



D11S Investment Committee

Overview

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01AUG2023



Agenda

A. Investment Committee Rationale

- i. Why
- ii. How
- iii. What
- iv. Who

B. Investment Process Overview

- i. Intake
- ii. Screen
- iii. Decision
- iv. Monitor
- v. Close
- vi. Overview

C. Documents

- i. Investment Request
- ii. Investment Screen & Funding Decision
- iii. Investment Pipeline Report
- iv. Investment Log Report
- v. Responsibility/Accountability Matrix



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Investment Committee Rationale



WHY

Any District funds beyond what is required for working capital and reserves are viewed as discretionary. A formal process is needed to invest these funds back into the organization.

HOW

These investment ideas will come from Members, Units or Programs within the District. Once formulated, the proposals will be screened and presented to the board for consideration.

WHAT

The Investment Committee will manage the investment proposals using a “phase-gate process.” The methodology will be made up of five distinct phases (INTAKE, PRESCREEN, DECISION, MONITOR, and CLOSE) with corresponding gates necessary for managing the idea through it’s life cycle.

WHO

The Investment Committee will be made up of four members: Chair (appointed by the DCO), DCOS, DSO-FN and a fourth member of the Board with a complimentary background. The DCO will be an ex-officio member the committee.



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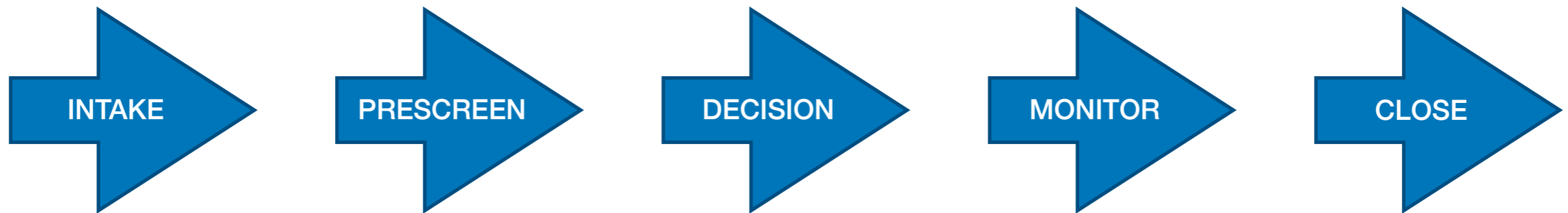
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Investment Process Overview



The investment idea is generated by a member or group of members.

A POC and Sponsor(s) are identified.

The Investment Request is then submitted online after all the criteria is met.

▲
Gate

The request is screened by the Investment Committee to ensure completeness and that it satisfies the District Investment Criteria.

If so, the proposal package is included on the upcoming District Board Meeting Agenda.

▲
Gate

The investment proposal is presented to the District Board by the Sponsor for consideration.

If approved, funds and a disbursement schedule is agreed to.

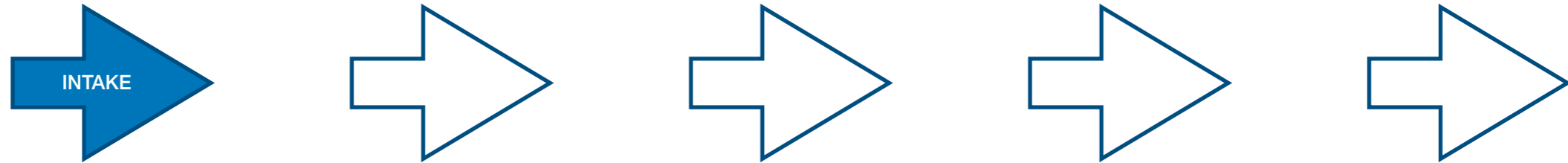
▲
Gate

The funds disbursement, progress, and result of the investment is tracked and reported to the Board.

▲
Gate

Once the investment implementation is complete and an understanding of the success has been obtained, a final report to the Board is made and the item is closed.

