U.S. Department
of Transportation

**United States
Coast Guard**

Planning and Programming Manual – Volume I (HQ Manual)

COMDTINST M16010.1B

COMDTINST M16010.1B

AUG 2 8 1995

COMMANDANT INSTRUCTION M16010.1B

Subj: Planning and Programming Manual - Volume I
       (Headquarters Manual)

1. PURPOSE. This Manual prescribes procedures for planning and
    programming at Headquarters.

2. DIRECTIVES AFFECTED. COMDTINST M16010.1A, Planning and
    Programming Manual, is cancelled. HQINST 16050.1 of 21 Aug
    1992, Mission Analysis Reports, is also cancelled.

3. DISCUSSION. The Planning and Programming Manual, Volume I -
    Headquarters Manual, describes the process by which program
    planning and budgetary assembly decisions are made at Coast
    Guard Headquarters. All personnel who are concerned with or
    prepare inputs to the planning and programming processes are
    encouraged to follow this directive. This manual is a
    planning guide which contains information and assistance of a
    nondirective nature designed to introduce 'the reader to the
    responsibilities, tasks, and timetables that are essential to
    an effective planning and programming system.

4. INCORPORATED REVISIONS. Significant changes have been
    incorporated throughout this revision. Changes to the
    planning and programming processes resulted from the
    implementation of the recommendations of the Long-Range ·
    Planning and Research and Development Planning Quality Action
    Teams (QATs). Information has also been added to address
    Strategic Planning, Program Measurement and Evaluation,
    Mission Analysis Reports, and the Major Acquisition process.
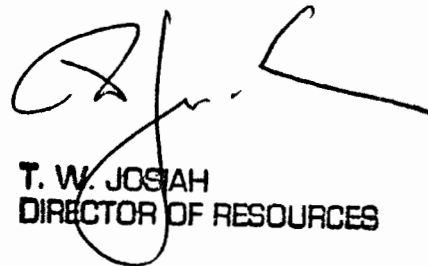
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4. (cont'd) Lastly, this manual only addresses the Headquarters processes originally discussed in the above cancelled Planning and Programming Manual, COMDTINST M16010.1A. For field planning, see COMDTINST M16010.6, Planning and Programming Manual - Volume II (Field Planning Manual).

5. FUTURE CHANGES.

    a. This manual provides the new common "base" for Headquarters planning and programming actions and future revisions. It is recognized that this manual will be revised in the near future due to streamlining initiatives, empowerment issues and process improvements.

    b. Commandant (G-CRC) is the issuing and amending authority for this Manual. Your suggestions are solicited regarding additions, deletions, and changes that will improve this manual. Although written suggestions are preferred, suggestions relayed over the telephone to Commandant (G-CPP), Ph (202) 267-2355 are acceptable.

6. ACTION. Headquarters Program Directors and Program Managers shall administer the Coast Guard's planning and programming processes in accordance with this manual.

T. W. JOSIAH
DIRECTOR OF RESOURCES

RESOURCE DIRECTORATE VISION

SHAPING TOMORROW'S COAST GUARD by:

Marshalling resources and aligning them to meet Coast Guard objectives.

Providing leadership at all levels with precise resource information to meet or exceed organizational goals through crucial resource decisions.

Achieving customer alignment across all programs by emphasizing quality, information sharing, innovation, and personal service.

Keeping a sharp focus on excellence, career achievement, and personal fulfillment.

RESOURCE DIRECTORATE MISSION

The mission of the Resource Directorate is to manage resource acquisition and reallocation processes in pursuit of the Commandant's Direction. We coordinate and validate plans, analyze Coast Guard requirements, apply external constraints and realities, and develop resource options. Our efforts position the organization to respond strategically to change, anticipate external trends and drivers, and align program performance standards with the desired Coast Guard future state.

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RECORD OF CHANGES

CHANGE NUMBER	DATE OF CHANGE	DATE ENTERED	BY WHOM ENTERED

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PLANNING & PROGRAMMING MANUAL – Volume I
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CHAPTER 1.   INTRODUCTION

A.   <u>Purpose and Scope</u>. This manual sets forth the background, responsibilities, procedures, documents, and timetables of the planning and programming portions of the Strategic Planning, Long-Range Planning, Programming, Budgeting, Execution and Evaluation System (SPPBEES) used by the U.S. Coast Guard. The Manual includes an overview of documentation and procedures employed, detailed instructions for preparing Headquarters-generated documents, and a glossary of common terms, abbreviations and acronyms. The goal is to provide a practical "cookbook" for planners and programmers. The Manual is also written for use in conjunction with other Coast Guard publications including: the Planning and Programming Manual - Volume II (Field Planning Manual) (COMDTINST M16010.6 (series)), the Financial Resources Management Manual (COMDTINST M7100.3 (series)), the Shore Facilities Planning Manual (COMDTINST M11010.6 (Series)), and the Systems Acquisition Manual (COMDTINST M4150.2 (series)).

B.   <u>Characteristics of the Strategic Planning, Long-Range Planning, Programming, Budgeting, Execution, and Evaluation System (SPPBEES)</u>.

   1.   <u>Focus</u>. SPPBEES is a management tool by which the Chief of Staff executes the resource management system of the Coast Guard. This management tool focuses on the value added by each process identified in the SPPBEES matrix (Figure 1-1). The columns in the matrix represent the key processes of the resource management system. The rows of the matrix represent the elements of the customer-supplier model. Process owners and managers use the matrix to describe their processes within the quality framework of the customer-supplier model (where the columns and rows intersect). Each sequential stage of SPPBEES is highly dependent on the quality, timeliness and interchange of ideas with preceding stages. The SPPBEES management tool reinforces and facilitates the horizontal and vertical communications needed for applying a quality approach to resource management. Program directors and managers are encouraged to use SPPBEES as a management tool for continuously improving their key processes in support of their programs. SPPBEES has direct application to all management levels for developing a comprehensive quality approach to managing the organization, its resources and its business. See Chapter 2 for details on program structure and responsibilities.

   2.   <u>Characteristics</u>. The essential characteristics and sequence of SPPBEES may be summarized as follows:

1.B.2.   a.   Strategically focusing efforts and resources on the future business of the Coast Guard;

        b.   Systematic thinking as a disciplined approach to plan for the long range future;

        c.   Identification of relevant alternatives for program performance;

        d.   Translation of the optimum alternative into identifiable budget requirements;

        e.   Implementation/execution of the budget;

        f.   Evaluation of the results achieved based on results-oriented program measures; and

        g.   Revalidation of policies and programs in light of the results achieved and use of resources.

    3.   Integrated Planning System. These characteristics prepare, facilitate, and enhance Coast Guard leadership to make future resource decisions rapidly and efficiently. Value added by the SPPBEE System includes: the ability to focus efforts and resources in areas that support the Coast Guard Vision Statement and Commandant's Direction; the linkage within a policy deployment framework to ensure congruence between the Commandant's strategy and supporting plans of Coast Guard Program Directors and Facility Coordinators; and the ability to respond strategically to change using the voice of the Commandant's Direction to both guide the change and provide an overall context.

    4.   Coast Guard Missions. The Coast Guard SPPBEES is designed to facilitate the management of seven (7) Program Missions as reported to Congress in Coast Guard budget documents. These seven missions and their objectives include:

        a.   Search and Rescue. Minimize loss of life, personal injury and property damage on the high seas and in all U.S. waters.

        b.   Marine Environmental Protection. Minimize damage caused by pollutants released in the coastal zone. Overcome or reduce threats to the marine environment posed by potential spills of oil or hazardous substances. Assist in national and international pollution response planning.

1.B.4.   c.   Enforcement of Laws and Treaties. Enforce federal
              laws on the high seas and in U.S. waters. Interdict
              drug smugglers and illegal migrants. Enforce
              Exclusive Economic Zone laws and regulations up to
              200 nautical miles off our shores. Inspect domestic
              and foreign fishing vessels to ensure compliance with
              domestic and foreign fishing vessels to ensure
              compliance with U.S. laws. Help other agencies
              enforce our Nation's laws.

         d.   Ice Operations. Provide icebreaking capability to
              support our national interests in polar regions.
              Facilitate U.S. maritime transportation through
              ice-laden domestic waters. Conduct the International
              Ice Patrol to observe and chart the positions and
              movement of icebergs.

         e.   Aids to Navigation. Develop, establish, maintain and
              operate audible, visible and radar aids to navigation
              to help navigators determine their position or safe
              course and warn of obstructions in or adjacent to
              navigable waters. Establish, operate and maintain
              electronic aids to provide continuous, accurate, all-
              weather positioning capability for military and
              civilian mariners and aviators.

         f.   Marine Safety. Minimize deaths, injuries, property
              loss and environmental damage by developing and
              enforcing federal standards for vessels, offshore
              facilities, merchant marine personnel and other
              facilities engaged in commercial or scientific
              activity in the marine environment. Reduce the
              number of deaths, personnel injuries and property
              damage involving recreational boats. Improve boating
              safety. Encourage the development, use and enjoyment
              of all U.S. waters.

         g.   Defense Operations. Provide constant Coast Guard
              military capability and readiness. Safeguard the
              nations ports, waterways, waterfront facilities,
              vessels, personnel and property from accidental or
              intentional damage, disruption, destruction or
              injury.

C.   Definitions. There are a substantial number of words, titles
     (e.g., titles of documents), phrases, acronyms, and
     abbreviations which have very specific meanings within the
     context of the Coast Guard planning and programming
     processes. Definitions of these items are found in Chapter
     18.

D.   Point of Contact. For further guidance, contact Commandant
     (G-CPP), Ph (202) 267-2355.

Please contact the sponsor in order to obtain a copy of Figure 1-1

CHAPTER 2.   PROGRAM STRUCTURE AND RESPONSIBILITIES

A.   Program Structure.

1.   Overview. Management responsibility for an approved
     Coast Guard program rests with the Commandant. At
     Headquarters, this responsibility is carried out through
     the Chief of Staff who coordinates the efforts of the
     Program Directors. All Program Directors implement their
     programs through designated Program Managers. The
     Program Director and Manager are responsible for the
     effective and efficient accomplishment of program
     goals/objectives through short-range and long-range
     planning, programming, use of personnel and material
     resources, and evaluation of results. There is an
     essential need for continuing liaison between operating
     program management, support program management and the
     appropriate field commanders. In administering the
     resources under their control, Support Program Managers
     shall reflect the direction given by Operating Program
     Managers. Whenever such directions conflict, the Chief
     of Staff or the Commandant will clarify them. Support
     and operating program managers are defined in chapter 18.

2.   Support Program Affiliation. In large measure, Support
     Program Directors are guided by activities of the
     Operating Program Directors as approved by the Chief of
     Staff or, where necessary, by the Commandant.

3.   Field Relationship. Area, district and MLC commanders
     have the responsibility to manage the execution of Coast
     Guard programs in the field. The various division chiefs
     at these command levels perform a level of program
     administration comparable to that of the Headquarters
     Program Managers for the Program Directors. See the
     Planning and Programming Manual - Volume II (Field
     Planning Manual) (COMDTINST M16010.6) and the Coast Guard
     Organization Manual (COMDTINST M5400.7 (Series)).

B.   Headquarters Staff Responsibilities.

1.   Overview. The Commandant, Chief of Staff, Director of
     Resources, Director of Finance and Procurement, Program
     Directors, Program Managers, Facility Managers, and
     Headquarters Planning Coordinators are the principal
     stakeholders in the Coast Guard Strategic Planning, Long-
     Range Planning, Programming, Budgeting, Execution, and
     Evaluation System (SPPBEES). The responsibilities of the
     Commandant and Chief of Staff deal with the overall
     goals/objectives of the Coast Guard, while those of the
     Program Directors and Managers involve the component
     parts, called programs, which are the means for achieving
     Coast Guard goals/objectives. Operating Programs (e.g.,
     Search and Rescue) directly serve the public; Support

Programs (e.g., Engineering) primarily serve other Coast Guard programs. Responsibility for program management is assigned as shown in Table 2-1. The responsibility to develop and submit Program Descriptions, Program Directions, Operating & Support Resource Plans, Business Plans and other program planning information is also identified in Table 2-1. Responsibility for coordination of Headquarters planning and facility management for field units is shown in Table 2-2.

2. Commandant.

    a. The Commandant, as head of an operating administration of the Department of Transportation, is responsible to the Secretary of Transportation for developing and implementing Coast Guard Programs responsive to statutory and executive direction. The Commandant accomplishes this by providing guidance through policy decisions and by exercising approval/disapproval action on initiatives having far-reaching effects.

    b. In accomplishing responsibilities throughout the planning and programming process, the Commandant provides broad policy guidance, through: the Commandant's Direction and other formal strategic planning documents; by approving the area of emphasis for the Forecast Stage Budget; and by action on various studies, position papers, and decision memoranda.

    c. In addition, as the principal spokesperson for the Coast Guard, the Commandant normally appears before the Congressional Authorization and Appropriation Committees and other related committees as well as before the Office of Management and Budget in the course of annual budget hearings.

3. Chief of Staff. The Chief of Staff is responsible for coordinating the development and execution of Coast Guard programs by the Operating and Support Program Directors, in accordance with guidance from the Commandant. In carrying out this duty, the Chief of Staff not only ensures that established policies are followed, but also keeps the Commandant advised and assists in policy formulation as necessary. The Chief of Staff is the focal point for policy and program review.

4. Director of Resources. The Director of Resources, under the general supervision of the Chief of Staff, is responsible for the direct long-range planning, programming, budgeting, execution and evaluation functions for the Coast Guard. The position provides direction for program and mission evaluation; budget

development and execution; personnel allocation; targeted resource management; and measurement and evaluation.

5. <u>Operating/Support Program Directors</u>. Operating/Support Program Directors act for the Commandant in the management of the assigned program(s). Program Directors become the focal point at which major policy is translated into plans, programs, budgets, and routine program policy for the specific guidance of their Program Managers and subordinate units.

6. <u>Operating/Support Program Managers</u>. Program Managers assist respective Program Directors through continuous review and implementation of routine program policy. As necessary, the Program Manager prepares proposals for adjustment or creation of new policies. The Program Manager is routinely involved in detailed planning, programming, budgeting, measurement, evaluation and program execution. The vast majority of program documentation, studies and reports are produced at this level.

7. <u>Assignment responsibilities</u>. Each Operating and Support Program Director/Manager is expected to:

   a. Manage with a clear vision constantly in the forefront.

   b. Develop and use Program Descriptions, Program Directions, and Business Plans which translate the forecasts in the strategic planning documents. These documents are used as management tools to describe and analyze a program's goals/objectives, activities, implementation and accomplishments.

   c. Identify the policies under which the program is carried out.

   d. Perform studies on the impact of future changes in demand, policies, criteria and technology (i.e., mission analysis).

   e. Develop feasible alternatives and propose necessary legislation.

   f. Develop an appropriate management system for managing and evaluating the execution of the program.

   g. Develop program Issues, Resource Change Proposals (RCPs), budgets and identify priorities for rapid dollar-level adjustments (e.g., for RDT&E, AC&I, OE).

   h. Identify and request major support requirements (e.g., personnel, engineering, comptroller, C3/IRM, R&D).

i.   Provide program guidance to the field.

8.   Facility Managers. Facility Managers develop,
     coordinate, administer, review and evaluate plans,
     policies, procedures, standards, and performance measures
     for their assigned facilities (aircraft, boats, cutters,
     command, control and communications, and human
     resources).

9.   Headquarters Planning Coordi.ators. Headquarters
     Planning Coordinators are Operating/Support Program
     Managers to whom the Commandant has delegated the
     responsibility for formulation and review of plans,
     programs, standards, performance measures and facility
     management for specified types of units.

C.   Point of Contact. For further guidance, contact Commandant
     (G-CPP), Ph (202) 267-2355.

TABLE 2-1   ASSIGNMENT OF PROGRAM AND PLAN RESPONSIBILITIES

A. Program and Program Description responsibilities are assigned
    below. For definitions see Part IV.

OPERATING PROGRAM AREAS	OPERATING PROGRAM DESCRIPTIONS	PROGRAM SYMBOL	PROGRAM DIRECTOR	PROGRAM MANAGER
Aids To Navigation	Short Range Aids to Navigation	SRA	Chief, G-N	Chief, G-NSR
	Radionavigation Aids	RA	Chief, G-N	Chief, G-NRN
	Vessel Traffic Services	VTS	Chief, G-N	Chief, G-NVT
Bridges	Bridge Administration	BA	Chief, G-N	Chief, G-NBR
Defense Operations	Defense Operations	DO	Chief, G-O	Chief, G-ODO
Domestic and Polar Ice Operations and Marine Science Activities	Ice Operations	IO	Chief, G-N	Chief, G-NIO
Law Enforcement	Enforcement of Laws and Treaties	ELT	Chief, G-O	Chief, G-OLE
Marine Safety, Security and Environmental Protection	Marine Environmental Response	MER	Chief, G-M	Chief, G-MER
	Marine Inspection	MI	Chief, G-M	Chief, G-MVI
	Marine Licensing	ML	Chief, G-M	Chief, G-MVP
	Port Safety	PSS	Chief, G-M	Chief, G-MPS
	Port Security (Military)	PSS	Chief, G-M	Chief, G-MPS
	Port Security (Other)	PSS	Chief, G-M	Chief, G-MPS

TABLE 2-1   ASSIGNMENT OF PROGRAM AND PLAN RESPONSIBILITIES
             (Cont'd)

OPERATING PROGRAM AREAS	OPERATING PROGRAM DESCRIPTIONS	PROGRAM SYMBOL	PROGRAM DIRECTOR	PROGRAM MANAGER
Recreational Boating Safety	Recreational Boating Safety	RBS	Chief, G-N	Chief, G-NAB
Search and Rescue	Search and Rescue	SAR	Chief, G-N	Chief, G-NRS

SUPPORT PROGRAM AREAS	SUPPORT PROGRAM DESCRIPTIONS	PROGRAM SYMBOL	PROGRAM DIRECTOR	PROGRAM MANAGER
Reserve Forces Training	Reserve Forces	RT	Chief, G-R	Deputy G-R(ds)
General Support	Major Systems Acquisition	GAA	Chief, G-A	Deputy, G-A
	Civil Rights	GAH	Chief, G-H	Deputy, G-H
	Command, Control and Communications/ Information Resources Mgmt (C3/IRM)	GAT	Chief, G-T	Chief, G-Td
	Contingency Preparedness	GAC	Chief, G-R	Deputy, G-R(de)
	Engineering and Logistics	GAE	Chief, G-E	(Note 1)
	Financial Management and Procurement	GAF	G-CFP	G-CFM (Note 2)
	General Administration	GA	G-CRC	G-CPA (Note 2)
	Health Services	GAK	Chief, G-K	Chief, G-KOM
	Intelligence	GAN	Chief, G-O	Chief, G-OIN

TABLE 2-1 ASSIGNMENT OF PROGRAM AND PLAN RESPONSIBILITIES
          (Cont'd)

SUPPORT PROGRAM AREAS	SUPPORT PROGRAM DESCRIPTIONS	PROGRAM SYMBOL	PROGRAM DIRECTOR	PROGRAM MANAGER
	Investigations and Security	GAI	Chief, G-O	Chief, G-OIS
	Legal	GAL	Chief, G-L	Deputy, G-L
	Personnel	GAP	Chief, G-P	Deputy, G-P
	Training	GAP	Chief, G-P	Deputy, G-P
	Public Affairs	GAB	Vice Commandant	Chief, G-CP (Note 2)
	Research and Development	GRD	Chief, G-E	Chief, G-ER
	Safety and Occupational Health	GAS	Chief, G-K	Chief, G-KSE

B. Operating and Support Resource Plan responsibilities are
    assigned below. Instructions for preparation of Resource
    Plans appear in Chapters 9 and 10.

