



**DEPARTMENT OF THE NAVY
COMMANDER
NAVAL EDUCATION AND TRAINING COMMAND
250 DALLAS STREET
PENSACOLA, FLORIDA 32508-5220**

NETCINST 5200.4E

N6

20 Apr 2023

NETC INSTRUCTION 5200.4E

From: Commander, Naval Education and Training Command

Subj: INFORMATION MANAGEMENT AND INFORMATION TECHNOLOGY CAPITAL PLANNING, PORTFOLIO MANAGEMENT, AND PROCUREMENT

Ref: (a) 10 U.S.C. §2222
(b) 40 U.S.C. §11302
(c) OMB Circular No. A-11, Section 55
(d) OMB FY22 IT Budget - Capital Planning Guidance
(e) SECNAVINST 5230.14
(f) OPNAV Memo Ser N09/1U103029 of 10 Jun 11
(g) CNO WASHINGTON DC 221457Z Nov 19 (NAVADMIN 263/19)
(h) DITPR-DON Process Guidance Version 1.0, 5 Dec 11
(i) DDCIO(N) Memo Ser N2N6D/22U121044 of 14 Jul 22
(j) NETCINST 5200.3D

1. Purpose

a. To establish capital planning, portfolio management, and information technology (IT) procurement policies and procedures for the Naval Education and Training Command (NETC) consistent with laws, and Department of Defense (DoD), Department of the Navy (DON), Deputy Chief of Naval Operations (DCNO N1), and MyNavy Human Resources (HR) directives and policies.

b. To delegate to the NETC Command Information Officer (CIO) the authority and responsibility to carry out the requirements contained in references (a) through (j).

c. To identify NETC CIO required actions and responsibilities to ensure information resources are managed in an efficient, cost effective, and enterprise-like manner through systematic information management (IM) and IT capital planning, portfolio management, and IT procurement business practices and procedures as defined in this instruction.

2. Cancellation. NETCINST 5200.4D.

3. Background. Reference (a) is Title 10, United States Code (U.S.C.), Defense Business Systems (DBS): business process reengineering; enterprise architecture; management, that provides the guidance in support of the coordination of, and decision making for, the planning, programming, and control of investments in covered DBS. Reference (b) is Title 40, U.S.C., capital planning and investment control that references the use of the budget process to analyze, track, and evaluate the risks and results of all major capital investments. Reference (c) provides policy and requirements for agency IT budget, investment, and portfolio management. Reference (d) is the annual detailed guidance on technical requirements and related budget submissions to support reference (c). Reference (e) implements the management of IT and national security systems investments as portfolios across the DON enterprise. Reference (f) appoints DON Deputy CIO (DDCIO) as the functional area manager (FAM) authority for the Navy, and identifies the roles, responsibilities, and relationships of the DDCIO to the FAM leads and echelon 2 CIOs. Reference (g) issues the policy for the submission of Navy information technology procurement requests (ITPR). Reference (h) is the guidance document that provides a comprehensive discussion of core DoD ITPR-DON functionality and basic lifecycle transactions. Reference (i) states there will not be the issuance of fiscal year 23 investment decision memorandum for business category III systems. Reference (j) establishes an authoritative framework for effective and innovative configuration compliance for IT, as it relates to NETC Training and Education (T&E).

4. Responsibilities

a. NETC CIO

(1) Serve as the principal advisor, manager, and authority for IM and the alignment of IT investments and resources.

(2) Responsible for the planning, management, budgeting, control, and governance of all IM and IT capabilities, resources, and investments in the NETC IT portfolio. Responsible for ensuring effective budget analysis, formulation and submission, monitoring, and reporting of IM and IT expenditures.

(3) Serve as the echelon 2 FAM lead, in support of the DDCIO, responsible for ensuring the effective planning, management, compliance, and controls of the NETC IT portfolio, which includes all systems, applications, networks, servers, licenses, and devices within the NETC domain.

(4) Serve as the echelon 2 review and final approval authority for all applicable ITPRs within the annual delegated approval thresholds, and is responsible for ensuring the effective and efficient expenditure of funding for IM and IT capabilities within the NETC enterprise.

b. NETC IT (N6)

(1) IT Capital Planning and Budgeting (N61)

(a) Conduct investment planning and analysis in support of NETC IM and IT resources.

1. Coordinate and manage the review of NETC IM and IT programs.

2. Coordinate and ensure compliance with the DBS certification process for all NETC Programs of Record (POR) requiring annual investment certification and validate within the authoritative data sources.

3. Conduct review of PORs annually to include program requirements, fiscal profile, risk assessment, and status of funds.

4. Conduct business case analysis of IT procurements to effectively determine the feasibility, cost-benefit, and analysis of alternatives required to meet established training service delivery functional requirements.

