated into a Center IP and submitted to the Headquarters CIO for approval. The NAVSEA CIO will annually review and sign infrastructure plans.

IP APPROVAL PROCESS

1. Headquarters Directorates, Warfare Centers, Ordnance Center, or requesting field activity groups will prepare the IP in accordance with this instruction.
2. The requesting activity group's CIO shall ensure that the IP is in conformance with the NAVSEA technical architecture.
3. The IP will be reviewed for conformance to the policies contained in this instruction. An IP approval memorandum or letter will be prepared and forwarded through the appropriate approval chain.
4. After the NAVSEA CIO approves the memorandum, the documentation will be returned to the account manager for distribution. The requesting activity group office will ensure that the appropriate contracting officer receives a copy of the approved IP.
5. IPs should address the following special interest issues:
 - a. Requests for Computer Aided Design IT outside of the CAD-2 contract should follow the current CAD-2 waiver process.
 - b. The architecture guidance for the Defense Message System (DMS) and Network Operating System (NOS) must be followed.
 - c. IPs must include and address the requirements necessary to achieve Year 2000 readiness.
6. Quarterly reports should be provided to the NAVSEA CIO in accordance with enclosure 2 charts B(1) and B(2).

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INFRASTRUCTURE PLAN FORMAT

1. Background. Outline the background for the Infrastructure projects. The background should include relationships specifying elements of the activity's mission. Briefly summarize the functional requirements and information dependent tasks.
2. Infrastructure Description. (Scope of the Infrastructure Plan) Describe the overall infrastructure of your organization. Determine and provide the objectives of the project; decide how requirements will be met; know the purpose of the results and understand why the results matter.
3. Current Initiatives. Outline the infrastructure components including a description of the IT resources (hardware, software, support services, etc.) to be acquired during the approval year.
4. Compliance with NAVSEA Infrastructure Standards. The application systems architecture, network architecture, data architecture and integration should be addressed in this section as applicable. The Activity Group Chief Information Officer has the responsibility for review and certification, throughout execution, to ensure IT infrastructure project milestones remain in compliance with the NAVSEA information technology architecture. Waivers of compliance for non-standards products/systems can be granted by the NAVSEA CIO on a case by case basis.
5. Performance Measures. In order to assess efficiency and effectiveness of projects, select a limited number of meaningful performance measures with a mix of short- and long-term goals. These performance measures should be in consonance with NAVSEA-CIO developed performance measures.
6. Schedule. Describe the Plan of Action & Milestones (POA&M) for the project. State the target dates or fiscal years in which the IT capability will be purchased.
7. Cost. Indicate the planned funding of all infrastructure projects for the budget year and each subsequent year in the NAVCOMPT budget submission.

Identify the dollar value of the IT management approval authority being requested for infrastructure projects which are funded within the requesting NAVSEA activity group or headquarters directorate/PEO.

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Organizationally Funded IT Infrastructure (\$000)	FY 98	FY 99	FY 00
Hardware			
Software			
Hardware Maintenance			
Other IT Support (Contractor)			
Civilian/Military Salaries			
Communications			
Other IT Services (Training, Travel) and Supplies			
TOTAL			

Identify the dollar value of planned funding to be received from other organizations to improve or establish local infrastructure within the NAVSEA receiving activity group (even if it is in support of the requesting organization).

Customer Funded IT Infrastructure (\$000)	FY 98	FY 99	FY 00
Hardware			
Software			
Hardware Maintenance			
Other IT Support (Contractor)			
Civilian/Military Salaries			
Communications			
Other IT Services (Training, Travel) and Supplies			
TOTAL			

8. Funding. Identify type(s) of funding.

	<u>Funding Types (\$000)</u>	FY 98	FY 99	FY 00
Organizationally Funded				
	O&M,N			
	OPN			
	SCN			
	RDT&E			
	WPN			
	NWCF Overhead (Indirect and G&A)			
	NWCF CPP			
Customer Funded				
	Reimbursable (RMS)			
	Direct Customer (NWCF)			
Total				

9. IT AIS Budget Codes. For infrastructure projects included in this Infrastructure Plan, list the applicable Automated Information System (AIS) codes from the IT Budget (e.g., 002, L15, X15, etc.).