FACILITY TYPE	PROGRAM DIRECTOR
Aviation	Chief, G-O
Boats	Chief, G-N
Command, Control and Communications/Information Resource Management (C3/IRM)	Chief, G-T
Cutters	Chief, G-O
Human Resources	Chief, G-P
Shore Facilities	Chief, G-E

NOTE 1: Applicable Division Chief within G-E.

NOTE 2: There is no Program Description for Financial Management
         (GAF), General Administration (GA), or Public Affairs
         (G-CP). However, G-CFP and G-CP should prepare Business
         Plans based on the Executive Business Plan.

TABLE 2-2:   ASSIGNMENT OF HEADQUARTERS PLANNING COORDINATOR
             (HQPC) RESPONSIBILITY

A.   Headquarters Planning Coordinator (HQPC) responsibilities
     are assigned below:

UNIT .YPE	PRIMARY PROGRAM(S)	HEADQUARTERS PLANNING COORDINATOR (HQPC)
Academy	Personnel Support	G-PTP
Admin. Law Judge Office	Marine Inspection	G-CJ
Aids to Navigation Team	Short Range Aids to Navigation	G-NSR
Aircraft Repair and Supply Center	Engineering Support	G-EAE
Air Station	Search and Rescue	G-OAV
Area Office (Note 1)	General Administration	G-CPP
Art and Artifact Center	Public Affairs Support	G-CP
Aviation Training Center	Search and Rescue	G-OAV
Aviation Technical Training Center	Personnel Support	G-PTP
Band	Public Affairs Support	G-CP
Base (except Miami Beach and San Juan)	Various Programs	G-NSR
Bases Miami Beach and San Juan	Various Programs	G-NRS
Buoy Tender (WLB, WLM, WLI, WLR)	Short Range Aids to Navigation	G-NSR
Captain of the Port	Port and Environmental Safety, Marine Environmental Response	G-MP
Ceremonial Honor Guard	Public Affairs Support	G-CP
Child Care Facilities	Personnel Support	G-PWL
Commander, CG Forces (CCGF)	Contingency Preparedness	G-REP
Command Centers (OPCEN/RCC)	C3/IRM Support	G-TP
COMDAC Support Facility	C3/IRM Support	G-TP
Communications Station	C3/IRM Support	G-TP
Construction Tender (WLIC)	Short Range Aids to Navigation	G-NSR
Depot	Short Range Aids to Navigation	G-NSR
District Office (Note 1)	General Administration	G-CPP
Electronics Engineering Center (EECEN)	C3/IRM Support	G-TP

TABLE 2-2:   ASSIGNMENT OF HEADQUARTERS PLANNING COORDINATOR
             (HQPC) RESPONSIBILITY (cont'd)

Electronics Shop	C3/IRM Support	G-TP
Exchanges (Note 2)	Personnel Support	G-PXM
Facility Mgmt (Shore)	Various Programs	G-E
Finance Center	Financial Management	G-CFS
Fleet Training Groups/ Centers	Various Programs	G-OCU
Fog Signal Station	Short Range Aids to Navigation	G-NSR
GANTSEC	Enforcement of Laws & Treaties	G-OLE
Group Office (Note 3)	Search and Rescue	G-NRS
Harbor Tug (WYTL)	Ice Operations	G-NIO
Headquarters	General Administration	G-CPA
Health Care (Note 4)	Health Service Support	G-KRM
High Endurance Cutter (WHEC)	Enforcement of Laws and Treaties	G-OCU
Housing (Note 5)	Personnel Support	G-PWL
	Engineering Support	G-ECV
Icebreaker (WAGB)	Ice Operations	G-NIO
Icebreaking Tugs (WTGBs)	Ice Operations	G-NIO
Industrial Mgmt & Support	Engineering Support	G-ES
Intelligence Coordination Centers	Intelligence	G-OIN
International Ice Patrol	Ice Operations	G-NIO
Light Station	Short Range Aids to Navigation	G-NSR
Loran Station	Radionavigation Aids	G-NRN
Maintenance & Logistics Command (MLC) (Note 6)	Various Programs	G-*
Marine Inspection Office	Marine Inspection and Marine Licensing	G-MP
Marine Safety Office	Marine Environmental Response, Marine Inspection, Marine Licensing, Port Safety and Security	G-MP
Maritime Defense Zone Organization (MDZ) (Note 7)	Contingency Preparedness	G-REP
Medium Endurance Cutter (WMEC)	Enforcement of Laws and Treaties	G-OCU
Morale, Welfare & Recreation (Note 2)	Personnel Support	G-PXM
Museums	Public Affairs Support	G-CP
Omega Navigation System Center	Radionavigation Aids	G-NRN
Omega Station	Radionavigation Aids	G-NRN

TABLE 2-2: ASSIGNMENT OF HEADQUARTERS PLANNING COORDINATOR
(HQPC) RESPONSIBILITY (cont'd)

Operations Systems Center (OSC)	C3/IRM Support	G-TP
Patrol Craft (WPB)	Enforcement of Laws and Treaties	G-OCU
Pay and Personnel Center	Personnel Support	G-Pd-3
Port Safety Station	Marine Environmental Response, Port Safety and Security	G-MP
Project Resident Office (PRO)	Acquisition Support	G-ARM
Recruiting Office	Personnel Support	G-PMP
Research and Development Center	R&D Support•	G-ER
Reserve Training Center/ Schools	Reserve Forces	G-RSP
Section Office (except GANTSEC)	Radionavigation Aids	G-NRN
Ship Support Facility	Ice Operations (WAGB)	G-NIO
Small Arms Repair Facility	Defense Operations	G-ODO
Stations	Search and Rescue	G-NRS
Strike Team	Marine Environmental Response	G-MP
Supply Center	Supply Support	G-ELM
Support Center	Engineering Support	G-ECV
Telecommunications and Information Systems Command	C3/IRM Support	G-TP
Telephone Tech Shops	C3/IRM Support •	G-TP
Training Center (except AVTRACEN & RESTRACEN)	Personnel Support	G-PTP
Training Cutter (WIX)	Personnel Support	G-OCU
Training Teams	Various Programs	G-OCU
Vessel Traffic Service	Vessel Traffic Service	G-NVT
Volunteer Training Unit	Reserve Forces	G-RSA
Yard	Engineering Support	G-ENE

B. Headquarters Planning Coordinators (HQPCs) are responsible
for formulating and reviewing plans, programs, and facility
management for their assigned units.

NOTE 1: Chief, Plans, Policy and Evaluation Division (G-CPP), having overall planning coordination responsibility, will be the HQPC for district and area offices. However, this may be reassigned to a Director of Resources Division (e.g., G-CPA or G-CBU) if the reassignment will best serve the resolution of the particular request, problem or issue at hand.

NOTE 2: Exchanges and Morale, Welfare and Recreation are not units, but are activities, programs and services located at various operation and support units.

NOTE 3: Since the primary program of group offices in the Second District is Short Range Aids to Navigation, G-NSR is designated HQPC for these units in that district only.

NOTE 4: Health Care Facilities are not units themselves, but are located at a variety of different operational and support units. A single HQPC has been assigned to assure equal attention across all program lines. G-KRM will act as HQPC for all Health Care Facilities and will coordinate with all benefiting operating and support program managers.

NOTE 5: The Housing Program utilizes housing facilities which are either CG-owned or CG-leased/permitted, including DoD facilities. Housing facilities include both family and unaccompanied personnel quarters or barracks. G-ECV, as the Shore Facility Manager, is responsible for carrying out the acquisition, construction, or improvement of all housing facilities.

NOTE 6: MLC-Various Programs, Commandant (G-CPP) handles Administrative matters. Each program manager/director retains responsibility for their own program area.

NOTE 7: MDZ is a third echelon Navy Command, responsible for coastal and harbor defense of the United States, Alaska and Hawaii, and Puerto Rico, with an area of responsibility from the navigable waterways and watersides of harbors out to 200 miles. The MDZ organization is staffed with Navy and Coast Guard personnel. Navy and Coast Guard active and reserve forces and resources will be provided to the MDZ commands at zone, sector and subsector level, when the MDZ commands are activiated. Coast Guard facilities and resources may be affected by MDZ readiness upgrades or taskings. All MDZ resource issues which have potential impact on the Coast Guard shall be coordinated by the Contingency Preparedness Program Manager.

CHAPTER 3. DOCUMENTATION AND PROCEDURES

A. Coast Guard Planning Model. Figure 3-1 on page 3-6 depicts
    the desired state of planning in the Coast Guard. Refer to
    this model as the strategic planning and long-range planning
    processes are discussed below and in subsequent chapters.

B. Planning Phase.

    1. Originated in Headquarters.

        a. Strategic Planning Documents. The initial documents
            of the Coast Guard's Strategic Planning, Long-Range
            Planning, Programming, Budgeting, Execution, and
            Evaluation System (SPPBEES) are the Coast Guard
            Vision Statement, the Commandant's Direction, and
            other strategic planning documents (environmental
            scans, special studies, etc.). By means of the Coast
            Guard Vision Statement and the Commandant's
            Direction, the Commandant sets forth a "vision" and
            strategic goals. Both documents are firmly linked to
            the DOT strategic guidance. Meanwhile, the other
            strategic planning documents provide a view of the
            environment in which the Coast Guard will be
            operating over the next 4-15 years. The Coast Guard
            Vision Statement, the Commandant's Direction, and the
            other strategic planning documents are not plans;
            rather, they are policy/projection documents which
            provide a common foundation for all planning at Coast
            Guard Headquarters and in the field. Chapter 5
            discusses strategic planning in more detail.

        b. Commandant's Executive Business Plan. The
            Commandant's Executive Business Plan serves as the
            bridge between strategic planning and long-range
            planning. It takes the strategic goals contained in
            the Commandant's Direction and adds supporting
            objectives and milestones. The Commandant's
            Executive Business Plan is discussed in more detail
            in chapter 6.

        c. Program Descriptions, Program Directions, Business
            Plans, and Coast Guard Direction. Under the guidance
            of their respective Program Directors, Operating and
            Support Program Managers translate the goals,
            objectives, and forecasts contained in the
            Commandant's Direction, Commandant's Executive
            Business Plan and other strategic planning documents
            into Program Descriptions, Program Directions, and
            Business Plans. The Program Description is used as a
            management tool to describe an existing Coast Guard
            Program. It contains sections which describe the
            Program and which list current resource use,
            goals/objectives, standards and performance measures.

The Program Direction is a true planning document
that describes where the Program is headed out to as
many as 15 years. The Business Plan is a tactical
document that outlines the path a Program intends to
take to achieve the directions, goals, and objectives
contained in its own Program Direction and in the
Commandant's Executive Business Plan. The Coast
Guard Direction is a compilation of Commandant-
approved Program Directions and any additional
G-CCS/C guidance. For details on the Program
Description, Program Direction, Business Plan, and
Coast Guard Direction documents see Chapters 6 & 7.
When viewed together, Program Descriptions, Program
Directions, Business Plans, and the Coast Guard
Direction serve the following purposes:

(1)   Provide well documented description of all
      Operating/Support Programs in a consistent
      format to serve as a basis for planning;

(2)   Depict the links between planning, programming,
      budgeting and evaluating in the Coast Guard;

(3)   Serve as the foundation for base management,
      productivity studies, budget programming,
      reprogramming justifications and other analyses.

d.   Operating and Support Resource Plans. Requirements
     for aircraft, boats, cutters, shore facilities, and
     command, control and communications/Information
     Resource Management (C3/IRM) identified in the
     Program Descriptions and Program Directions and in
     other studies are documented in the individual
     Resource Plans. Each Resource Plan (Aviation, Boat,
     Cutter, C3/IRM, and Shore Facility) expresses the
     physical quantities and types of personnel or capital
     investment required to satisfy program needs (See
     Chapters 9 & 10).

e.   Special Analytic Studies. An analytic study is a
     vehicle for systematically addressing problems
     identified by management. Such studies may focus on
     particular issues or on broad policies. In addition
     to the Commandant or the Chief of Staff, studies may
     be mandated by officials outside of the Coast
     Guard -- such as the Secretary of Transportation or
     the Director, Office of Management and Budget. While
     not in the same category as the more standardized
     documents, special analytic studies have an important
     role; their conclusions and recommendations may have
     impact throughout the planning process. Central
     coordination by the Chief of Staff is necessary to
     prevent duplications or omissions. The procedures to
     be followed prior to and during a special analytic
     study are found in Chapter 16.

2. Originated in the Field.

    a. Planning Proposals (PP). Planning Proposals are
        required to recommend a change in operating
        procedures or realignment of existing resources.
        They are intended to document required changes in
        existing operations, and to evaluate and document
        alternative solutions to resolve the need on which
        the Planning Proposal is based. Planning Proposals
        are submitted by district commanders or commanding
        officers of Headquarters units. The planning
        proposal includes a complete explanation of the
        problem or need which generated the planning
        proposal, an identification of all alternative
        actions to resolve problem or need, and justification
        for selection of the preferred alternative solution.
        Headquarters Planning Coordinators (HQPCs) assist the
        Chief of Staff in reviewing the proposed changes and
        deciding whether they should be permitted to compete
        for available resources. This review ensures the
        optimal use of resources throughout the Coast Guard.
        Once approved, the planning proposal is the basis for
        a Resource Change Proposal, or when the approved
        alternative involves the use of AC&I funds for
        alteration or construction of a new shore facility,
        an AC&I Project Proposal Report (PPR) is required.
        See the Field Planning Manual (COMDTINST M16010.6)
        and the Shore Facility Planning Manual (COMDTINST
        M11000.11 (Series)) for further information.

    b. Shore Facility Planning. Master Plans, AC&I Data
        Sheets, Project Proposal Reports are field generated
        documents to support the shore facility planning and
        execution process. See the Field Planning Manual
        (COMDTINST M16010.6) for an overview of the shore
        facility planning process.

C. Programming Phase.

    1. Budget Year Issues. The Budget Year Issues document is a
        1-2 page summary from the Program Director to the Chief
        of Staff. It lists, by Budget Year, the highest priority
        issues for the program requiring either budget or policy
        resolution by the Chief of Staff or the Commandant.
        Issues set the stage for future programming decisions.

    2. Determinations. Based on the Issues meetings between the
        Program Directors and the Chief of Staff, the Chief of
        Staff recommends to the Commandant those program issues
        that should be the basis for Determinations.
        Determinations serve three purposes: they address cross-
        program issues that require a coordinated solution;
        provide a basis for programming and reprogramming
        decisions for the upcoming budget year; and translate

selected issues into programmatic action and specific guidance and/or tasking.

3. Capital Investment Plan (CIP). Capital requirements for new aircraft, boats, cutters, shore facilities, and Command, Control and Communications/Information Resource Management (C3/IRM) systems are documented in the annual CIP data call. All capital requirements are prioritized in the CIP, which then becomes the planning and anagement tool for forecasting capital investments required to meet current and projected missions over the next 15 years. The CIP is used to develop overall acquisition, construction and improvement (AC&I) appropriations strategy and to support the formal budget presentation. It is reissued by the Commandant annually. See the Capital Investment Plan, Commandant Instruction 7132.1 (series), for specific guidance regarding its format, content, and use.

4. Resource Change Proposals (RCPs). Resource Change Proposals are internal Headquarters documents prepared by Program Directors to request changes in resources, both incremental and decremental, for a current or future budget year. RCPs normally evolve from Issues, Determinations, Planning Proposals, AC&I Project Proposal Reports, and the Capital Investment Plan. RCPs identify the requirement for resources, provide background information, propose alternative solutions with detailed supporting documentation and analysis, and provide a draft "budget sheet" to support the initiative as a budget line item. The RCP Data Workbook, an internal Headquarters working document issued by the Programs Division (G-CPA), provides guidance on developing and submitting RCPs. RCPs are reviewed and prioritized by G-CPA for competition in the budget process, beginning with the Forecast Stage Budget submission. See Chapter 14 for a further discussion of RCPs.

5. Coordinating Board. The Coordinating Board is normally chaired by the Deputy Chief of Staff. Under the Deputy's direction, all Deputy Office Chiefs meet to review the draft Forecast Stage Budget developed by G-CPA. Each member of the Board presents his/her case for changes to the list. The results of the Coordinating Board are presented to the Chief of Staff for review and approval. The Chief of Staff then presents his recommendations to the Commandant for final approval and inclusion in the budget submission to the Department of Transportation.