Investment Process



ACTION

Submit District Investment Request

DUE DATE

45 Days prior to Board Meeting

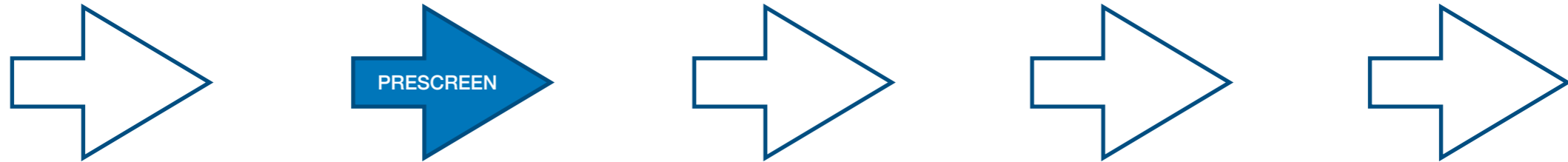
RACI

Responsible	Accountable	Consulted	Informed
POC	Sponsor	IC Chair	DCO

GATE CHECKLIST

- Minimum of \$500 request
- Future funding request, not already a part of a current Unit budget
- Unit or Program Sponsor(s) (FC, DCDR, DCAPT, DDC, DSO)
- Promote or Contribute to the Auxiliary Mission and/or Advance District Priorities
- Provides a Quantitative and/or Qualitative Return on Investment

Investment Process



ACTION

Screen Investment Request and make a Go/NoGo Decision

DUE DATE

14 Days prior to Board Meeting

RACI

Responsible	Accountable	Consulted	Informed
IC	IC Chair	Sponsor	POC

GATE CHECKLIST

- Application is complete
- Satisfies Investment Criteria
- Enough information included for the Board to make an informed decision
- Go/No Go Determination
- If Go, submit package to DCO for inclusion of Board Agenda

Investment Process



ACTION

D11S Board Consideration

DUE DATE

D11S Board Meeting

RACI

Responsible

Accountable

Consulted

Informed

IC Chair

DCO

Sponsor

POC

BOARD DECISION



Approved (Motion is adopted and investment is added to the District Budget)



Not Approved (Motion is lost)

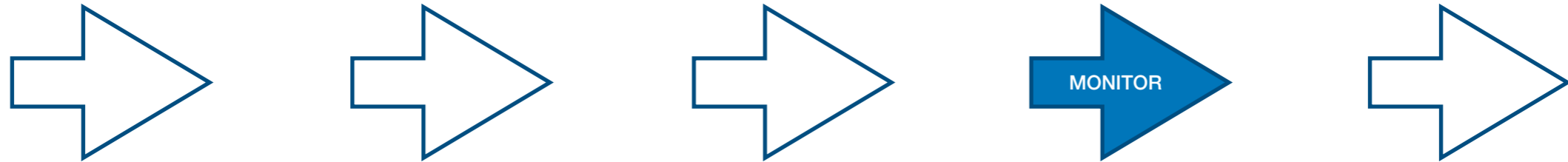


Deferred



Conditional Approval (Motion is adopted *with conditions* and investment is added to the District Budget)