10. Investment and Acquisition Strategy. Identify any new contracts required and indicate the period of performance for the contract. Summarize the selected IT resource solution. Describe plans to consolidate acquisitions and streamline procurements (e.g.: Blanket Purchase Agreement). Explain the acquisition strategy, stating whether the IT will be procured competitively, noncompetitively, from DON or DOD umbrella contracts, or from General Services Administration (GSA) schedules.

11. Security. Indicate the sensitivity range of the information that will be processed. Briefly summarize the data and physical security protection strategy for hardware, software and networks.

12. Other Comments. Any additional information to support this request.

13. Approval. This infrastructure plan is approved with the understanding that this requirement will be reviewed annually to ensure that infrastructure project requirements meet the NAVSEA IT architecture standards and are properly identified, prioritized and budgeted.

Activity Group CIO

Date

Activity Group Leadership

Date

Mr. Peter F. Brown, NAVSEA Chief Information Officer

Date

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IP CategoriesFIP Budget
Line Items

Hardware

- Purchase of Capital Equipment	#1	-
- Purchase of Expense Equipment	#2	
- Lease of Equipment	#3	

Software

- Purchase of Capital Software	#4	
- Purchase of Expense Software	#5	
- Lease of Software	#6	
- Purchase of Software Support Services	#10	
- Inter-government Payments	#35	

Software

Hardware Maintenance

- Hardware Maintenance	#11	
- Inter-government Payments	#36	
- Equipment		

Maintenance

Other IT Support (Contractor)

- Other FIP Support	#12	
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Salaries

- Military Personnel	#14-23	
- Civilian Personnel	#29-33	

Communications

- Communications Services	#7	
- ADPE Time/Processing Services	#8	
- Other FIP Services	#9	
- Intra-government Payments	#38	
- Communications		

Other IT Services (Training, Travel) and Supplies

- FIP Supplies	#13	
- Other In-house	#34	
- Intra-government Payments	#37	
- Processing Support		
- Intra-government Payments	#39	
- Other		

Chart (A)

IT Infrastructure Plan Approval	(Insert numbers below)
Organizational funded	
Funded by other sources (JLSC)	
Total	

	Activity Execution Plan	Corporate requirements	Activity Group Name	Total
DISTRIBUTION OF AUTHORITY	(Insert numbers)	(Insert numbers)	(Insert numbers)	(Insert numbers)
Expended 1st QTR				
Expended 2nd QTR				
Expended 3rd QTR				
Expended 4th QTR				
Remaining Authority				

All expenditures are within the conditions set forth by the (Activity Group Name) FY XX Information Technology Infrastructure Plan approved by NAVSEA ltr (serial number and date). The following deviations are so noted:

SIGNATURE OF AUTHORIZED OFFICIAL

Date

Chart B(1)

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IT Plan Number	Hardware	Local CPP	Corporate CPP	S/W	H/W Main	S/W Main	Operations	Contractor Support	Salaries (Qrtly Est.)	Comm.
Beginning Authority									-	
(Insert numbers)										

Deviations from IT Plan

Authorized by CIO (Date/ref)	Hardware	Local CPP	Corporate CPP	S/W	H/W Main	S/W Main	Operations	Contractor Support	Salaries (Qrtly Est.)	Comm.

Authority consumed										
Remaining Authority										

All expenditures are within the conditions set forth by the FY XX execution plan letter (NAVSEA ltr xxxx Ser XXXX of (date)). The following deviations as allowed by the NAVSEA CIO are so noted:

SIGNATURE OF AUTHORIZED OFFICIAL

Date