D. Reprogramming during the Current Fiscal Year.

1. General. Resources are appropriated by Congress for specific purposes. From time to time it may be necessary, or a good management action, to reprogram

resources for uses other than those for which they were originally appropriated. Reprogramming actions are subject to Congressional and Department of Transportation review and, depending on the nature and dollar amount of the reprogramming, to approval as well. Formal reprogramming guidelines are currently being revised and will be published separately when final.

2. Philosophy. There is one question that emerges very clearly from the complexity of trying to accommodate the changing needs for resources: "How do I get the resources I need to do what must be done?" The answer is not easy, nor can any one answer fit all situations. But a general philosophical approach does apply. **Management efforts at all levels must continually reevaluate the resources we have, and balance newly-emerging requirements with existing ones.** The first question to be asked, upon identifying a new requirement, is how important it is compared to everything else being done. Ongoing activities that are less important than new requirements must be evaluated for termination. **In short, reprogramming and budgetary decisions naturally evolve to managing the base.**

E. Review. Table 3-1 offers a consolidated review of the documents discussed in this Chapter.

F. Point of Contact. For further guidance, contact Commandant (G-CPP) Ph (202) 267-2355 or (G-CPA) Ph (202) 267-2405.

Fig. 3-1 COAST GUARD PLANNING MODEL

DOT Planning(Intermodal) Process

DOT Strategic Plan

Commandant's Vision

Program Direction

Commandant's Direction

Executive Program Business Plan Business Plan

Field Operational and Tactical Plans

Coast Guard Actions

Program Advocacy Planning Process

Executive Planning Process

Briefing and Planning Events

Flag Conference

Coast Guard Plan
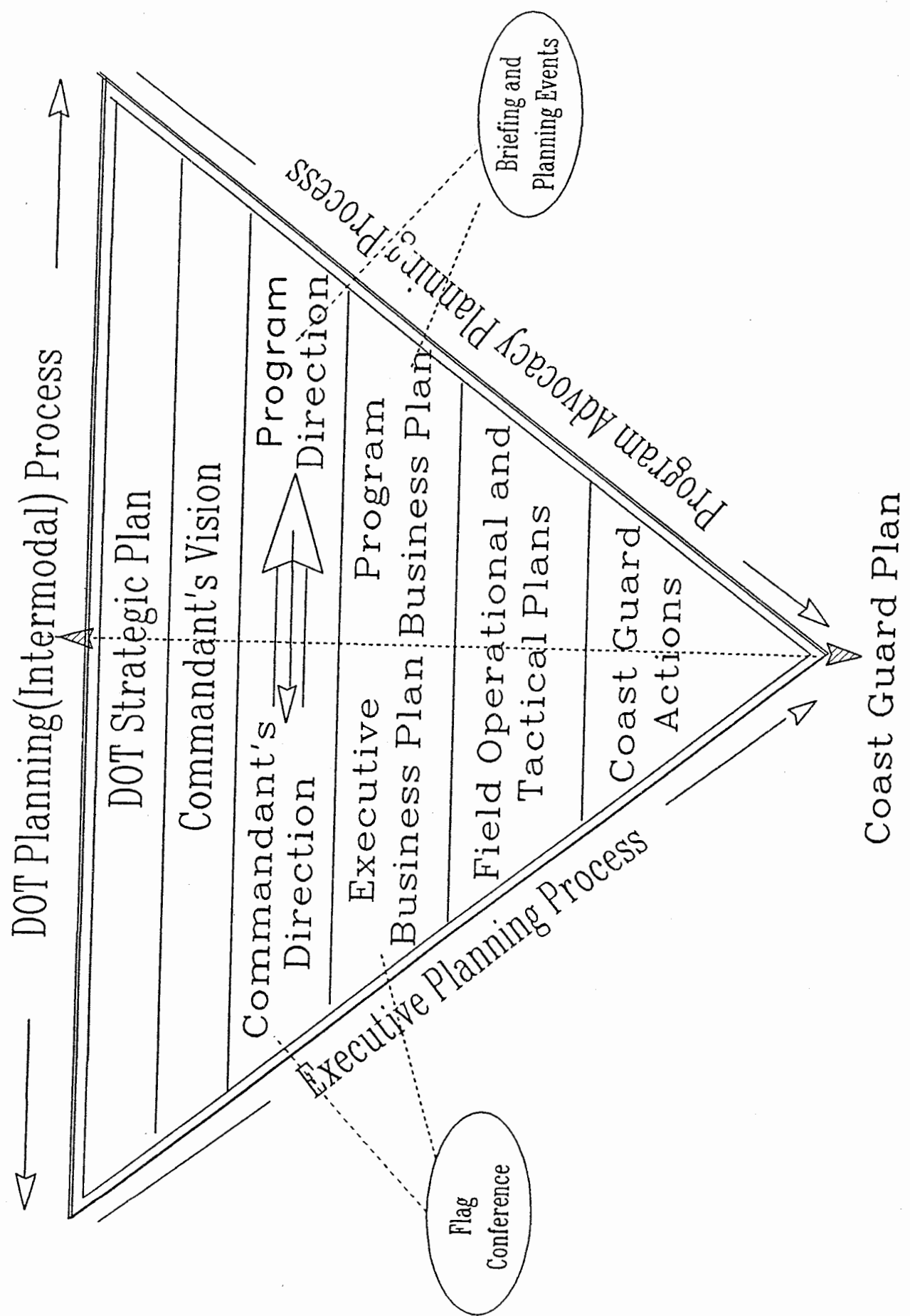
TABLE 3-1:   MAJOR DOCUMENTS

Title	Originator	Purpose	Distribution
Commandant's Strategic Planning Documents	Commandant	Sets forth Commandant's vision and goals; projects plannir g environment over next 15 years	CG-wide
Commandant's Executive Business Plan	Commandant	Serves as bridge from Commandant's Direction to Program Directions and Business Plans; contains supporting objectives/milestones	CG-wide
Program Descriptions/ Directions, Business Plans, & Coast Guard Direction	Operating/ Support Program Managers/ Commandant	Translate Commandant's Strategic policies and goals to the budget environment through a statement of program trends, present and future resource utilizations, and goal accomplishments.	HQ/Operating/ Support Program Directors /Managers Area/ District Commanders
AC&I Data Sheets	District/ HQ Units MLC/HQ Units	Briefly describe proposed capital investment in shore facilities (5-10 years)	HQ Operating/ Support Program Managers MLC
Master Plan	District/ HQ Units/ MLC/HQ Divisions	Integrates a long-range view of a large unit's land use; presents a number of related projects that will be further developed thru individual PPs over the life of the Master Plan	HQ Area(Ad) MLC
Planning Proposals (PP)	District/ HQ Units MLC/HQ Divisions	Initiate field generated or related planning for future (3 to 8 year) requirements	HQ Area(Ad) MLC

TABLE 3-1: (Cont'd)

Operating and Support Resource Plans	HQ Divisions	Address the present and future uses and requirements for respective facilities (5 years)	HQ, Area, MLC and Distric: Offices, Selected LJ Units
Capital Investment Plan	G-CPA	Consolidate, prioritize capital requirements and other AC&I capital requirements	HQ, Area, MLC, District Commanders HQ units, & OST
AC&I Project Proposal Reports (AC&I PPR)	District/ HQ Units MLCs/HQ Division	Describe specific capital investment in shore facilities (approx. 50% of engineering design)	HQ, Area MLC and District Offices, Selected HQ units
Issues	Operating/ Support Program Directors	Programs' major pol- icy/legislative/ budget emphasis for future budget years	HQ
Determinations	G-C	Identify program emphasis for upcoming budget build. Address cross-program issues that require a coordinated solution. Provide specific G-C tasking and guidance to Program Directors. Serve as a basis for programming decisions.	HQ
Resource Change Proposals (RCPs)	Operating/ Support Program Directors Headquarters	Request change in resources (+ or -) in BY+1 or in BY with OPSTAGE RCPs	HQ
OST/OMB/ Congressional Stage Budgets	G-CPA/ G-CBU	Formal budget request forwarded for approval.	HQ

CHAPTER 4. MAJOR EVENTS IN THE PLANNING, PROGRAMMING AND BUDGETING CYCLE

A. <u>Overview</u>. Table 4-1 depicts the major events in the Coast Guard Planning, Programming and Budgeting Cycle. Dates listed are approximate and subject to change. The following explanations apply to Table 4-1:

1. BY-1: Year in which the current budget is being executed. The current fiscal year (FY).

2. BY : Budget year under review and/or near appropriation, but not yet approved. The next fiscal year (FY+1).

3. BY+1: Next budget year for which the budget is being developed (FY+2).

4. BY+2: Future budget years (FY+3 & beyond).

B. <u>Point of Contact</u>. For further guidance, contact Commandant (G-CPP) Ph (202) 267-2355 or Commandant (G-CPA) Ph (202) 267-2405.

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TABLE 4-1: MAJOR EVENTS IN THE PLANNING, PROGRAMMING, BUDGETING AND EVALUATION CYCLE

DATE	ACTION BY	EVENT	BY-1	BY	BY+1	BY+2
1 Oct	PD	Submit Draft Program Directions, update Program Descriptions				X
1-15 Oct	G-C/PD G-CCS G-CRC G-CBU G-CPA	OMB Stage Budget Hearings		X		
15 Oct	G-CBU	Final OPSTAGE Budget (upon enactment of appropriation)	X			
1-15 Nov	G-CRC PM	Briefing Events				X
1 Dec	PD	Submit Final Program Directions				X
15 Dec	PD	Submit Program Issues to G-CRC (G-CPA)			X	X
1-31 Jan	G-CCS G-CRC PD	Planning Event/ Issues Meetings			X	X
Feb/ May	G-CBU G-CPA	House and Senate Authorization and Appropriations Hearings (when scheduled by Congress)		X		
1 Feb	PD	CIP Data Call... Submit updates to CIP for existing & new AC&I projects			X	X

TABLE 4-1: MAJOR EVENTS IN THE PLANNING, PROGRAMMING, BUDGETING
            AND EVALUATION CYCLE (Cont'd)

DATE	ACTION BY	EVENT	BY-1	BY	BY+1	BY+2
1 Mar	G-C G-CPA	Determinations Published			X	
3 Mar	PD	RDT&E RCPs due to G-E			X	
15 Mar	PD	IRM & Training RCPs due to G-T and G-P			X	
30 Mar	G-C G-CCS	Coast Guard Direction Published				X
15 Apr	PD	RCPs & RDT&E Budget Sheets due G-CRC (G-CPA)			X	
30 Apr	PD	Business Plans due G-CRC (G-CPP)		X	X	X
1 May	G-CPA	Congressional Stage Planning Factors sent to field	X			
1 Jun	District HQ Units MLCs	Submitted & approved Minor AC&I PPRs compete for Minor AC&I shore construction funding (first come, first served basis)			X	
10 Jun	G-ECV	Circulate Minor AC&I PPRs to All HQPCs			X	
20 Jun	PM AFC MGR APPN MGR	Coordinate field level budget sub- mission process via ATUs	X			

TABLE 4-1:   MAJOR EVENTS IN THE PLANNING, PROGRAMMING, BUDGETING
             AND EVALUATION CYCLE (Cont'd)

DATE	ACTION BY	EVENT	BY-1	BY	BY+1	BY+2
1 Jul	G-CRC	Submit Budget and CIP to OST			X	
1 Jul	G-CBU	Publish tentative OPSTAGE budget		X		
10 Jul	PM	Submit Minor AC&I PPR comments to G-ECV			X	
15 Aug	PM	Submit OPSTAGE requests/RCPs		X		
5 Sep	G-ECV	Develop Commandant's response to all minor AC&I PPRs			X	
15 Sep	Dist/HQ Units	Submit annual priority list of AC&I projects (when requested by G-CCS)			X	
20 Sep	G-CBU	Issue annual allotments/target modifications		X		
30 Sep	G-ECV	Publish final list of approved Minor AC&I projects to field			X	X

CHAPTER 5. STRATEGIC PLANNING

A. Overview. The Coast Guard's strategic planning process is
    part of the larger SPPBEES process. One function of
    strategic planning is establishing a "vision" of the
    organization within a future, external environment. Another
    function is to articulate, and continually refine the purpose
    of the organization; justifying why we should be given a
    share of the federal budget. The resulting vision and
    organizational justification define what the Coast Guard is
    and why it should exist. This vision is the target of all
    subsequent planning efforts. The Commandant is the Coast
    Guard's "chief strategist" and is assisted in the strategic
    visioning function by the Senior Advisory Group (SAG), the
    Program Directors and the Strategic Planning Staff (G-CX).

    1. Concept. Establishing a vision for the Coast Guard
        consists of three principal components: environmental
        scans, a strategic planning process, and special studies.

        a. Environmental Scans. Environmental scanning is the
            basis for all strategic planning. All plans must
            account for the most probable future yet be flexible
            enough to accommodate "wild cards" -- events which
            could happen in the external environment which would
            have dramatic influence on the organization. To do
            this well, the organization must understand its
            environment, the key driving factors in it and how
            those drivers might change and impact the
            organization.

            (1) The Coast Guard uses several environmental
                 scanning approaches: contracting "futurist"
                 research groups to conduct external scans;
                 harvesting the knowledge of trends from program
                 experts within the Coast Guard; networking with
                 planners in other agencies and industry;
                 participating in professional organizations; and
                 reviewing a large reading list of periodicals
                 and professional journals.

            (2) The strategic planning process uses information
                 from environmental scans to assist senior
                 leaders and managers in developing a strategic
                 vision. The resulting vision and strategic
                 guidance must then be articulated, marketed to
                 external stakeholders, deployed to the
                 organization through its internal policies, and
                 linked to resource allocations and delivery of
                 services to customers.

        b. Strategic Planning Process. The Coast Guard's
            formal, multi-year strategic planning cycle consists
            of the following: development and update of the

Coast Guard Vision Statement and Commandant's Direction; links to the Coast Guard's Long-Range Planning process via the Commandant's Direction and Commandant's Executive Business Plan; and a series of regularly scheduled strategic planning sessions among senior leaders and managers on issues of strategic significance.

    c.   <u>Special Studies</u>. The strategic planning staff also conducts special studies and maintains networks of associates in order to keep informed about issues, events and trends of potential major impact. They use this knowledge to challenge conventional corporate wisdom. This assists the organization's leadership to consider alternative views and options to deal with a dynamic external operating environment. More detailed follow-up work is then assigned to the appropriate line or staff manager in the organization.

B. <u>Strategic Planning Cycle</u>. The Coast Guard strategic planning process operates on a four-year cycle, primarily aligned with each Commandant's term of office. It begins with the Commandant promulgating the Coast Guard Vision Statement and Commandant's Direction. Both documents serve as a basis for further detailed planning within the organization.

    1.   <u>Coast Guard Vision Statement</u>. The Coast Guard Vision Statement is the Commandant's view of where the Coast Guard needs to be in the future.

    2.   <u>Commandant's Direction</u>. The Commandant's Direction is a set of strategic goals and corresponding objectives that links the Vision Statement to the Program Directions. It is based on the core missions of the Coast Guard and is carefully aligned with the DOT Strategic Plan. The Commandant's Direction also establishes the basis for developing the Commandant's Executive Business Plan for measuring and evaluating Coast Guard accomplishments. The Commandant's Executive Business Plan is discussed in more detail in Chapter 6.

    3.   <u>Links To Long-Range Planning Process</u>.

        a.   The Coast Guard's Long-Range Planning process fills in details of the Coast Guard Vision Statement and the Commandant's Direction with the resulting plans becoming the Coast Guard's "Strategic Plan." The long-range planning process is overseen by the Plans, Policy, and Evaluation Division (G-CPP). The long-range planning process requires a program-by-program, four-to-fifteen year outlook, which is then integrated across all programs, constrained to

reasonable resource levels, and linked into the annual programming and budgeting processes. These Program Directions must link to the Vision Statement, the Commandant's Direction, and other strategic guidance. The resulting set of resource-linked and cross-program-integrated planning documents must also meet the requirements of the Government Performance and Results Act (GPRA) of 1993.

b. There are two formal links annually between the strategic and long-range planning processes, which help assure that the result is a comprehensive, annually updated strategic plan meeting the requirements of GPRA.

(1) At the beginning of the long-range planning cycle each year, the Commandant may provide the Chief of Staff (G-CCS) a Strategic Guidance memorandum. This strategic guidance is considered by program managers when developing Program Directions. In general, this guidance is fairly broad and probing, intended to challenge program managers to stretch the scope, depth, or breadth of their planning activities. Guidance is based on the Coast Guard Vision Statement, the Commandant's Direction, and external events and trends of strategic significance. This is the first link between strategic and long-range planning.

(2) The Program Directions required by the biennial cycle are first submitted in draft form and are likely to be unconstrained and not integrated with other programs. Later in the long-range planning process, the G-CPP staff assists program managers in integrating and constraining their planning collectively. The initial set of draft Program Directions provide G-CX a scan of the internal environment. G-CX analyzes the draft Program Directions to provide the Commandant issues of strategic potential being considered within the organization.

(3) The second annual link occurs toward the end of that year's planning cycle, when G-CCS submits the Coast Guard Direction (all Support or Operating Program Directions, depending on the year) to the Commandant for final approval. The G-CX staff assists G-CPP in review of the planning submitted to the Commandant. The joint review is based on the linkages of the Coast Guard Direction with the Commandant's Direction and the Secretary's DOT Strategic Plan. This link serves two important functions, providing

feedback on the clarity of initial guidance and deploying strategic policies throughout the organization.

2. Links To The "Field" And Senior Staff.

    a. Major field commands also have a role in strategic planning. Area, District, and Maintenance and Logistics Commands are the regional distribution centers of the Coast Guard and, to that end, they assess the changing needs of their immediate customer base, then submit planning proposals to Headquarters.

    b. The formal process is extremely important, however, a critical part of the strategic planning process is the series of strategic planning sessions with senior Coast Guard leaders. The Coast Guard process includes monthly Strategic Planning Group (SPG) meetings, quarterly Senior Advisory Group (SAG) meetings, and strategic planning sessions at semiannual flag conferences.