5. Direct, coordinate, and manage data calls and analysis efforts in support of recurring and emergent higher echelon (i.e., DoD, DON, MyNavy HR, etc.) requests and reporting requirements.

(b) Manage NETC IT budget formulation, submission, and analysis.

1. Coordinate and manage IT budget formulation, development of IT budget exhibits, and responses to budget inquiries in support of the President's, DoD, and DON budget cycles and processes.

2. Ensure end-to-end IT expenditures are aligned to a POR and executed using a financial coding structure in Corporate Automated Resource Information System that records all program costs.

3. Ensure all new starts and modernization projects are submitted in the program objectives memorandum process for endorsement and resourcing by the resource sponsor.

4. Ensure application sustainment funding is budgeted throughout the future years defense plan.

(c) Monitor and evaluate budget execution of NETC IM and IT investments and resources.

1. Track, report, and maintain the NETC POR IT budget to include development of annual spend plans and monitoring execution of funds.

2. Conduct NETC CIO investment program reviews of IM and IT programs to effectively evaluate and monitor the execution and programming posture of NETC IT PORs and systems.

3. Coordinate and manage budget processes to ensure effective allocation of available funding in support of NETC IM and IT priorities.

4. Serve as the NETC echelon 2 review and approval authority for DBS out-of-cycle requests and provide analysis efforts in support of emergent higher echelon requests, including verification of data, identification, and allocation of available funding.

5. Ensure shared services IT expenses used by IT programs are allocated to PORs on a fair share basis to the fullest extent possible.

(d) Perform IT procurement approval and oversight.

1. Ensure the effective and efficient expenditure of funding for IM and IT capabilities within the NETC enterprise per current and future higher echelon directives and policies.

2. Manage the ITPR process on behalf of the NETC CIO; perform command customer service representative responsibilities and approve applicable ITPRs valued at \$25,000 and below; and route ITPRs above \$25,000 in value to the NETC CIO for review.

(2) IT Portfolio Management (N62)

(a) Ensure promulgation, coordination, and enforcement of policies, guidance, and supporting processes for the effective implementation of NETC IT portfolio management.

1. Serve as the NETC echelon 2 FAM lead, in support of the echelon 1 FAM and DDCIO.

2. Coordinate the development of migration strategies for NETC IT systems to determine recommendations to terminate, sustain, transform, or initiate programs through the DON decisional process.

3. Direct, coordinate, and manage data calls and analysis efforts in support of recurring and emergent higher echelon (i.e., DoD, DON, MyNavy HR, etc.) requests and reporting requirements.

(b) Ensure effective management and compliance of all NETC IT portfolio inventories, including systems, applications, networks, and licenses.

1. Ensure NETC IT portfolio inventory information has been completely and accurately captured and registered in DON authorized data repositories.

2. Ensure training delivery services provisions a training application repository that captures training content attributes such as application name, ownership, versions, and last date allowed and life cycle dates.

3. Review, validate, and maintain NETC IT portfolio information and data in DON designated and authoritative portfolio repositories (e.g., DON Applications and Database Management System, DoD IT Portfolio Registration-DON, Program Budget Information System, and Naval IT Exhibits and Standard Reporting) to support NETC IT portfolio compliance.

4. Coordinate and conduct formalized annual data repository reviews of T&E systems to ensure the accuracy of the NETC IT portfolio, as well as the IT computing environments that support these systems.

5. Support the review and evaluation of proposed IT applications and training support technologies, and upon approval, ensure registration within the NETC IT portfolio.

(c) Support development, implementation, and maintenance of a standardized and compliant NETC enterprise architecture (EA).

1. Coordinate the proper documentation and alignment of NETC EA to support inclusion and integration within the MyNavy HR EA.

2. Ensure the accurate mapping and capture of operational activities for all NETC systems to support DoD architectural framework documents.

(d) Serve as the conduit for IT governance within the NETC domain.

1. Provide advice and support to the NETC CIO.

2. Enable functional requirement reviews and inform T&E line of business (LOB) decision-making processes for initiatives involving process changes requiring application and system modifications or introduction of new technology-based capabilities.

3. Provide policies, guidance, and oversight of IM and IT configuration change and control throughout the NETC enterprise and for PORs under the cognizance of the T&E LOB.

4. Ensure compliance with DoD, DON, MyNavy HR, and NETC mandates and serve as the IM and IT configuration change and control authority for all formal work elements pertaining to PORs managed under the T&E LOB.

5. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the DON Assistant for Administration, Directives and Records Management Division portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx> .

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager.

6. Review and Effective Date. Per Office of the Chief of Naval Operations Instruction (OPNAVINST) 5215.17A, NETC will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, DoD, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 (Review of Instruction). This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.



P. A. GARVIN

Releasability and distribution:

This instruction is cleared for public release and is available electronically on the NETC public web site (www.netc.navy.mil) or by e-mail at netc-directives@us.navy.mil.