Investment Process



ACTION

Monitor the progress and success of the investment

DUE DATE

On-going

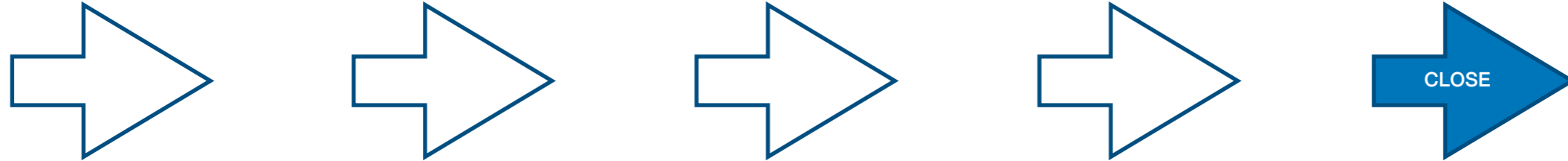
RACI

Responsible	Accountable	Consulted	Informed
Sponsor	IC	DCO	Board

GATE CHECKLIST

- Distribution of funds
- Board update(s)
- ROI Assessment

Investment Process



ACTION

Close out investment process

DUE DATE

Open

RACI

Responsible	Accountable	Consulted	Informed
Sponsor	IC	DCO	Board

GATE CHECKLIST

- Final Report to Board

Investment Process Overview



	INTAKE	PRE-SCREEN	DECISION	MONITOR	CLOSE
Due Date	45 Days Prior to Board Meeting	15 Days Prior to Board Meeting	Board Meeting	On Going	Open
Point of Contact	Submit District Investment Request				
Investment Committee		<ol style="list-style-type: none"> 1) Screen Investment Request 2) Make a Go/No Go Decision 	D11S Board Consideration	Discuss Investment Updates	Close Out Investment Process
Sponsor				<ol style="list-style-type: none"> 1) Monitor progress and success of the investment 2) Update Board 3) ROI Assessment 	Final Report to Board
Accounting				<ol style="list-style-type: none"> 1) Distribute Funds 2) Update Ledgers 3) Distribution Schedule 	



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Investment Request (Online)



**United States Coast Guard Auxiliary,
District 11SR Investment Request**

This form is to be used to request funding for a specific future investment, not in any unit budget, to promote and contribute to the mission of the United States Coast Guard Auxiliary and District Priorities.

* Indicates required question

- Investment Request Title *
- Sponsoring Unit/Program (Flotilla, Division, RBS Program, District, Other) *
- Sponsor Leader for each Unit or Program listed above.
- Point of Contact Name *
- Point of Contact Email Address *
- Point of Contact Phone Number *

- Request Description/ Summary *
- Does the request promote or contribute to our Auxiliary Missions? (Check all that apply) *

Check all that apply

 - Promote and improve Recreational Boating Safety
 - Provide a diverse array of specialized skills, trained crews, and capable facilities to augment the Coast Guard and enhance safety and security of our ports, waterways and coastal region
 - Support Coast Guard operational, Administrative and logistical requirements

- How does the request promote or contribute to our Auxiliary Mission?

- Does the request advance our District priorities? (Check all that apply) *

Check all that apply

 - Engagement (Augmentation, RBS Mission Set)
 - Leadership
 - Forces (Retention, Recruiting)
 - Finance (Investment, Fundraising)
 - Administrative Excellence
 - Other: _____

- How does the request advance our District priorities?
- Requested Amount *
- Disbursement Schedule: How will funds be spent? (One time, Subscription, Annually)... Please add any additional details.

- Investment Rationale: Explain qualitative (soft) and quantitative (hard) return on investment.
- Will additional funds be needed in the future to maintain or supplement this investment? (Please add details if necessary)
- Additional Information (if Necessary)
- Upload any supporting information or images
Files submitted:

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Google Forms

- Title
- Sponsor (Unit, Program)
- Sponsor Leader
- POC Contact Info

- Description
- Auxiliary Mission

- District Priority
- Amount
- Disbursement Schedule

- ROI
- Additional Funds
- Uploads

Investment Prescreen and Funding Decision



District 11SR
Investment Committee Prescreen and Funding Decision

This form is to be used to request funding for a specific investment to promote and contribute to the mission of the United States Coast Guard Auxiliary District Priorities.

INVESTMENT REQUEST TITLE: _____
POINT OF CONTACT NAME: _____
SPONSORING UNIT OR PROGRAM NAME: _____
REQUESTED AMOUNT: _____
FUNDING POINT OF CONTACT/ INFO: _____

Does the request promote or contribute to our Auxiliary Mission? _____

- Promote and improve Recreational Boating Safety.
- Provide a diverse array of specialized skills, trained crews, and capable facilities to augment the Coast Guard and enhance safety and security of our ports, waterways and coastal region.
- Support Coast Guard operational. Administrative and logistical requirements.