        (1) The SPG consists of the Commandant, Vice Commandant (G-CV), G-CCS, and the G-CX staff. The G-CX staff chief serves as the executive secretary of this group. The SPG meets monthly. Each meeting is a discussion of one or more issues of potential strategic impact.

        (2) The SAG consists of G-CV, both Area Commanders, G-CCS, and the G-CX staff; again the G-CX staff chief serves as executive secretary. The SAG meets quarterly. Its purpose is to provide a high-level review of strategic options, to be a sounding board for issues of strategic significance, and to provide policy assessment feedback, primarily from the field commanders, to the Commandant.

        (3) G-CCS generally holds two flag conferences each year, and at each one, the G-CX staff coordinates a strategic issue session. These sessions can influence strategic thinking in the senior leadership, help develop strategic impacts more fully, and assist in ultimate deployment of any new strategies. SPG and SAG membership, and strategic sessions at flag conferences, are key linking components between the strategic planning and long-range planning processes of the Coast Guard, as well as between strategy development and policy Zdeployment.

C. Summary. In short, Coast Guard strategic planning is a Commandant-level process of strategic thinking, strongly

linked to other senior leaders and managers of the service. It is the ultimate "upstream" planning process in the Coast Guard, based on the external environment. It guides all other planning efforts and receives feedback from all management processes of the service.

D. <u>Point of Contact</u>. For further guidance, contact Commandant (G-CX), Ph (202) 267-2690.

CHAPTER 6. LONG-RANGE PLANNING PROCESS

A. Description. The second component of SPPBEES--the long-range planning process--prepares Coast Guard management for making future resource decisions rapidly, economically and with minimal disruption. In addition, planning assists the organization to recognize opportunities, identify potential threats, and establish long-range goals and supporting objectives/milestones. The planning process specifically provides Operating and Support Program Managers with a vehicle to translate the policies and strategic goals stated in the Coast Guard Vision Statement, the Commandant's Direction and other strategic guidance into projections and analyses of program direction.

   Program Descriptions, Program Directions, the Commandant's Executive Business Plan, Program Business Plans, Mission Analysis Reports (MARs), and other special studies interact to forge plans that will guide Coast Guard Programming and Budgeting actions in the fifteen years beyond BY+1. These documents are the basis for Issues, Determinations and Resource Change Proposals (RCPs) which strongly guide and influence the programming process. Program Descriptions and Program Directions, in particular, are cornerstone documents for long-range planning, and steer the entire Coast Guard SPPBEE System.

B. Overview of Long-Range Planning Process.

   1. Components. The Coast Guard long-range planning process consists of four subprocesses, depicted below in Figure 6-1. The four key components are Program Planning (long-range), Planning Integration, Review and Approval, and Action Planning (short-range). Figure 6-2, at the end of this chapter, portrays this four part planning process in more detail. The process cycles annually, with alternating emphasis between operating and support programs.

   2. Program Planning. The first element of the planning process, Program Planning, is an assessment of trends affecting the program conducted by Program Directors and their senior staff. This assessment is based on a variety of inputs (i.e. general information, knowledge of world events, an external scan by the Commandant's Strategic Planning Staff, etc). This process yields a planning document, called a Program Direction, which postulates where a program is headed as far out as 15 years. It is program advocacy planning.

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    ┌─ ─ ─ ─ ─ ─ ┐       ┌──────────┐        ┌──────────┐
    │ Strategic  │──▷    │ Program  │──▷     │ Planning │
    │ Planning   │       │ Planning │        │Integration│
    │            │       │(Long Range)│       │          │
    └─ ─ ─ ─ ─ ─ ┘       └──────────┘        └──────────┘

    ┌──────────┐        ┌──────────┐       ┌ ─ ─ ─ ─ ─ ─ ┐
 ▷  │ Review & │──▷     │  Action  │──▷    │ Programming │
    │ Approval │        │ Planning │       │             │
    │          │        │(Short Range)│     └ ─ ─ ─ ─ ─ ─ ┘
    └──────────┘        └──────────┘
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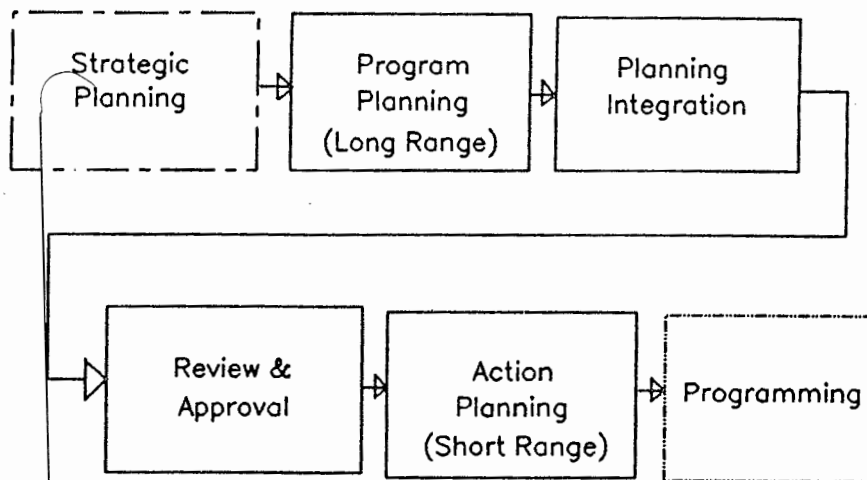
Figure 6-1:   Coast Guard Long-Range Planning Process

3. Planning Integration. This phase provides structured
    cross-program communications, facilitated by the
    Plans, Policy, and Evaluation Division (G-CPP), and
    under the guidance of the Director of Resources
    (G-CRC).   This element ensures a thorough review of
    program intentions expressed in the Program Direction
    and involves initial review by G-CPP, a peer level
    review by Program Managers, a second G-CPP review, and
    a Chief of Staff (G-CCS)/G-CRC review with Program
    Directors.   These layers of review within this element
    assure adequate cross-program communication.
        Following submission of draft Program Directions,
    G-CPP performs an initial analysis that identifies
    gaps, overlaps, inconsistencies, and common themes
    among the Program Directions received.   G-CPP then
    coordinates a series of briefing events, where the
    Program Manager presents a draft Direction to other
    Program Managers and their staffs.   The briefing
    provides a forum to communicate, explain, defend, and
    accept comments on planning.   It is also a means for
    other Program Managers to assess how other office's
    planning may affect their programs, to have input into
    other Programs' planning, and to accept input for
    their own planning.   Staffs may participate for
    internal communications and training; the principals
    (Deputy Office Chiefs and/or Program Managers) must be
    the presenters/discussers.
        Following the briefing events and upon receipt of
    the minutes and any other input from other Program
    Managers, Program Directions may be revised, if
    needed, approved by Program Directors and submitted to

G-CRC. The final Program Directions and the minutes of the briefing event are collated into a document called the Planning Book. In this book, G-CPP identifies to G-CCS/G-CRC the issues that require further review. These significant planning issues are resolved during the Planning Event, the final stage of the Planning Integration phase.

The Planning Event is a topic-based meeting between G-CCS/G-CRC and the affected Program Directors to discuss the planning issues that either have not been resolved in the earlier stage of this process or are of such significance as to require further discussion. Most of the unresolved issues in the Program Directions are addressed during this event. The key result of the planning integration element is G-CCS conditional approval of most planning, with the exception of those items needing higher level review and resolution. These items would generally be those significant resource or policy items needing top management attention. The planning integration element introduces Coast Guard advocacy and its associated constraints, resulting in a transition from program advocacy planning to Coast Guard advocacy planning.

4. Review and Approval. The overall objective of the third step, Review and Approval, is to obtain planning direction from the Commandant (G-C). At his/her option, G-CCS suggests to the Vice Commandant (G-CV) any items identified during the Planning Event for possible review by the Senior Advisory Group (SAG). All Program Directions, with the high level issues discussed at the Planning Event or at the SAG meeting highlighted, are forwarded to G-C for review and approval. G-C's action and final approval are documented in the Coast Guard Direction (either Support or Operating depending on the year). The Coast Guard Direction document, enclosing all previous planning products, is published and distributed.

5. Action Planning. Action Planning/Business Plans, the last component of the planning process, develops specific business objectives that support the long-range planning approved in the earlier elements of the planning process. The purpose of Business Plans are to propose specific actions to be taken in the short-term (under 5 years) to meet the Program's strategic goals and to support the Commandant's Executive Business Plan. The Program Manager prepares the Business Plan which is approved by the Program Director. Action Planning provides discipline to the SPPBEES since RCPs and reprogramming requests must be consistent with the Business Plans.

6. Linkages. The planning process has been designed to link the processes at either end, Strategic Planning upstream and Programming downstream. It also documents links to the Capital Investment Plan (CIP) and to the acquisition processes through the Mission Analysis and Mission Analysis Report (MAR) processes. Some parts are top-down driven 'Commandant's Direction, Commandant's Executive Business Plan, and Program Directions) while others are bottom-up driven (Action/Business Planning). The process recognizes that top management is good at deploying strategy, completing specific long-range planning, and establishing strategic direction, while middle management is good at determining short-range actions needed to accomplish these strategies. Paperwork is kept to a minimum because the process of planning is at least as important as the product.

C. Major Documents. Successful implementation requires the integration of the following documents:

1. Coast Guard Vision Statement. The Coast Guard Vision Statement is the initial strategic document feeding the long-range planning process. The Vision Statement sets forth, in broad terms, G-C's view of the direction the Coast Guard will take in the future. It is a policy guidance document which provides a common foundation for all planning at Headquarters and in the field. Chapter 5 discusses the Coast Guard's Strategic Planning process in detail.

2. Commandant's Direction. The Commandant's Direction (COMDTINST 16010.12 series) is the second major strategic document feeding the long-range planning process. The Commandant's Direction contains a set of strategic goals and corresponding objectives that links the Vision Statement to the Program Directions. The Commandant's Direction is based on the core missions of the Coast Guard and is carefully aligned with the DOT Strategic Plan. Like the Vision Statement, but with more specificity, the Commandant's Direction provides a common foundation for all planning at Headquarters and in the field. The Commandant's Direction establishes the basis for developing the Commandant's Executive Business Plan.

3. Commandant's Executive Business Plan. The Commandant's Executive Business Plan (COMDTINST 16010.13 series) serves as the bridge between strategic planning and short-range planning. It takes the strategic goals contained in the Commandant's Direction and adds supporting objectives, milestones, and executive performance indicators. It provides the basis for measuring and evaluating Coast Guard

accomplishments. G-CPP assists G-CV and G-CCS in developing this document and monitoring progress in achieving objectives.

4. Program Description. The Program Description describes the program, its activities, resource use and measures. It is prepared by the Program Manager and approved by the Program Director. Chapter 7 describes Program Descriptions in more detail.

5. Program Direction. The Program Direction is a qualitative assessment of the direction a program must take to meet the goals and objectives contained in the Commandant's Direction. It is a dynamic look at a program, meant to raise strategic issues and to challenge previous assumptions.

   Approved Program Directions (as constrained, integrated, or amended in the overall planning process) become a principal component of the G-CCS/ G-CRC guidance to the Programming and Budgeting processes. Program Directions also assist Program Directors/Managers in linking their own strategic goals to top management's vision and strategic goals.

   Program Directions for operating programs are submitted in the fall of even calendar years while support and facility manager Program Directions are due in the fall of odd calendar years. Chapter 7 contains instructions on preparing Program Directions.

6. Coast Guard Direction. The Coast Guard Direction is a compilation of the G-C-approved Program Directions and any additional G-C/CCS guidance.

7. Business Plan. While the Program Description describes the program, and the Program Direction says where the program is headed, the Business Plan outlines how the program plans to get there. It focuses on reaching measurable results against clearly defined standards of performance.

   The Business Plan is derived from the approved Program Direction, and it represents a tactical document that contains specific business objectives supporting the Program's goals/directions and the Commandant's Executive Business Plan. These business objectives are focused on specific actions to be taken over the next several years to accomplish, or at least begin to move towards, the G-C's/Program's strategic goals.

   Chapter 7 of this Manual provides examples of both Operational and Support Business Plans. While Business Plans for the operational programs and support programs are developed in the same way, the focus of the plans is different.

a. Operational Program Business Plans are driven by mission and mission needs. They address resource application, policy requirements, specific operational initiatives and long-range mission needs. Operational Program Directions and Business Plans essentially address the services provided to the public by the Coast Guard.

b. Support Program Business Plans focus on providing service to the operational programs so they may accomplish their missions. Support Program Directions and Business Plans address resource application, policy requirements, specific support initiatives and gaps in capabilities needed by the operational programs. These plans address the Operating Programs as principal customers.

8. **Mission Analysis Planning/Mission Analysis Report (MAR).** Continuous analysis of the "mission" is vital to, if not the most important component of, good planning. The purpose of Mission Analysis Planning is to continually assess the ability of the Coast Guard to successfully carry out a specific mission in the future. Where deficiencies in functional capabilities exist or are projected to exist, Mission Analysis Planning should identify the additional functional capability or process changes necessary to meet the deficiency. When functional deficiencies begin to look like they may lead to a major Coast Guard acquisition, Program Manazgers must begin to document Mission Analysis Planning into a Mission Analysis Report (MAR). The MAR is the on-paper "snapshot" of this day-to-day mission analysis. Chapter 11 discusses the MAR in detail.

9. **Studies.** G-C, G-CCS, G-CRC, and Program Directors may direct special studies. These studies provide additional information for decision making on potential program changes, resource utilization, and needs for new acquisitions that would extend beyond the normal planning horizon. Studies which impact the SPPBEE System provide an important feedback loop to the system. These studies may result in changes to the Program Direction, or to the next SPPBEES cycle of Budget Year Issues. Chapter 16 discusses studies in detail.

D. **Point of Contact.** For further information or guidance, please contact Commandant (G-CPP), Ph (202) 267-2355.

Figure 6-2
Coast Guard Planning Process
(With Timeline)

LEGEND:

☐ : Process

⬡ : Product

▷ : Event

Chapt.6.Fig.6-2
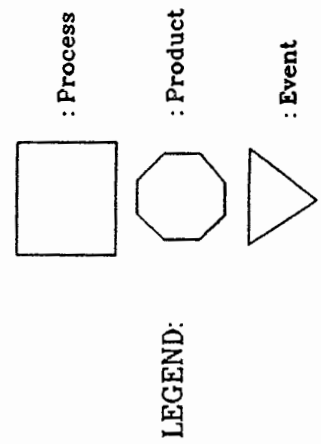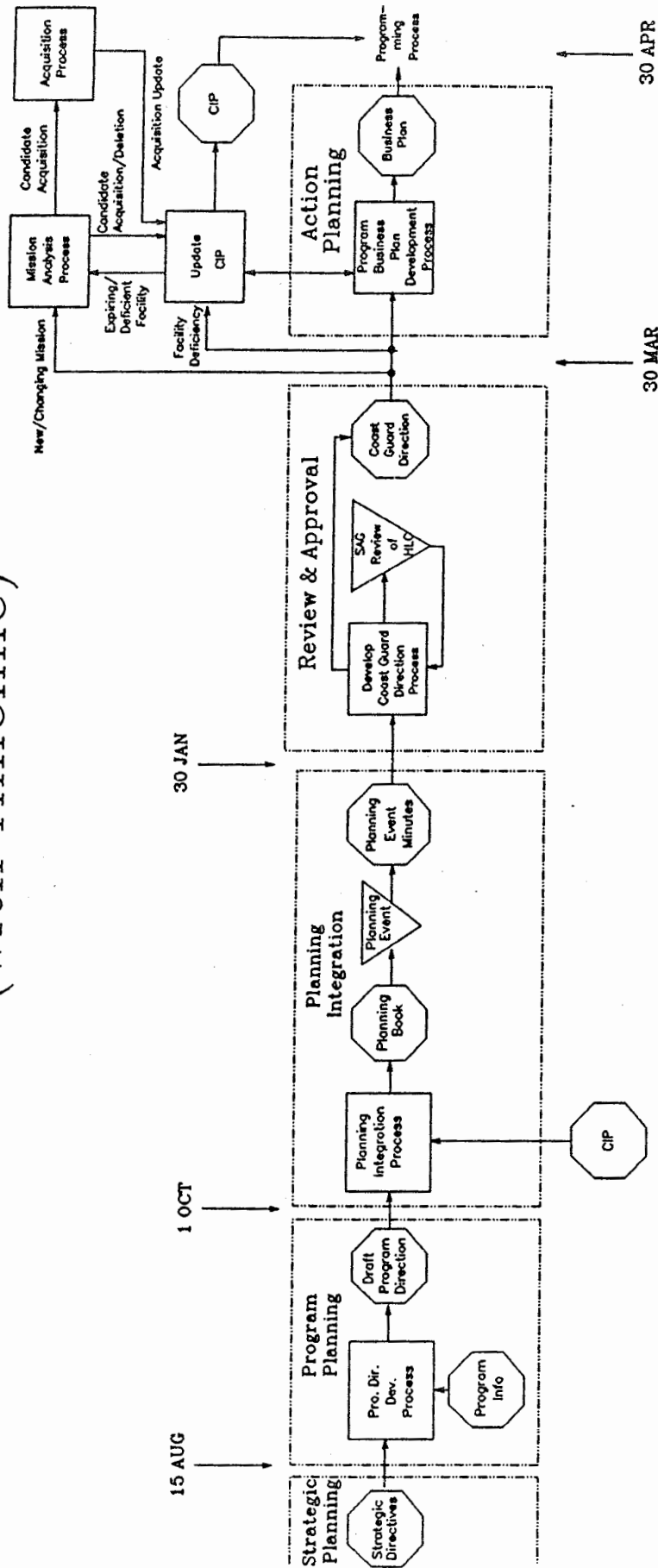
CHAPTER 7. INSTRUCTIONS FOR HEADQUARTERS PLANNING DOCUMENTS

A. Format. This section contains formats for Program
    Descriptions, Program Directions, and Business Plans.
    Definitions of pertinent terms can be found in the
    glossary (Chapter 18).

    1. Program Description. Below is the format for Program
        Descriptions. Program Directors/Managers should
        consider principally their normal (peacetime)
        responsibilities.

        a. Section I: Program Statement. This brief
            narrative summary describes the routine
            responsibilities of the program, the national need
            for the program, its statutory authority, DOT and
            Coast Guard missions designed to meet the stated
            needs, and Program capabilities required.

        b. Section II: Program Resources. This is a brief
            statement of what the Program uses to accomplish
            its mission. In general, this is a list of the
            resources (facilities, people and C3/IRM systems)
            and how they are used. Detail should be adequate
            so that the reader will understand how this
            program meets its responsibilities. For example,
            the SRA (Short Range Aids to Navigation) program
            would list the number and type of buoytenders and
            buoy boats that service aids to navigation. The
            number of personnel (military and civilian), both
            cutter and non-cutter, that carry out or directly
            support the SRA program should also be listed.

        c. Section III: Program Goals/Objectives and
            Standards. This section shall identify and place
            in a descending priority order (most important
            first) the goals/objectives of the Program. They
            must be results-oriented, quantifiable, and
            measurable. Indicate how and why these specific
            goals/objectives are selected and discuss how
            their priorities are determined. In addition,
            every Program, whether operating or support,
            should have a corresponding performance standard
            for each objective. Performance standards are a
            level of performance against which actual
            achievement can be compared and must be both
            measurable and attainable. If at all possible,
            they are to be developed and periodically
            validated in consultation with those receiving the
            Program's services. For example, one of the
            objectives of the Search and Rescue Program is to

save 90% of the lives in danger after a distress
call is received. An example of a performance
standard relating to this objective is that the
Coast Guard will launch a resource within 30
minutes of receiving the distress call.

d. Section IV: Performance Measures.

(1) Initially, these are generally the criteria
used to determine how well Program standards
are being met. Ultimately, they will be
criteria that show the "value-added" by the
Program, in terms understandable by the source
authority and the customers. Programs should
select measures that either quantify the
outcomes of their program (for example, number
of substandard ships prevented from entering
U.S. ports), or that serve as performance
indicators (for example, the amount of illicit
drugs confiscated). The ultimate goal of
performance measurement will be to define and
quantify outcomes that result from program
activities.

(2) Performance measures enable managers to know
how close they are to meeting their program
goals/objectives and standards and how to make
the right decisions for continuous
improvement. Having measures provides the
most reliable basis for day-to-day management
decisions. Where good measures exist, good
planning and evaluation are not far behind.
If Program Directors are having difficulty in
selecting appropriate measures, they may
contact the Program Measurement and Evaluation
Branch (G-CPP-2) for help. G-CPP-2 will work
with the Program Managers to select mutually
agreeable measures.

The benefits of measures include:

(a) Knowing that customers are receiving a
specific level of service because the
indicators are measuring it accurately.

(b) Providing a way to give concrete feedback
to a work group and to verify its
progress.

(c) Establishing a basis for reward and
recognition.

(d) Providing a means of assessing progress
and signalling the need for corrective
action.

(e) Reducing the costs of operations by eliminating costs of defect correction.

(3) Changes and justifications for funding will discuss how the application of the funding or the lack of funding will impact the chosen performance measures.

(4) Section IV, Performance Measures, forms the basis for measuring program results. Also see Chapter 12 on Program Measurement and Evaluation.

e. Section V: Any Other Pertinent Information. As the title implies, this is optional, at the author's discretion. For planning purposes, it should be brief and relevant.

2. Program Direction. Below is the suggested format for the Program Direction. The Program Direction can be free-form at the Program Director's option as long as it covers the essential elements described below. However, Program Directors/Managers shall consider only their normal (peacetime) responsibilities.

a. Section I: Customers/Competitors/Stakeholders. Who are your customers, competitors, and stakeholders? This section identifies and lists a program's customers, competitors, and stakeholders.

b. Section II: Customers' Needs and Expectations. What will your customers want? This is an identification of major Coast Guard services these customers need and expect between the next 4 to 15 years and beyond. Rigorous, specific identification of customer markets and their desires will enable programs to attach direct or proxy quantitative external measures to the program. Subsequently, these measures should be used to set minimum standards and goals for the long-range outlook. Specific, definite measures and goals at this point will enable business planning to be focused on specific long-range goals and aligning activities and shorter time frame measurements to external customers and all stakeholders.

c. Section III: Strategic Driving Forces & the Customer. How will strategic driving forces affect your customers' future needs? This discussion should identify the strategic driving forces that may change the future operating environment for your customers. It should include

both supporting and restraining/opposing forces and should be listed by the following categories:

  (1) International and domestic politics

  (2) Societal trends

  (3) Emerging technology

  (4) Environment

  (5) Economics

  (6) Administration (President's) initiatives

d. Section IV: Strategic Driving Forces & the Program. How do you believe that the strategic driving forces will affect your program's ability to meet your customers' changing needs? How will your competitors respond? In this discussion identify the strategic driving forces that you believe will change the future operating environment for your program. Also discuss how you believe your program's competitors will respond.

e. Section V: R&D Opportunities. What opportunities are there in your program to utilize R&D? What program goals can R&D help you achieve? (Also see Chapter 8 on R&D Planning.)

f. Section VI: Macro Changes Needed. What macro changes do we need to make to continue to serve our customers' needs? This section discusses the major changes that are needed over the next 15 years to meet the program's customers' future needs. Also include, where applicable or known, the resource (facilities, people, and C3/IRM systems) implications for each macro change.

g. Section VII: Rightsizing. What parts of your program would you reduce to meet a 10% OE reduction? What parts of your program would you increase if the program (OE) was allowed to grow by 10%? (Will be used to feed the multi-year budget strategies (MBS).)

3. The Business Plan. As long as business objectives/ activities are clearly linked to a program's goals, the specific format for a Business Plan is at the discretion of the respective Program Director/ Manager. However, guidance discussing new requirements (Government Performance and Results Act of 1993, National Performance Review, etc.) that should be addressed in Business Plans will be provided

via memo. Examples of various types of Business Plans follow.

a. Below is an example of an operational program strategic goal with supporting Business Objectives paraphrased from the G-M Business Plan.

EXAMPLE #1.

Strategic Goal: Our Marine Safety and Security Program is aimed ultimately at eliminating deaths, injuries, and economic loss associated with marine transportation. Over five years (1994-1998) we will pursue this goal by

1) Reducing accidental deaths and injuries from commercial maritime casualties by 20%,

1993 Baseline	1995 Target	1998 Target
53	49	42

2) Reducing the risk of passenger vessel casualty with major loss of life by 20%,

1993 Baseline	1995 Target	1998 Target
66	61	53

3) Reducing fatality rates aboard uninspected fishing and towing vessels halfway toward the average of the U.S. inspected fleet,

1993 Baseline	1995 Target	1998 Target
61 (fishing)	54	42
69 (towing)	60 .	47

4) Eliminating substandard commercial vessels from U.S. waters, and

1993 Baseline	1995 Target	1998 Target
93	N/A	0

5) Reducing the vulnerability of U.S. ports and waterways to intentional damage or injury, by 50%. (baselines & targets being developed)

We will achieve these goals through two major, overarching themes that will guide the direction and management of our programs: 1) Prevention Through People, and 2) Quality Safety and Environmental Protection Through Partnerships.

Selected areas of business focus is a key component of the overall strategy. These areas of mission emphasis are intended to be used in setting priorities and making decisions: 1) Human Factors, 2) Port State Control, 3) Fishing & Towing Vessel Safety, 4) Incidents of Significant Impact, 5) Quality Management, and 6) Competitiveness of the U.S. Fleet. (Further explanation is in the G-M Business Plan.)

Measure #1.   Fatalities per 100,000 workers.

Measure #2.   Vessel accidents per 1,000 passenger vessels.

Measure #3.   Fatalities per 100,000 vessel crew members.

Measure #4.   Number of interventions per 100,000 port calls.

Measure #5.   Rate of successful security intrusions, by test.

       b.   Below is an example of a support program strategic goal with supporting business objectives paraphrased from the Health Services Program Business Plan.

EXAMPLE # 2.

Strategic Goal: Maintain a fit and healthy active duty workforce. The primary mission of the Health Services Program is to maintain the health and well-being of the active duty workforce.

Measure: The total number of days not fit for full duty per member per year.

Target Performance Level: Rate equal to or less than that of DOD military personnel.

Implementing Actions: Obtain and track active duty readiness data. (Availability, validity, and cost of data need to be determined before baseline and target can be specified.)

B.   Updates.

    1.   Program Descriptions are expected to be relatively stable documents. Only rarely should an entire document need updating. When minor revisions are required, Program Directors/Managers may choose to distribute only those pages that have changed. Program Managers shall update Program Descriptions for Program Director approval (with a copy to G-CCS, G-CRC, and all other Program Directors) when:

       a.   There is a major change to program resource levels or to the program itself.

       b.   New performance measures are proposed.

       c.   So directed by G-CCS/CRC input/feedback or when determined as needed by the Program Director.

    2.   Program Directions shall be updated at least every two years. Operating Program Directions are required to be submitted by 1 October of even years while

Support/Facility Program Directions are required by 1 October of odd years.

3. Business Plans are updated at the discretion of the Program Director. However, it is highly recommended that they be reviewed every year as part of an in-house performance assessment and updated every two years.

C. <u>Points of Contact</u>. For further guidance on the Coast Guard planning process, contact Commandant (G-CPP-1), Ph (202) 267-2354. For questions concerning measurement, contact Commandant (G-CPP-2), Ph (202) 267-1137.

CHAPTER 8. RESEARCH AND DEVELOPMENT (R&D) PLANNING

A. Concept.

    1. The R&D Program is a support program that provides its services to the other operating and support programs of the Coast Guard. Planning for the R&D Program must be derived from the long-range goals and objectives of the programs it supports. The desired state is an R&D Program that provides the process for conducting credible, measurable, goal-oriented research and development that is aligned with and linked to the integrated strategic goals and business objectives of the Coast Guard. This linkage is paramount if the planning process is to foster a research and development program that is focused, yet risk tolerant, flexible, and balances the long- and short-term needs of the Coast Guard.

    2. By basing the R&D Program on the long-range goals of all other programs and using the existing Coast Guard long-range planning process to identify these goals, we will ensure customer-focused R&D efforts that are responsive to mission-driven needs. At the same time the R&D Program must play into the overall Coast Guard Strategic Planning Process so it can identify emerging technological opportunities for Program Directors and strategic planner consideration. The long-range planning process must recognize the strategic need to maintain critical, core technical expertise for Coast Guard mission areas. The Coast Guard has a unique requirement to support programs in these mission areas through its R&D program.

B. Link To Strategic Planning.

    1. The R&D Program has a key role to play in the overall strategic planning process of the Coast Guard. As the repository of a considerable amount of forward-looking technical expertise and projects that focus that technical expertise on emerging technology and its application to the Coast Guard, the R&D Program needs methods to formally enter the strategic planning process of the Coast Guard.

    2. The Strategic Planning Staff (G-CX) will task the R&D Program to develop specific technology-based assessments and to work with other strategic planning efforts on broader issues that have a technical component. The process needs a formal and systematic method for the R&D Program to perform technical assessments that will feed the strategic and long-range planning process.

    3. The R&D Program is required to provide a broad-range technical assessment of emerging technology and its

possible effects on the Coast Guard as program
information. This assessment is provided as program
information prior to the beginning of each planning
cycle. In years that are focused on operational
programs, this technical assessment is focused on
operational programs and in years that are focused on
support programs, this technical assessment is focused on
support programs. R&D's assessment will focus on
emerging technology and its application to the Coast
Guard. The technical assessment will feed the
development of draft Program Directions and will be
discussed during the Briefing Events. Possible
technological target areas can be suggested and passed on
for further discussion at the R&D Planning Event. This
assessment becomes the Coast Guard R&D-conducted scan of
the technical environment outside the Coast Guard. This
scan fits well with the G-CX generated external
technology scan... which is more broadly based and has a
strong external point-of-view.

C. Link To Program Planning.

   1. An assessment of past performance is a key component of
       program planning. For R&D planning purposes, an
       important part of the assessment of past performance is
       described in the R&D Measurement Plan. Each year the
       Chief of Staff will call upon the sponsors of R&D
       projects to report on the use and benefits of recent R&D
       project deliverables. As a program planning feed to the
       Program Director, the R&D program will provide a broad-
       based R&D prospectus. This will be comprised of a
       summary of all assessments of recently delivered R&D
       products, a status report on ongoing efforts and
       recommendations for new R&D efforts. The Program
       Directors use the R&D prospectus along with other program
       information and input from the strategic planning process
       to build their section on future R&D opportunities for
       the draft Program Direction.

   2. Each program is required to address R&D opportunities,
       i.e., identify the goals they think R&D can help them
       achieve, in their Program Direction. The R&D Program may
       itself need R&D support and would include this in the R&D
       Program Direction, just like any other program.

D. Link To Planning Integration.

   1. The R&D Program Manager attends the Briefing Events and
       participates in the dialog, focusing on the R&D
       opportunities identified by each program. As the expert
       in R&D, the R&D Program Manager will critically review
       all draft Program Directions for other R&D opportunities
       that may not be readily apparent to the submitting
       Program Director. These items will be raised as part of

the Briefing Events. Input, both oral and written, will be used by the affected program to adjust the Program Direction and submit it to the Chief of Staff for final approval.

2. Using the information on R&D contained in the final Program Directions, there is a mandatory R&D Planning Event, that includes all Program Directors. In general, the R&D Planning Event will attempt to focus the future R&D program based on the output of the Briefing Events and the revised and final Program Directions.

E. Link To Review and Approval Process.

1. The Planning Book, entering the Review and Approval stage of the planning process, contains all Program Directions, as finally submitted in the Planning Integration process, and the Planning Event Minutes. With the changes made upstream, the process will result in a part of each Program Direction focused on future R&D opportunities along with the Planning Event minutes from the mandatory R&D Planning Event. R&D initiatives, issues, and options will be derived during Planning Integration from concerns expressed in the Program Directions.

2. Based on the R&D portion of the planning approval process, candidate R&D opportunities or topics from the planning process are proposed for SAG review by G-CCS; G-CV will approve the SAG Agenda. G-CCS may designate appropriate Program Directors for SAG presentations, including the R&D Program Director. Following SAG deliberations, G-CCS will consider the guidance offered by the SAG and direct necessary modifications in the appropriate Program Directions. Lastly, the *Coast Guard Direction* may include specific initiatives in areas of R&D directly linked to the program business plan development process.

F. Link To Action Planning.

1. Each business plan will address specific R&D initiatives required to support the execution of the program's long-range goals. At this point in the process we are beginning to add detail to the kinds of R&D actions that the Program sees supporting the long-range goals. This includes validation of ongoing multi-year R&D projects. Downstream in the programming process, all R&D requests must be consistent with and directly support the Program's Business Plan.

2. The R&D Program Manager will also prepare a Business Plan. However, this Business Plan will focus on the management of the R&D program so that it can deliver the necessary R&D work in the most efficient and effective

way. It may also address specific actions required to insure meaningful technical assessments, addressing the needs of the Coast Guard Strategic Planners, are provided before each planning cycle.

G. Basis of the *R&D LONG-RANGE PLAN*.

   1. The basis for the Coast Guard's R&D Long-Range Plan is the entire Coast Guard strategic and long-range planning process. During each of the process steps, the case for an R&D action is presented, challenged, refined and validated. Step by step, the project context and alignment with higher level corporate and business strategies is established, evaluated, and affirmed. Cross-project initiative linkages and dependencies are surfaced and relative priorities within and across program areas are formed. A macro-level projection of programmatic benefits is formulated along with assessments of project risks and costs. The result of this entire process is documented in the *Coast Guard Research and Development Long-Range Plan.*

   2. The Plan consists of two basic parts: a summary of the R&D components of each program's Business Plan (the body of the plan) and a project plan for all current and projected R&D project initiatives (found in the addendum).

   3. The **body of the plan** is drawn primarily from each program's Business Plan. In the Business Plan the long-range goals of the program are supported by business objectives. Some of these long-range goals will have an R&D business objective. The sum of all the R&D business objectives collected across all the program Business Plans is the basis for the R&D Long-Range Plan.

   4. Before discussing the R&D Long-Range Plan, consider the following illustration (figure 8-1). The cube represents the entire long-range plan for the Coast Guard as built by the long-range planning process. The face of the cube.... Long-Range Goals by Program is the Coast Guard Direction. Behind this face are the business objectives contained in the program Business Plan derived from this Coast Guard Direction. As you see in the figure, some of the business objectives have an R&D component... these are shown shaded. The sum of all the R&D business objectives contained in the cube is the foundation for the Coast Guard's R&D Long-Range Plan.
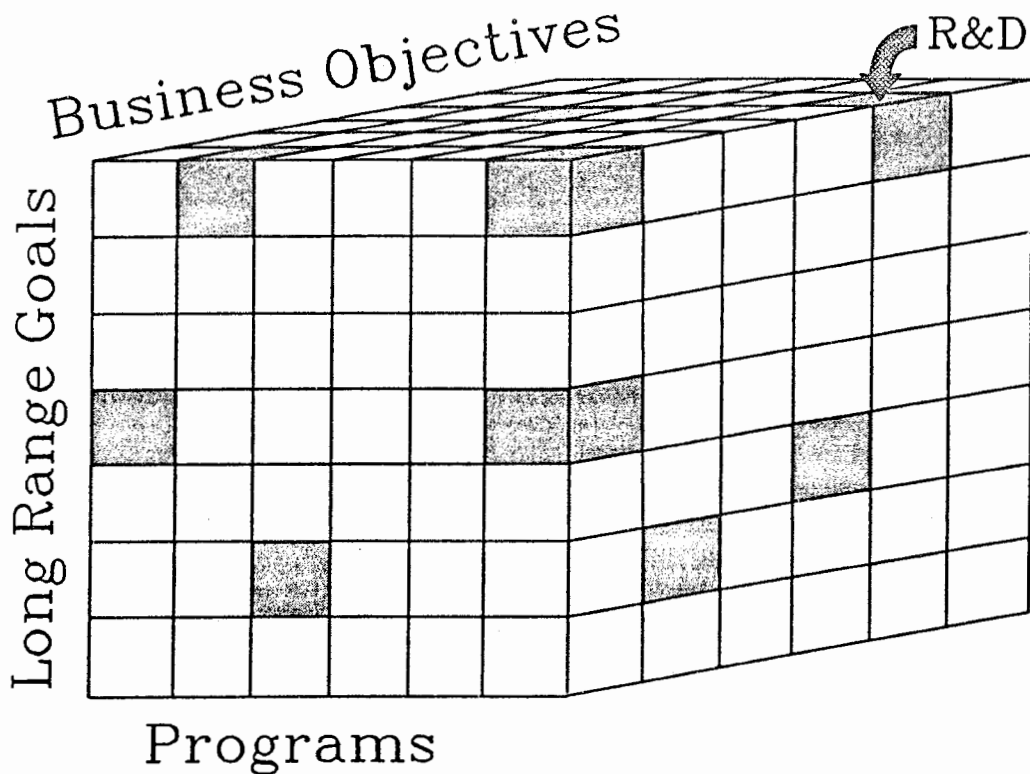
Figure 8-1

5. This collection of R&D-related business objectives is the
    basis of the R&D Long-Range Plan. But all R&D Long-Range
    planning doesn't end here. These business objectives are
    fairly macro and the specific R&D tasking needs more
    detail. At this stage of the process we begin to move
    from long-range planning to programming. We need a
    transitional process that adds more detail to the R&D-
    related business objectives prior to entering the pure
    programming process. This transitional process is
    outlined in section H. below.