Does the request advance our District Priorities? _____

- Engagement (Augmentation, RBS Mission Set)
- Leadership
- Forces (Retention, Recruiting)
- Finance (Investment, Fundraising)
- Administrative Excellence
- Other: _____

Prescreen: Pass No Pass

Notes:

Board Action:

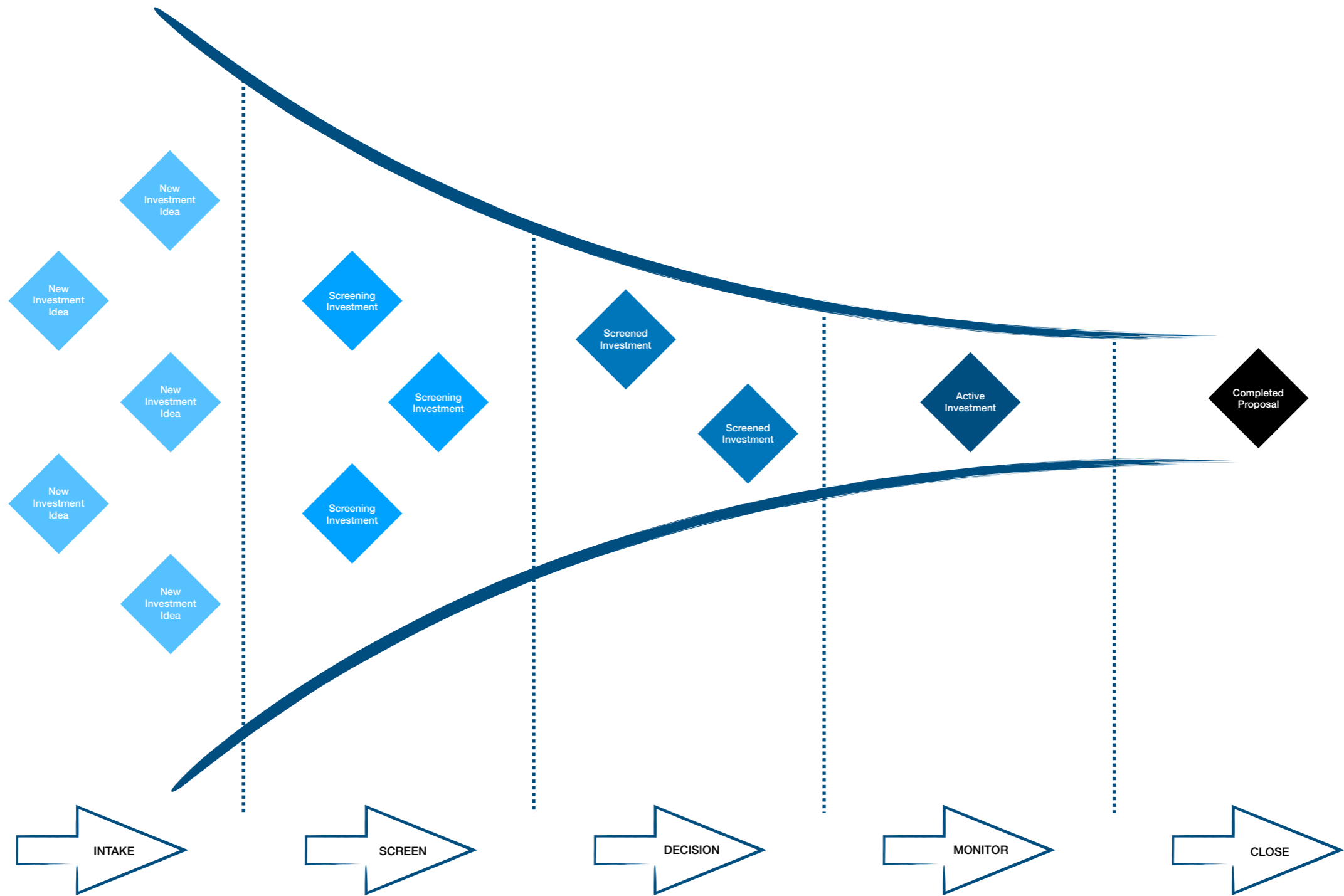
Date: _____

Approved Not Approved Deferred Conditional Approval

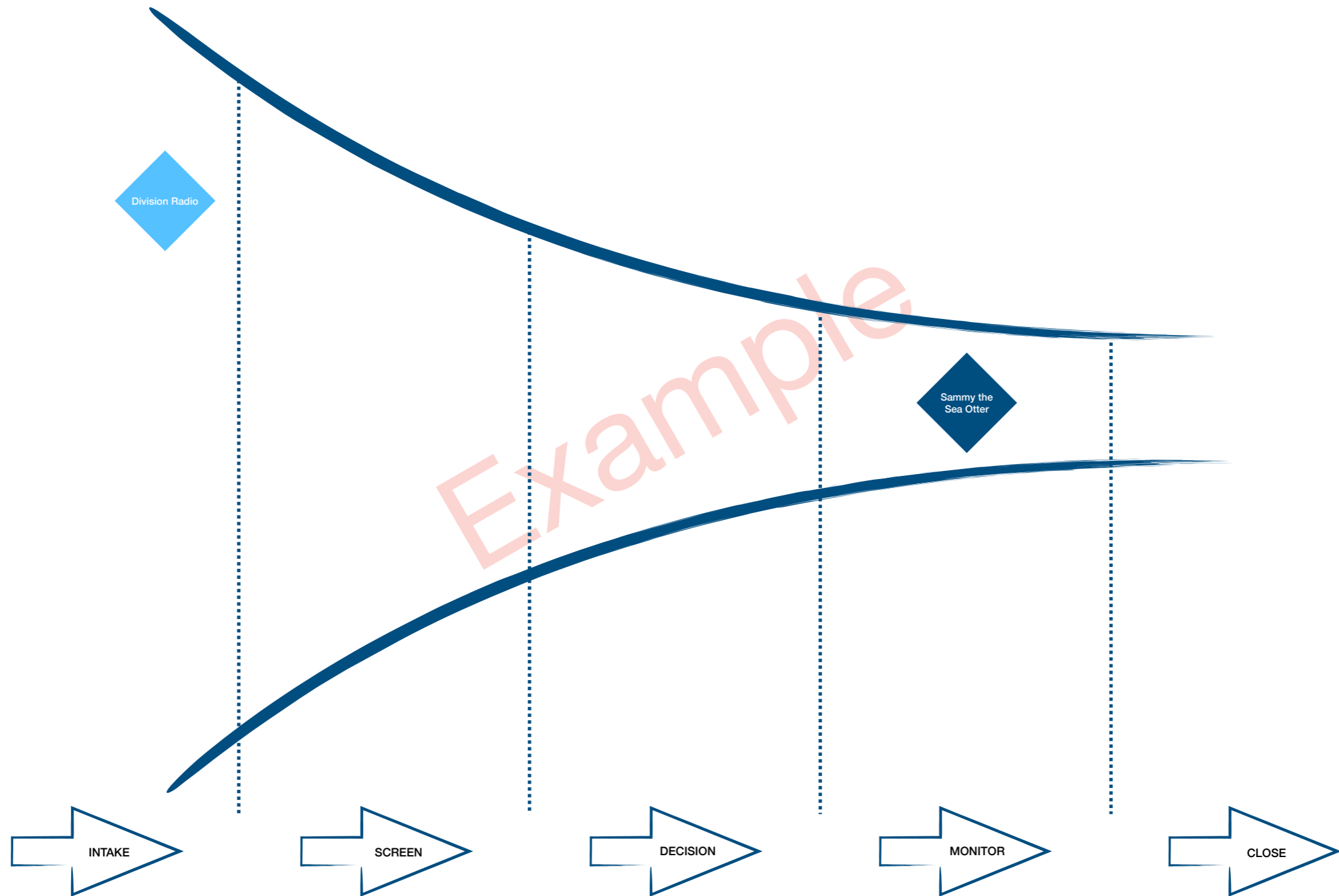
Notes:

APPROVED AMOUNT: _____ APPROVED DATE: _____

Investment Pipeline Report



Investment Pipeline Report



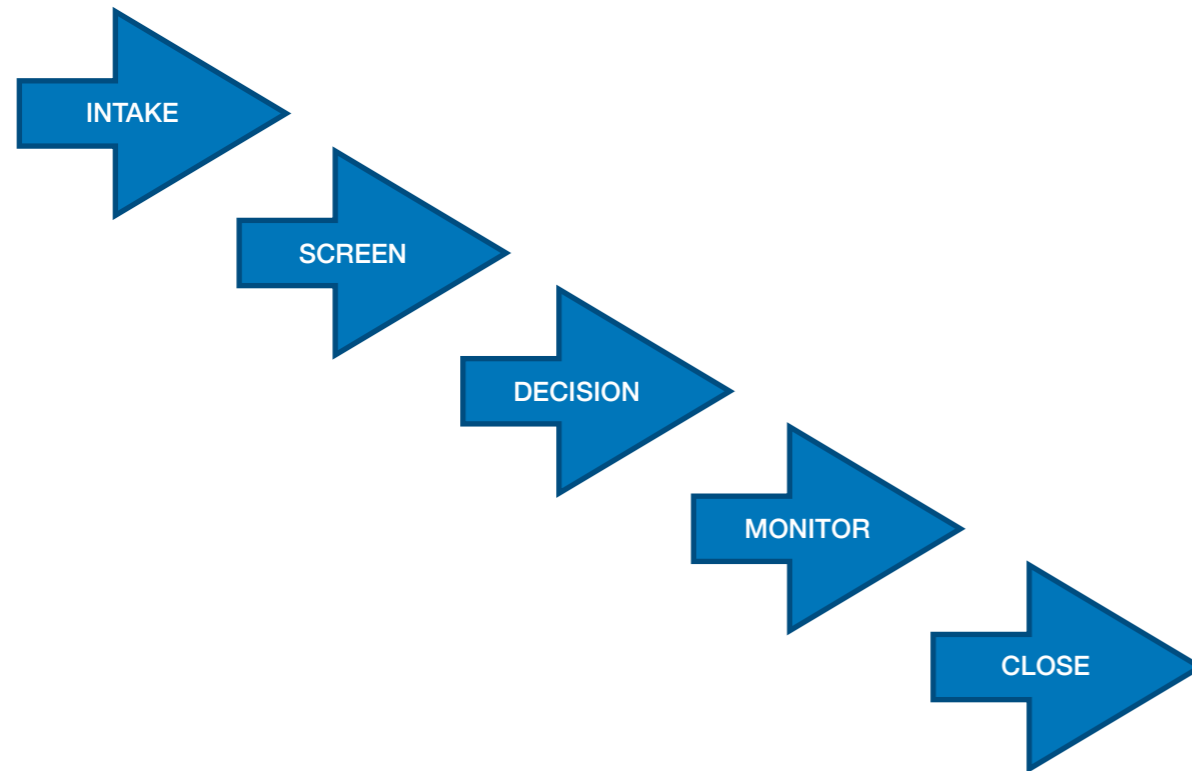
Investment Log Report



Stage	Status	Title	Requested Amount	Approved Amount	Funding Schedule	Funding Start	Funding End	Unit/ Program	Sponsor POC	Description
Intake	Open	Division Radios	\$1,000		One Time	2023-11-01		Division XYZ	Joe Smith	Radios requested for enhanced communication on patrols and at RBS events
Pre-Screen										
Decision										
Monitoring	In Process	Sammy the Sea Otter Costume	\$4,500	\$8,000	One Time	2023-08-01	2023-12-31	Public Affairs	Debbie Johnson	Two costumes will be used at public affairs events throughout the District.
Close										

Example

Responsibility/Accountability Matrix



Responsible	Accountable	Consulted	Informed
POC	Sponsor	IC Chair	DCO
IC	IC Chair	Sponsor	POC
IC Chair	DCO	Sponsor	POC
Sponsor	IC	DCO	Board
Sponsor	IC	DCO	Board

RACI Definitions

Responsible

Responsible designates the task as assigned directly to this person (or group of people). The responsible person is the one who does the work to complete the task or create the deliverable.

Accountable

The accountable person in the RACI equation delegates and reviews the work involved in a project. Their job is to make sure the responsible person or team knows the expectations of the project and completes work on time.

Consulted

Consulted people provide input and feedback on the work being done in a project. They have a stake in the outcomes of a project because it could affect their current or future work. Project managers and teams should consult these stakeholders ahead of starting a task to get input on their needs, and again throughout the work and at the completion of a task to get feedback on the outcome.

Informed

Informed folks need to be looped into the progress of a project but not consulted or overwhelmed with the details of every task. They need to know what's going on because it could affect their work, but they're not decision makers in the process.



Thank you