6. This background brings us to the second part of the *Coast
    Guard Research and Development Long-Range Plan* -- the
    R&D Project Plan found in Addendum A. Please refer to
    the sample spreadsheets for Addendum A and the R&D
    Program Plan on pages 8-8 and 8-10.

H. Transition From Long-Range Planning To Programming.

1. At this stage of the process the Program Managers, with
    their approved Business Plan, engage in a working level,
    informal dialog with the R&D Program Manager. The
    purpose of the working level dialog is to begin the
    development of details about specific R&D project efforts

that will support the program's Business Plan and thus the long-range goals found in the program's Program Direction. As a minimum, this dialog needs to:

    a.   Establish alignment and agreement between the project sponsor and the R&D community. Hopefully, fostering an understanding of the problem and how R&D can help solve the problem.

    b.   Begin to develop multi-year RDT&E budget estimates for the specific projects.

    c.   Establish the measures for determining the effectiveness of the effort.

    d.   Establish an estimated cost/benefit for the effort using the budget estimates and the measures established above.

2.   Much of this information is documented in the "Request for R&D Support" and within the R&D response to this request in the form of a "Project Proposal" (see HQINST 5401.6, Obtaining and Coordinating RDT&E Services). This jointly-developed information is required before meaningful programming can take place and it must be captured and packaged into a consolidated plan.

3.   With the R&D business objectives of each program as a basis, combined with the details developed in the "Request for R&D Support" and Project Plans, we are ready to build a detailed USCG R&D Long-Range Plan.

I.   <u>The R&D Long-Range Plan With R&D Project Plan (Addendum A)</u>.

1.   <u>The R&D Project Plan</u>. The final challenge in the R&D process is to develop a true project plan that will focus the efforts of the follow-on R&D Programming Process as it builds the R&D Program Plan.

2.   What's needed is a mechanism to capture and display:

    o   Project alignment and priorities;
    o   Project scope, phasing and costs;
    o   Linkages to other projects;
    o   Dependencies to other projects;
    o   R&D investment to date;
    o   Effects on the total R&D project plan when project scope or timing is changed; and
    o   Effects on program plans when project scope or timing is changed.

3.   The R&D Project Plan (Addendum A) provides this mechanism and forms the foundation for the programming actions

documented in the R&D Program Plan. Addendum A consolidates project information found in the plan. The USCG R&D Long-Range Plan is the combination of all the program business objectives as approved in the Coast Guard Direction that require R&D.

4.   As discussed above, the R&D long-range goals and business objectives are derived from the Business Plans. In some cases, R&D projects already exist, as displayed in the "OPSTAGE" and "CONG-STAGE" columns. This information is important to show context and continuity and to help set priorities. The next five years, starting with the current budget year (BY), represents the R&D Project Plan. The first year of the five year plan (the BY), after it goes through the R&D Programming Process, becomes the R&D FORECAST STAGE budget request and can be directly inserted in the Coast Guard's FORECAST STAGE budget build.

5.   The OPSTAGE and CONG-STAGE projects will have refined out-year cost streams displayed. For the new projects, this information is derived from the R&D project proposals prepared jointly by the sponsor and the R&D staff. Project priorities and inter-project dependencies and linkages are reflected in the sequencing of project funding so that the ripple impacts of project acceleration, slippage or changes in scope on other projects can be assessed.

6.   It's important to note that all validated projects, regardless of priority, "make the plan" with projects of lower priority being deferred to the out years. Project timing in the R&D Project Plan is a function of program Business Plan priority, statement of need, ability to execute, affordability and overall CG priorities.

7.   The R&D Programming Process facilitates the transformation of the **R&D Project Plan** into the **R&D Program Plan** (see page 8-10). This entails:

o   Final validation for the use of the RD appropriation;
o   Assessment of executability;
o   Refinement of cross-project linkages and dependencies;
o   Refinement of project scope, phasing and costs;
o   Combination of related projects (synergy);
o   Assignment of BY funding priorities; and
o   Preparation of a balanced, executable R&D program plans that meets alternative BY budget marks.

8.   The R&D Long-Range Plan is a product of both long-range planning followed by the R&D programming process. The long-range R&D plan is built during the programming phase using the R&D requirements derived from the long-range planning process (these are detailed in the requests for

TABLE 8-1

ADDENDUM A

R&D PROGRAM PROJECT ELEMENT	SPONSOR'S NEED FOR RDT&E PROJECT	PROJECT SPONSOR	OPSTAGE FY-95	CONG STAGE FY-96	FIVE YEAR RDT&E BUDGET PLAN				
					BY FY-97	BY+1 FY-98	BY+2 FY-99	BY+3 FY-00	BY+4 FY-01
RDT&E LONG RANGE GOAL I		G-X	$75 K	$95 K	$180 K	$180 K	$140 K	$75 K	$0 K
Element X/xxxx.xx	Business Objective 1	G-XXX	$75 K	$60 K	$50 K	$50 K	$40 K	$0 K	$0 K
Element X/xxxx.xx	Business Objective 2	G-XXX	n/a	$35 K	$80 K	$100 K	$100 K	$75 K	$0 K
Element X/xxxx.xx	Business Objective 3	G-XXX	n/a	n/a	$50 K	$0 K	$0 K		
RDT&E LONG RANGE GOAL II		G-X	$85 K	$100 K	$150 K	$100 K	$100 K	$50 K	$0 K
Element X/xxxx.xx	Business Objective 1	G-XXX	$50 K	$50 K	$50 K	$0 K	$0 K		
Element X/xxxx.xx	Business Objective 2	G-XXX	$35 K	$50 K	$100 K	$100 K	$100 K	$50 K	$0 K
RDT&E LONG RANGE GOAL III		G-X	$0 K	$0 K	$145 K	$270 K	$190 K	$20 K	$0 K
Element X/xxxx.xx	Business Objective 1	G-XXX	n/a	n/a	$75 K	$150 K	$100 K	$0 K	
Element X/xxxx.xx	Business Objective 2	G-XXX	n/a	n/a	$40 K				
Element X/xxxx.xx	Business Objective 3	G-XXX	n/a	n/a	$30 K				
RDT&E LONG RANGE GOAL IV		G-X	$75 K	$40 K	$50 K				
Element X/xxxx.xx	Business Objective 1	G-XXX	$75 K	$40 K	$50 K				
Coast Guard Total (all programs):			$25,000 K	$22,000 K	$80,000 K	$235,000 K	$15,000 K	$10,000 K	$5,000 K

Callout: The first year of the five year plan is the RDT&E program for the FORECAST STAGE budget build. It reflects a validated, balanced & executable plan. Alternative planned RDT&E programs can be generated by specifying different appropriation marks (which in turn will generate a cascade of project shifts).

ADDENDUM A: INITIAL LRP PROJECT PLAN - "Unconstrained"

This is a complete listing of all known RDT&E projects. All projects have been screened and validated by the CG's Long Range Planning process and reflect the overall macro priorities in the Commandant's Directions.

This is the RDT&E Project Plan that is generated by the LRP process and published as Addendum A to the RDT&E Long Range Plan. It is the entering data to the RDT&E Programming Process. The projects are arrayed to reflect known linkages, dependancies and timing requirements.

In this case the project backlog for the BY totals $80M.

Note that some projects have enough definition to have out-year funding requirements known. Also, the project linkages and dependancies are known [and recorded in the project number coding].

A plan like this cannot go directly into the CG's programming process due to the unrealistic total funding requirements and wide variance in the current BY and outyears. It also needs final validation of RDT&E appropriation, assessment of project executability and a more refined definition of project scope and inter-project synergism.

R&D support - the first step in the R&D programming process) in combination with ongoing work and prior year plans. The budget list is that portion of the multi-year plan that must be submitted for the upcoming budget year. In a mature planning system, the long-range planning process feeds new requirements or adjustments to old requirements to produce an updated plan. Because the status of ongoing efforts is an important part of program information, these updates reflect positive and negative results of projects that have already been started.

9. Many R&D efforts are multi-year. The R&D Program will provide a status report as a feed to the planning process. Ongoing projects do not necessarily have to be linked to future long-range goals or business objectives... their linkage is to some past plan or some unanticipated short-term opportunity. However, if something changes that renders these goals/objectives obsolete, the program's Business Plan might result in a cancellation of effort or a significant change of direction for the R&D work. This, of course, can happen at any time in the long-range planning process.

J. Long-Range Planning Process Flow Diagram. Figure 8-2 on page 8-11 illustrates the long-range planning process flow diagram as it fits with the Coast Guard's SPPBEES. This is the same flow diagram used to pictorially display the Coast Guard's Long-Range Planning Process with the R&D elements as discussed above. Two complete budget years are shown to illustrate the connectivity between the parallel cycles. Note the key linkage of the process to the programming process.

K. Points of Contact. For further guidance on the R&D planning process, contact Commandant (G-CPP-1), Ph (202) 267-2354 and Commandant (G-ER), Ph (202) 267-0912.

TABLE 8-2

ADDENDUM B

R&D PROGRAM PROJECT ELEMENT	SPONSOR'S NEED FOR RDT&E PROJECT	PROJECT SPONSOR	OPSTAGE FY-95	CONG STAGE FY-96	BY FY-97	FIVE YEAR RDT&E BUDGET PLAN			
						BY + 1 FY-98	BY + 2 FY-99	BY + 3 FY-00	BY + 4 FY-01
	RDT&E LONG RANGE GOAL I	G-X	$75 K	$95 K	$110 K	$180 K	$140 K	$75 K	$0 K
Element X/xxx.xx	Business Objective 1	G-XXX	$75 K	$60 K	$30 K	$50 K	$40 K	$0 K	
Element X/xxx.xx	Objective 2	G-XXX	n/a	$35 K	$80 K	$80 K	$100 K	$75 K	$0 K
Element X/xxx.xx	Objective 3	G-XXX	n/a	n/a	$0 K	$50 K	$0 K		
	RDT&E LONG RANGE GOAL II	G-X	$85 K	$100 K	$150 K	$150 K	$100 K	$50 K	$0 K
Element X/xxx.xx	Objective 1	G-XXX	$50 K	$50 K	$50 K	$50 K	$0 K		
Element X/xxx.xx	Objective 2	G-XXX	$35 K	$50 K	$100 K	$100 K	$100 K	$50 K	$0 K
	RDT&E LONG RANGE GOAL III	G-X	$0 K	$0 K	$0 K	$270 K	$190 K	$20 K	$0 K
Element X/xxx.xx	Objective 1	G-XXX	n/a	n/a	$0 K	$150 K	$100 K	$0 K	
Element X/xxx.xx	Business Objective 2	G-XXX	n/a	n/a	$0 K	$90 K	$60 K	$20 K	$0 K
Element X/xxx.xx	Objective 3	G-XXX	n/a	n/a	$0 K	$30 K	$30 K	$0 K	
Element X/xxx.xx	IV	G-X	$75 K	$40 K	$50 K	$50 K	$0 K	$0 K	$0 K
Element X/xxx.xx	Business Objective 1	G-XXX	$75 K	$40 K	$50 K	$50 K	$0 K	$0 K	$0 K
	Coast Guard Total (all programs):		$25,000 K	$22,000 K	$29,500 K	$235,000 K	$15,000 K	$10,000 K	$5,000 K

Callouts:
- This project reduce in scope; outyear flows adjust +/- as needed.
- This project slipped because another project it depended on was slipped.
- This project slipped by a year due to the funding mark constraints.
- This project found to not be appropriate for RDT&E funding; deleted.
- This project slipped by a year because it is not executable by current RDT&E infrastructure.

ADDENDUM B: RDT&E PROGRAM PLAN - Leveled Funding

This listing reflects three basic "value-adds" from the RDT&E programming process:

1- valid for RDT&E project appropriation
2- executable by RDT&E funding
3- orderly & executable slippages due to funding constraints

This is the first of several RDT&E Program Plans that can be generated by the RDT&E programming process. As an initial screen, it is simply taking the total backlog and forcing a level funding profile. It will be published as part of Addendum B to the RDT&E Long Range Plan when it is ultimately delivered to the CG Programming Process.

In this case the total project backlog was $150M; level funding would therefor be a nominal $30M/year. The actual totals may vary slightly from the "nominal" due to project deletions or scope changes.

This program plan is more realistic. The project scopes are refined, the legality of using RDT&E funds checked for the last time, project executability (in both a quantitative and qualitative sense) is validated, related projects combined, etc. Project slippages to meet the annual budget mark resulted in other project slippages due to interdependencies.

Please contact the sponsor in order to obtain a copy of Figure 8-2

CHAPTER 9. OPERATING RESOURCE PLANS

(UNDER DEVELOPMENT)

CHAPTER 10. SUPPORT RESOURCE PLANS

A. <u>General Information</u>.

   1. <u>Purpose</u>. Support Resource Plans (Support Facility Plan and Information Resource Management Plan) are analytical planning documents which project the amount of Coast Guard support capital needed to achieve the goals/objectives established in the Coast Guard Direction (approved Program Directions). Operating Resource Plans (for cutters, aviation, boats) are discussed in Chapter 9. Support capital resources include: IRM systems and shore facilities. The Support Facility and Information Resource Management Plans assist in the formulation of the Coast Guard Capital Investment Plan, which assign priorities to competing capital resource acquisitions over a 5-year time span.

   2. <u>Contents</u>. Support Facility and Information Resource Management Plans contain three sections:

      I.   Introduction

      II.   Analysis

      III. Requirements

      Section I will include an Executive Summary and an introduction. Section II contains the analysis effort, consisting of a discussion of the analysis methodology and a comprehensive examination of requirements. Analysis methodology, criteria, and premises, although developed by the program office responsible for producing the respective plan, will be thoroughly explained and presented in this section. The potential impact of technology, environmental compliance and other external factors should be considered and discussed. Results of the analyses will be presented in section III as Requirements.

   3. <u>Inputs</u>.

      a. The primary inputs to the Support Facility and Information Resource Plans are future resource (shore facilities and IRM systems, respectively) needs identified in the Program Directions/Business Plans. These needs begin to specify the types/amounts of resources determined by each Program Director to achieve program objectives within a 5-year time frame. In these documents the Program Director identifies the incremental resource changes needed in subsequent years.

b. Other sources of input to the Support Facility and
    Information Resource Management Plans are field-
    generated in the form of Planning Proposals, the
    Shore Facilities Requirements List, and AC&I Data
    Sheets originating with district commanders and
    commanding officers of headquarters units. These
    become competitive resource requirements upon
    receiving Headquarters approval.

c. Resource requirements brought to light by other
    means, such as special studies, or Congressional
    direction, are normally translated into one of the
    above input forms in order to become recognized
    facility requirements.

4. Process.

a. The analytical needs of the Support Facility and
    Information Resource Management Plans assume that:

    (1) the Program Direction/Business Plan and other
         planning documentation contain the best mix of
         resources to achieve program objectives;

    (2) the resources identified in planning documents
         consider only the parameters of that specific
         plan, independent of the resources available
         from or the requirements of any other program.

b. The Support Facility and Information Resource
    Management Plans also consider the impact of approved
    Planning Proposals, and AC&I Data Sheets on the
    resource needs cited in the Program Directions/
    Business Plans. Their contributions in support of
    operating facilities, not otherwise addressed in
    Program Directions/Business Plans are put into
    perspective. The impact of Planning Proposals and
    AC&I Data Sheets is normally greatest on the Support
    Facility Plans.

5. Scope.

a. Support Facility and Information Resource Management
    Plans.

    (1) The Support Facility and Information Resource
         Management Plans analyze facility and IRM capital
         resource needs normally satisfied through the
         budget process. These resource needs would be
         required to become operational during the time
         frame of the most recently approved Program
         Directions. Outyear needs beyond the time
         horizon of Program Directions do not appear in
         the Support Facility or Information Resource
         Management Plans.

(2) The Support Facility and Information Resource Management Plans list all capital resource changes needed to accomplish Coast Guard operating and support program objectives and the fiscal years in which plans identify the need. They do not consider funding constraints and therefore do not attempt to prioritize resource needs among different programs. The first inter-program ranking for facilities takes place in the Capital Investment Plan.

6. Output. The results of Support Facility and IRM analyses are published annually in summary form as plans for each of the categories of resources (shore facilities and IRM).

7. Support Facility and IRM Plans Management.

a. Support Facility and IRM Plans are updated annually to incorporate the most recent program resource requirements of approved Program Directions/Business Plans. The Chief of Staff is responsible for coordinating the annual Support Facility and IRM Plans. Responsibility for producing these documents, subject to guidance by the Chief of Staff, is distributed as follows:

Chief, Office of Command, Control   IRM Plan
 and Communications

Chief, Office of Engineering,   Shore Facilities
 Logistics and Development   Plan

b. Submission schedules will be established annually in a memo from the Chief of Staff.

B. Five Year Information Resource Management Plan.

1. Purpose. The Five Year Information Resource Management Plan (5YIRMP), COMDTPUB P5230.46, satisfies both the requirements for submission of an IRM Plan to the Department of Transportation and the need for internal Coast Guard communication of plans for information and command, control and communication system investments. It translates program IRM needs into a single five year horizon.

2. Input. The Program Descriptions, for each of the individual programs, identify the current IRM systems needed to perform their mission. The Program Directions/Business Plans, for each of the individual programs, identify possible future IRM system needs for program objectives, an important step to ensure new IRM

systems are developed to support business needs. A five year projection of operations and maintenance of existing information systems along with any new, replacement, and upgrade initiatives are provided annually by the programs to G-T. A five year projection of computer, software, and telecommunications infrastructure costs are also part of the 5YIRMP.

3. <u>Output</u>. The aim of the 5YIRMP is to effectively and efficiently consolidate the individual program IRM needs that are communicated in the Program Directions/Business Plans into a single document by combining similar, and eliminating redundant systems. Cross-functional opportunities are also identified to provide further savings. The 5YIRMP provides a five year projection for Coast Guard-wide IRM related expenditures (i.e., operations and maintenance of existing information systems; computer, software and telecommunications infrastructure costs; and anticipated future initiatives). The results of the 5YIRMP, a single comprehensive Coast Guard-wide IRM plan, is published annually by the Chief, Systems Planning, Architecture and Review Staff (G-TA).

4. <u>Point of Contact</u>. For further guidance, contact Commandant (G-TA-1), Ph (202) 267-0332.

C. <u>Shore Facilities Plan</u>. Shore facility requirements are not included in Program Directions resource utilization calculations. It should be noted that the Shore Facility Manager (G-ECV) maintains an extensive database of planned AC&I and OE shore construction activity. Accurate data are vital to prepare annual construction programs which assist all Program Managers in pursuit and achievement of their objectives. To insure that suitable facilities are available when needed, Program Managers should consider facility requirements as important a part of program planning as people, aircraft and cutters. The policy and process of shore facility requirements planning can be found in the Planning and Programming Manual - Volume II (Field Planning Manual) (COMDTINST M16010.6), the Shore Facilities Planning Manual (COMDTINST M11010.6 (Series)) and the Civil Engineering Manual (COMDTINST M11000.11 (Series)).

D. <u>Point of Contact</u>. For further guidance, contact Commandant (G-CPP), Ph (202) 267-2355, and Commandant (G-ECV), Ph (202) 267-1908.

Table 10-1a: Sample Exhibit from Command, Control and Communications (C3) System Plan

	PY FY94	CY FY95	BY FY96	BY+1 FY97	BY+2 FY98	BY+3 FY99	BY+4 FY00
Initiative Acronym/Program Office: AIM/G-E							
1. Capital Investments							
a. Purchase of hardware	250						
b. Purchase of software	250	100	100	100	100	100	100
c. Site or facility							
Subtotal	500	100	100	100	100	100	100
2. Personnel							
a. Comp; benefits and travel	100	150	100	100	100	100	100
b. Workyears (integer)	2	3	2	2	2	2	2
3. Equip rental, space and other operating costs							
a. Lease of hardware							
b. Lease of software							
c. Space							
d. Supplies and other							
Subtotal	0	0	0	0	0	0	0
4. Commercial Services							
a. ADPE time							
b. Voice communications							
c. Data communications	50	75	75	125	125	125	125
d. Operations and maintenance							
e. Systems analysis, prog., design and engineering	0	100	100	0	0	0	0
f. Studies and other							
g. Significant use of information technology							
Subtotal	50	175	175	125	125	125	125
5. Interagency services							
a. Payments							
b. Offsetting collections							
Subtotal	0	0	0	0	0	0	0
6. Intra-agency services							
a. Payments							
b. Offsetting collections							
Subtotal	0	0	0	0	0	0	0
7. Other services							
a. Payments							
b. Offsetting collections							
Subtotal	0	0	0	0	0	0	0
Totals							
Total Obligations:	650	425	375	325	325	325	325
(8.a.) Total Authority:	650	425	375	325	325	325	325
(8.b.) Total Outlays:	650	0	0	0	0	0	0
Total Workyears:	2	3	2	2	2	2	2
Funding source(s) total:	650	425	375	325	325	325	325
(9.a.) RDT&E:							

(9.b.)	AC&I:	650	425	375	325	325	325	325
(9.c.)	OE:							
(9.d.)	BASE:							
(9.e.)	OTHER:							

Table 10-1b: Sample Exhibit from Command, Control and Communications (C3) System Plan

1. PROJECT/SYSTEM/INITIATIVE TITLE: ACCOUNTABLE ITEM MANAGEMENT

2. ACRONYM: AIM

3. PROGRAM OFFICE/STAFF, DIVISION: OFFICE OF ENGINEERING, LOGISTICS AND DEVELOPMENT, LOGISTICS MANAGEMENT DIVISION

4. ORGANIZATION SYMBOL: G-ELM

5. IRM POC/PHONE/EMAIL: CDR JOHN BARRETT/(202)267-0443/CDR J BARRETT/G-E

6. INITIATIVE POC/PHONE/EMAIL: LTJG CHRIS MALLETT/(202)267-6812/LTJG C MALLETT/G-E

7. ADPSSO POC/PHONE/EMAIL: LT DON WILLS/(202)267-2560/LT D WILLS/G-E

8. FINANCIAL INITIATIVE? (Y/N/M-%): Y

9. (N)EW (E)XISTING (R)EPLACEMENT (U)PGRADE INITIATIVE: U

10. AIS SENSITIVITY CLASS (C,S,U): U

11. DATE OF LAST AIS SECURITY PLAN REVIEW/UPDATE (MM/DD/YY): N/A

12. DATE OF SENSITIVE AIS (RE)CERTIFICATION (MM/DD/YY): N/A

13. DATE OF AIS (RE)ACCREDITATION (MM/DD/YY): N/A

14. DATE OF AIS RISK ASSESSMENT (RISK ANALYSIS) (MM/DD/YY): N/A

15. SERVICE TO THE CITIZEN? (Y/N): N

16. TOTAL OBLIGATIONS (TO BE TAKEN FROM THE TOTAL LINE OF EXHIBIT A-11-43-A)

(IN THOUSANDS (000) OF DOLLARS)

	PASTBY	CURRENT	BUDGET	BY+1	BY+2	BY+3	BY+4
OBLIGATIONS:	1994	1995	1996	1997	1998	1999	2000
	650	425	375	325	325	325	325

17.DESCRIPTION/NARRATIVE:

AIM will replace PPA, Standard Workstation Inventory Manager (SWIM), and Electronics Equipment Inventory System (EEIS), at both the unit and central levels, making unit-level software easier and more beneficial, saving mainframe processing charges for PPA, and easing software maintenance.

CHAPTER 11. MISSION ANALYSIS REPORTS (MARs)

A. **Background**.

1. The purpose of mission analysis is to assess the ability of the Coast Guard to successfully carry out a specific mission in the future. Where a deficiency in functional capability exists or is projected to exist, a mission analysis should identify the additional functional capability or process changes necessary to meet the deficiency.

2. Mission Analysis Reports (MARs) were developed to be customer-focused acquisition planning documents. Customers (those who influence, approve, disapprove, or are affected) of MARs include Commandant (G-CV, G-CCS), the Coordinating Councils, Project Sponsors, and others. Prior to the development of MARs, early analytical examinations and documentation supporting initial acquisition strategies were not fully collected and recorded.

3. This shortcoming hampered customer review and justification efforts. By requiring full and inclusive documentation of program planning and mission functional capability requirements, MARs help to ensure that customer information needs are fully met.

4. The goal of MARs is to provide sufficient information to document a deficiency in mission performance capability. An approved MAR is the necessary documentation to support a Program Director's major acquisition Project Nomination. Once the Project Nomination is approved by the Administration Acquisition Executive, Commandant (G-CV), the MAR will serve as the basis for the Program Director's development of a major acquisition Mission Need Statement (MNS). In the cases of other, non-major acquisitions, the purpose of the MAR is to better document and justify acquisition needs and planning.

B. **Discussion**. MARs are a collection, cross-analysis, and documentation of numerous feeder studies and analyses. They integrate into one document Program Directors' pre-acquisition planning. The content and submission of MARs are as follows:

1. **Content**. MARs document program planning efforts which indicate existing or anticipated deficiencies in mission functional capability necessary to conduct Coast Guard missions, and describe in general terms why an acquisition project is needed to correct the deficiency.

a. MARs are divided into Parts I and II.

Part I encapsulates a Program Director's assessment of a deficiency in functional capability which will prevent the Coast Guard from adequately conducting mission(s) now or in the future. The focus is exclusively on mission description and analysis, and a problem statement. At no time in Part I are alternatives and their estimated costs addressed.

Part II is a detailed discussion and summary of the proposal. It is completed for all acquisitions and includes a summary of why the Program Director feels an acquisition project is necessary to meet mission requirements, possible options for satisfying mission functional deficiencies, to include, where appropriate, a change in doctrine or procedure, and a bibliography of supporting documents (prior studies, surveys, etc.).

The only time Part II is not completed is:

- when the mission goes away,
- a non-material alternative will suffice,
- the Problem Statement from the MAR I is not accepted, or
- under specific written instructions from Commandant (G-CCS)

b. Content of MARs should reflect as much as possible the program planning and analysis contained in the respective Program Description and Program Direction documents.

c. Content shall be geared toward broad description and analysis of present and future missions. With few exceptions (e.g., description of current mission functional capabilities), an examination of specific platforms with which to fulfill mission(s) is not desired. This detailed type of information is documented in later phases of the acquisition process, after extensive review and approval of the proposed acquisition. Required content of MARs is outlined in Figure 11-1.

d. The length of MARs may vary according to the nature of the proposed major acquisition. For example, MARs for replacement projects having well-defined and unchanged missions, may be considerably shorter than those addressing fulfillment of new or changing mission requirements.

2. <u>Structure</u>. Division of MARs into two parts allows for early concept approval or disapproval by Commandant (G-CCS). In turn, this early guidance tells Program Directors whether to revise or withdraw Part I or to expend resources to complete Part II. This is particularly important since Part II may, depending upon mission complexity, require detailed studies, contract work, or extensive staff hours.

3. <u>Submission</u>. Program Directors shall submit Part I of the MAR to Commandant (G-CCS) for initial concept approval. MAR Part I is also the appropriate place for Program Directors to address resources or funding required to complete Part II. Written approval from G-CCS of the MAR I will provide additional guidance for moving on to MAR II, constitute direction to use OE funding as requested, and for other Programs to assist in the development of Part II as required. Upon completion, Part II should be forwarded with Part I to Commandant (G-CCS) as a complete package.

C. <u>Procedures</u>. PARTS I and II of the Mission Analysis Report shall be submitted for review and approval as outlined in Figure 11-2. Commandant (G-CPP) shall coordinate submission and review of Mission Analysis Reports, and shall chair division-level review boards for MARs. Upon approval of the complete MAR (Parts I and II) by Commandant (G-CCS), the complete MAR is attached to the Project Nomination Memorandum, starting the major systems acquisition process.

D. <u>Headquarters Contact</u>. For guidance concerning matters in this Chapter, contact Commandant (G-CPP) Ph (202) 267-2355.

FIGURE 11-1

MISSION ANALYSIS REPORT

PART I

I. **Mission**

    A. Brief summary of existing mission (or new mission if applicable)

        1. Scope of mission (*Theatre of operations*)
        2. Nature of mission

    B. Reasons to perform the mission

        Brief description of why the Coast Guard is or will be required/obligated to perform the mission

        1. Statute
        2. Regulation
        3 Policy (e.g., DOT Strategic Plan, Commandant's Direction)
        4. Memorandum of Agreement/Understanding
        5. Historical Summary
        6. Anticipated Future Requirement

    C. <u>Current</u> Functional Requirements and Capabilities

        1. Current mission functional requirements

        A general description of requirements for mission fulfillment-- e.g., SAR: at-sea rescue response, take a person out of the water, locate people and boats, etc.

        2. Current mission functional capabilities

        Description of capabilities utilized for current mission fulfillment (include specific platform(s), as applicable).

            (1) Equipment (Planes/Boats/etc.)
            (2) Buildings
            (3) Land
            (4) Computer Hardware/Software
            (5) Authorized Billets and Positions
            (6) Resource Hours
            (7) Customers
            (8) Funding
            (9) Other

FIGURE 11-1 (cont.)

MISSION ANALYSIS REPORT

PART I (cont.)

3. Mission performance measures and gap analysis

   Describe how well the current mission is being executed, as well as gaps in effectiveness, in terms of:

   i.   Performance
   ii.   Customer response
   iii. Costs
   iv.   Excess/deficient capability
   v.   Others

D. Projected <u>Future</u> Mission

1. Projected future mission and effectiveness goals
2. Requirement for future mission or reasons for changes to current mission

   a. Statute
   b. Regulation
   c. Policy (e.g., DOT Strategic Plan, National Drug Control Strategy, Commandant's Direction, pending treaties or agreements, etc.)
   d. Historical Trends
   e. Technology
   f. Demographics
   g. Others

II. **Problem Statement**

A. Mission impact of deficiencies

   Incorporate the mission descriptions and projections, performance gaps, and other preceding analysis into a summary problem statement. Describe how the mission(s) are or will be affected by the deficiencies: what will not be done, where it will be felt, by whom, and whether the future mission can be accomplished with the current functional capability.

FIGURE 11-1 (cont.)

MISSION ANALYSIS REPORT

PART I (cont.)

B. Resource inadequacies

(E.g., prohibitive cost of maintaining current system (including safety considerations), impact of new mission on resource base using current system, etc.)

II. C. Non-material Alternatives Explored

Describe non-acquisition alternatives for addressing deficiencies which have been explored, e.g. changes in policy or procedures

D. Acquisition planning resources (for projected Major Systems Acquisitions)

Planning resources required by the Program Director for completing Part II, above and beyond current resources. Include an outline of assistance required from other programs, and an estimate of personnel and funding resources.

End of Part I

FIGURE 11-1 (cont.)

MISSION ANALYSIS REPORT

PART II

III. **Range of Alternatives**

A.   Alternatives Identification

Identify, in general terms, alternative systems or means of fulfilling mission requirements, including status quo, in order to provide possible avenues for later exploration. For each, also identify:

1.   Technology assessments and forecasts

Briefly describe the possible impact of obsolete, emerging, or future technology on alternative's mission fulfillment

2.   Estimate of risk and uncertainty, including resource risk

Briefly assess the risk and uncertainty associated with the alternative

3.   Impact on other mission(s)

4.   Estimated cost range, if possible

B.   New versus Rehabilitated and/or Upgraded System

Can the mission be accomplished by a system rehabilitation/upgrade vice acquiring a new system? Why not?

IV. **Justification for Major Systems Acquisition**

A.   Summary of Rationale for Acquisition

1.   Need for system
2.   Establish that new or changed mission cannot be fulfilled by changes to policy or procedures
3.   Summary of potential solutions to be explored

FIGURE 11-.1 (cont.)

MISSION ANALYSIS REPORT

PART II (cont.)

IV. B. Summary of Impact of Status Quo

    1. Operational deficiency with current capability
    2. Impact of current system failure (if applicable)
    3. Mission impact
    4. Resource shortfalls
    5. Impact of safety, reliability, or supportability
       of current assets
    6. Other

    C. Resource Estimate

        1. Current mission fulfillment/system costs

        2. Estimated cost range for each alternative*

        * [Note: This figure is intended to serve as a long
          range place marker for budgeting, to determine the
          appropriate level of acquisition to pursue, and to
          aid in allocating personnel resources to project
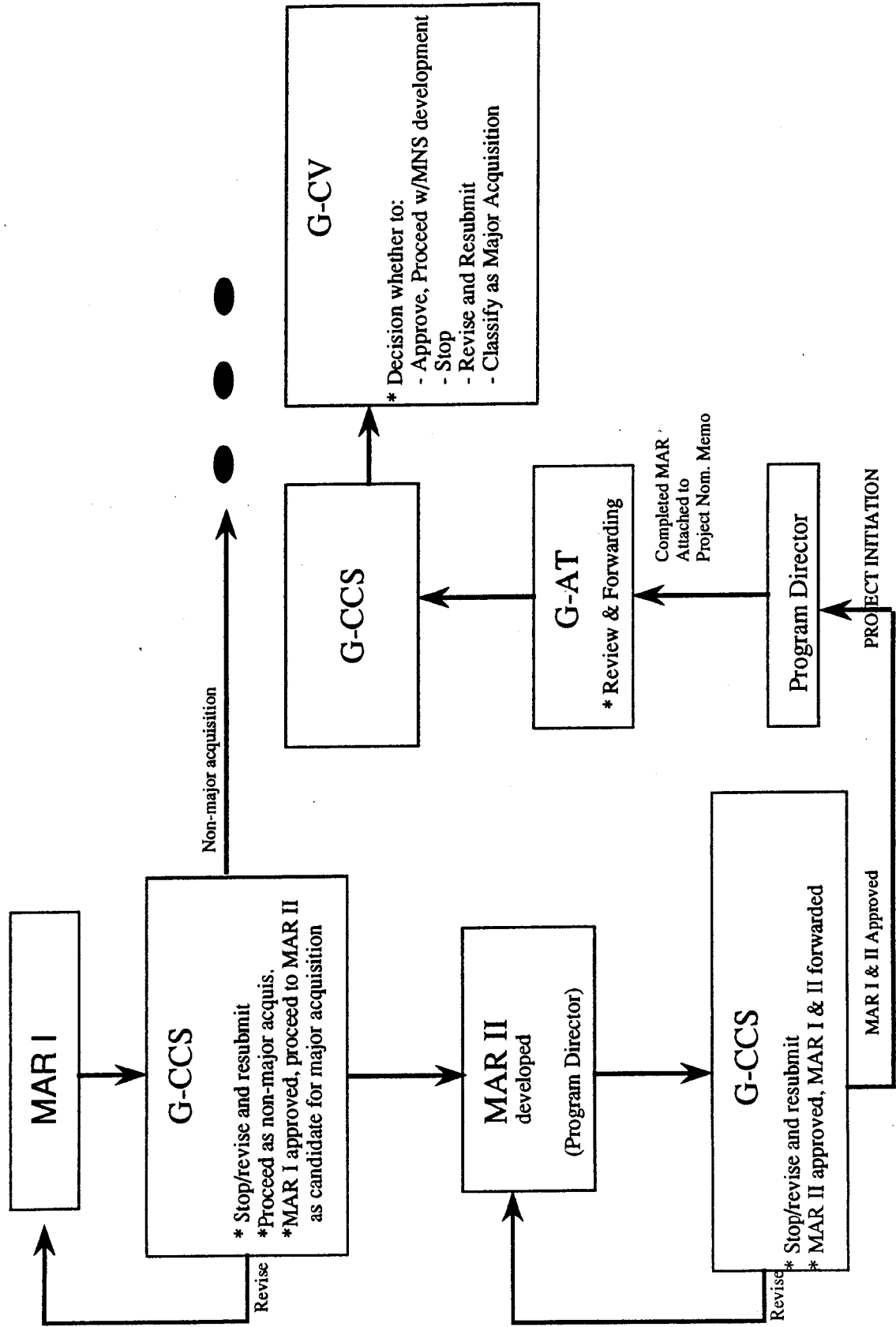   development.]

End of Part II

Appendix A: Bibliography

        *List references, background materials, previous
        studies, or other supporting documents*

Figure 11-2

MISSION ANALYSIS REPORTS: SUBMISSION PROCESS
(Program Director)


```
MAR I  →  G-CCS                              Non-major acquisition
              * Stop/revise and resubmit    ──────────────────────→  •  •  •  →
              *Proceed as non-major acquis.
              *MAR I approved, proceed to MAR II
               as candidate for major acquisition

       Revise↑                                      G-CCS  →  G-CV

              ↓                                              * Decision whether to:
         MAR II                                                - Approve, Proceed w/MNS development
         developed                                            - Stop
                                                              - Revise and Resubmit
         (Program Director)                                   - Classify as Major Acquisition

              ↓                                      ↑ G-CCS
         G-CCS                                       G-AT
              * Stop/revise and resubmit            * Review & Forwarding
              * MAR II approved, MAR I & II forwarded
                                                    Completed MAR
                        MAR I & II Approved         Attached to
                                                    Project Nom. Memo

                                                    Program Director

                                                    PROJECT INITIATION
```

CHAPTER 12. PROGRAM MEASUREMENT AND EVALUATION

A. Introduction.

1. The Government Performance and Results Act (GPRA) of 1993 places heavy emphasis on improving "Federal program effectiveness and public accountability by promoting a new focus on results, service quality and customer satisfaction." The Act also established a pilot program for Federal Agencies to set program goals, measure performance against those goals, and report publicly on their progress. By FY 1999, the Act requires all Federal agencies to provide an annual performance plan for each program activity set forth in their respective budget. Clearly, agencies which are better able to measure and evaluate results will have a better chance for continued funding and support. Program managers who can point to objectively measured results will be better able to compete for scarce resources.

2. This chapter provides information to assist with the measurement and evaluation of program performance. Program performance is the measure of how well the program achieves overall objectives, and is results-oriented, as opposed to process-oriented. This chapter provides the reader with guidance on how to develop *results-oriented* program measures, but does not provide specific methodologies, since the Coast Guard operates many diverse programs. Program managers and planners are encouraged to use this chapter to help develop new and creative approaches to measurement problems.

3. Coast Guard program directors' and managers' primary focus must be on program outcome measures. Key process improvement measures and the results therefrom support program performance measurement. Tables 12-1 and 12-2 are provided on the following pages to illustrate the concept of outcome measures and how it applies to Coast Guard programs. This chapter contains descriptions of complex and sophisticated measurement models. Program managers should keep in mind that such models are generally evolved over some period of time. They are expected to select the measures most suited to their needs.

Output or Outcome?
Examples of Performance Measures for Government Programs

One of the most difficult tasks in measuring government performance is that of deciding on terminology. The concept of inputs is fairly easy to understand, and these measures do not differ very much from one program to another. In general, inputs represent the raw materials, and office equipment, which enter into the delivery of government services. There is considerably more confusion between outputs and outcomes. In general, in order to be classified as an outcome measurement, the assessment must present information that enables the manager to determine how well a particular program is operating in relation to its goals and objectives.

Measures of output, however, focus on the amount of work accomplished or on the quality of the processes used to accomplish that work. Outputs are sometimes treated as ends in themselves. But the question of how much work is done is very often distinct from the question of whether the work is achieving a particular purpose. For this reason, if the purpose of measuring performance is evaluating the results achieved by a program, outcome measures are superior to output measures. The importance of the distinction between output and outcome can best be demonstrated by looking at examples of measures from several different government programs (See also CG Table 12-2):

Examples of Output and Outcome Measures for Selected Programs

Output Measures	Outcome Measures
Elementary and Secondary Education	
Student–days	Test score results
Students graduated	Percent of graduates employed
Dropout rate	
Hospitals	
Patient–days	Mortality rates
Average length of stay	Patient survey results
Admissions	Readmission rates
Mass Transit	
Vehicle miles	Population served (percent)
Number of passengers	Late trips (percent)
Police	
Hours of patrol	Rate at which cases are cleared
Crimes investigated	Response time
Number of arrests	Citizen satisfaction
Public Welfare Programs	
Number of requests	Applications processed in 45 days
Amount of assistance	Payment error rates
Road Maintenance	
Miles resurfaced	Lane–miles improved (%)

* Congressional Budget Office, *Using Performance Measures in the Federal Budget Process*. Congress of the United States, July 1993.

Table 12-1

THE FOLLOWING TABLE ILLUSTRATES SOME OF THE MEASURES PRESENTED BY COAST GUARD PROGRAMS IN THEIR 1993 PROGRAM DESCRIPTIONS:

EXAMPLES OF COAST GUARD PROGRAM OUTPUT VS. OUTCOME MEASURES
(FROM 1993 PROGRAM DESCRIPTIONS)

PROGRAM	OUTPUT MEASURES	OUTCOME MEASURES
Office of Acquisition	Actual delivery date vs. required date	Delivered capability vs. performance requirements
		Actual cost vs. baseline cost
Office of Engineering, Logistics and Development	Funds committed vs. total funds available	Number of unsatisfactory reports
	Number of environmental agreements	Customer satisfaction surveys
Legal Program	Structure of positions providing legal services	
Recreational Boating Safety		Fatalities per 100,000 boats
Bridge Administration Program	Permit response time	
	Time to issue regulations	
	Time for bridge design and construction	
Ice Operations	Days available vs. days required	Polar vessel casualty rate Customer satisfaction in scientific community
Short Range Aids to Navigation Program	Avg hours to maintain an aid station	Overall availability of navigation aids
	Number of waterways analyzed	
	Resource mix	
Radionavigation Program	Support costs per LOP/nav signal	Loran-C, Omega, DGPS, Radiobeacon availability
		Area of coverage
Search and Rescue Program	Lives saved vs. dollar cost of program	Lives saved vs. lives at risk
	Hours searched	Property loss prevented vs. property at risk
Vessel Traffic Services	Hours of equipment downtime	Number of evasive or corrective actions taken by mariners
	Service life of hardware	
	Number of advisories issued	Number of avoided delays
		Economic vitality of ports with VTS

Table 12-2

B. **Program Goals and Objectives.**

   1. **Definition of Program Goal and Program Objectives.**
       Program goals are the broad purposes toward which all
       program activities, processes, and systems are directed--
       the ultimate reasons for the program's existence. Goals
       can be broken down into supporting objectives. Program
       objectives are broadly worded purposes that support the
       attainment of goals. For example, the MSS program's goal
       is to eliminate deaths, injuries, and economic loss
       associated with marine transportation. One of its
       objectives is to eliminate substandard commercial vessels
       from U.S. waters.

       a. All Coast Guard programs exist to provide a service
           or to fulfill some need. Operating and Support
           programs provide services directly or indirectly to
           the American public. To make the most effective use
           of resources, programs must have the clearest
           possible recognition of their goals and objectives
           and the results expected of them by their customers.

       b. Program goals and objectives must be stated in
           clearly understandable, quantifiable and results-
           oriented terms using action words (i.e., increase,
           maximize, reduce, minimize, create) rather than
           passive words (i.e., monitor, ensure, oversee,
           coordinate). Further, goals must be linked directly
           to some statutory or other authority which requires
           the goal be met. In general, statutory authority
           relates to operating programs, while support programs
           would generally be required by some internal Coast
           Guard or Federal government authority, such as a
           Commandant Instruction, an Executive Order or a
           Federal regulation.

       c. If there are questions regarding program goals or
           objectives, the program manager can find assistance
           in the following USCG documents: Executive Business
           Plan; Government Performance and Results Act;
           Performance Measurement Guide; Performance
           Improvement Guide; and the Planning and Programming
           Manual Chapters 6 and 7.

       d. Chapter 6 of this manual requires programs to outline
           their goals and objectives in the program description
           document, while Chapter 7 provides guidance on the
           content and format of the description.

   2. **Defining Goals/Objectives Through Value-Adds.**

       a. A definition of a value-add is the quality process
           which converts an input to an output. A value-add
           statement should begin with appropriate improvement
           words, i.e., Improve, Increase, Reduce, Minimize.

EXAMPLE: The VTS Program Goal is to improve the safe and efficient movement of commerce in all U.S. ports and navigable waterways. The program value adds can be stated as:

- o Minimize interruptions to flow of commerce
- o Minimize loss of life and property
- o Minimize environmental damage

3. Identification Of Customers.

a. A definition of a customer is: Anyone for whom an organization (or program) provides goods or services. Customers are the basic reason an organization exists. Anyone who is affected by a process (receives process outputs) is a customer. An internal customer is someone inside the Coast Guard. An external customer is someone outside the Coast Guard requiring a product or service. For example, an external customers might be a recreational boater, angler, environmentalist, member of Congress, or a state agency or department employee.

b. To get a complete understanding of program goals/objectives it is essential to know who the users or recipients of the program's services are, and what they expect from the program. It is also essential to come to an understanding with the customer of what your program can provide. Much effort has been expended by Coast Guard personnel in identifying customers and focusing on customer needs. This focus should continue and even intensify as we develop and implement results-oriented measurement systems.

c. Coast Guard programs need to identify customer groupings, such as boat owners, VTS system users and tanker operators. The customers can then be surveyed to determine overall expectations and feelings. There will be some overlap where customers belong to more than one grouping. Use of proper sampling methodologies can help managers reduce the likelihood of multiple surveys going to the same customer.

Example: While the American public is the ultimate beneficiary of vessel traffic systems, immediate users of the system include:

- o Port authorities
- o Terminal operators
- o Other government agencies
- o Other Coast Guard programs
- o Commercial and recreational boaters

C. Development of Performance Standards.

1. Definition of Performance Standard. A level of performance expressed as a tangible, measurable target, against which actual achievement can be compared, including a goal/objective expressed as a quantitative standard, value, or rate. [Similar to the definition of "Performance Goal" in the "Act".]

   a. Performance standards help to compare current performance against some target or reference point. Baseline performance measures should be taken if no current standards exist, and acceptable upper and lower performance limits should be established.

   b. Performance standards should be based on some perception of customer needs and expectations. If at all possible, performance standards should be developed and periodically validated based on customer input/feedback. For example, while historical data indicate an average processing time for environmental regulations to be on the order of 18 months, the beneficiaries of those regulations may find that time frame to be quite unsatisfactory for a number of good reasons. Those beneficiaries, or customers, if asked, might say that three months would be more in line with their needs.

   c. An unreasonable expectation can arise as customers demand services which either cannot be reasonably provided or cannot be provided within customer's time frames. In these situations, the program manager should work to align the customer's expectations with the program's ability to meet those expectations.

   Example: Possible performance standards for the VTS program could be:

   - o No more than one incident per 1,000 crossings

   - o No more than 3 hours delay per hundred hours used

   - o No more than $10,000 in delays or lost commerce per quarter.

D. Development of Evaluation Methodologies.

1. Definition of Evaluation. A formal assessment, through measurement and systematic analysis, of the manner and extent to which programs achieve intended objectives.

2. Factual Versus Subjective Information.

    a. Factual types of measures relate to the quantification of tangible, observable events, such as the number of transactions, percent late orders, and number of inaccuracies. Subjective information relates to the quantification and/or analysis of people's judgement regarding the degree of their satisfaction.

    b. Not all performance characteristics can be quantified. There are many instances where it is difficult to determine the effectiveness of organizational activities, where cause and effect cannot be clearly and unequivocally delineated. For example, measuring the effectiveness of the Coast Guard's boating safety program is difficult because of the numerous external factors which affect boating accident levels. But a relative measure of the effectiveness of boating safety efforts can still be taken through opinion and attitude surveys of the boating public. While these types of surveys may not provide direct cause and effect linkages, they can provide relative readings on the level of customer satisfaction. While this might not be considered "hard data", in many instances they are the best and perhaps the only way to measure performance or outcomes.

3. Statistical Techniques.

    a. Managers should understand a variety of statistical techniques which are used to analyze measurement data. Decisions based on faulty analysis or misinterpretation of data can prove to be quite costly, embarrassing, and even dangerous. There are innumerable books and articles on operations research, probability and statistics, and survey and data collection techniques.

4. Presentation of Results.

    a. Analysis of measurement data results should be presented with charts and graphs to help decision makers interpret and understand the meaning. Methodologies should be explained in sufficient detail to allow the reader to follow the process by which conclusions were reached from beginning to end.

Assumptions must be clearly stated so managers understand where the analysis uncertainties are.

Example: Actual performance will be compared to performance standards using the Objectives Matrix to develop an overall performance index for the VTS Program.

E. Identification of Effectiveness Measures.

1. Definition of Effectiveness Measures : Measures that indicate the level of progress towards attaining a program's objectives or goals. Effectiveness Measures indicate whether the desired outcome is occurring, and how much the program is contributing to those outcomes. The two primary Coast Guard effectiveness measures are customer satisfaction and on-time delivery.

2. Program Versus Process Measures. Program measurement and evaluation requires a look at the "big picture", or how well the program is achieving results and the methods of substantiating those results. Measuring program results requires both an external and internal focus with the weight of information coming from outside the organization. Processes are the means by which programs reach their goals. While process measurement is vitally important from the internal program management perspective, it is not necessarily useful for reporting program results. The following diagram, Figure 12-1, helps put the various levels of the measurement hierarchy into perspective.
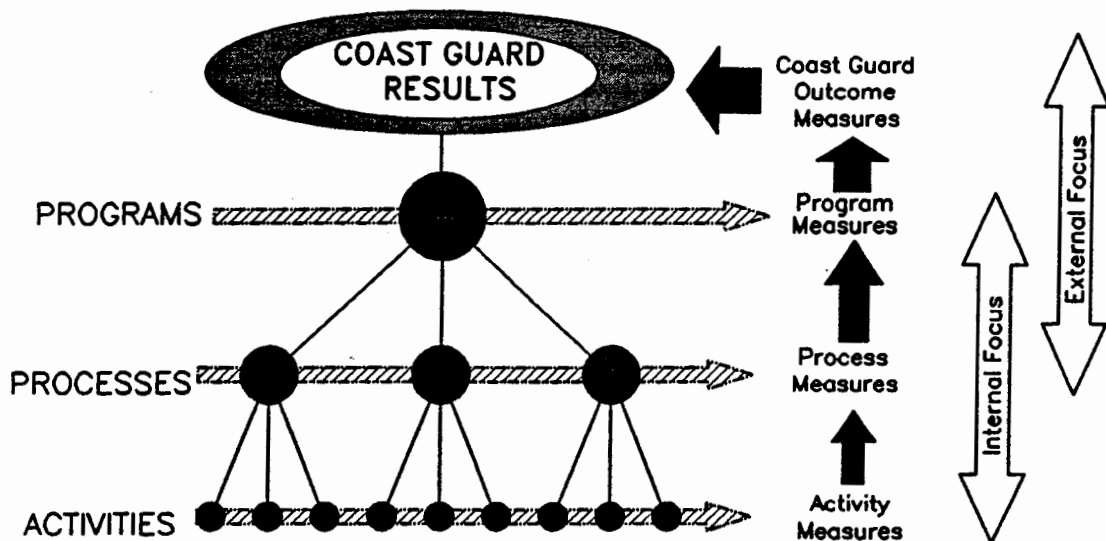
Measurement
Hierarchy

Figure 12-1

3. Activity Measures. Activity measures focus on what is
    done, answering questions such as how much, how many, how
    often, how fast. Unless this type of information is
    somehow related to processes it is of limited value.
    Activity measures are internally focused, and by
    themselves are not much more than "show and tell"
    statistics, which make people look good or bad. To put
    activity measures in their proper perspective, it is
    necessary to analyze the processes within which the
    activities take place.

4. Process Measures. By looking at process measures,
    managers put activity measures into a systems framework
    where each activity is related to other activities. The
    Quality Management Staff (G-CQ) has developed a manual,
    The Process Measurement Guide, and an associated training
    program designed to teach some fundamentals of process
    measurement, and a tool book entitled "The Process
    Improvement Guide", which includes "how to" instructions
    on various statistical techniques.

5. Performance Indicators.

    a. Process measures are extremely useful for the manager
        of those processes to maintain control and

continuously improve the process. However, process measures by themselves may or may not describe the overall effectiveness of a program consisting of many interrelated processes. Even so, process measures can be used as indicators of how well a program is running.

b. Assuming the processes are well-designed to produce the desired program results, the program should be achieving its results if the processes are performing well. However, these are only indications of overall performance, not measures of actual results/outcomes. In order to reach a measure of results, managers must go beyond their process measures.

c. Two widely used methods for developing performance indicators are known as the "Family of Measures" and the "Objectives Matrix".

    (1) <u>Family of Measures</u>.

        (a) A family of measures can be a useful tool for monitoring program effectiveness. Under this approach, four to six measures are selected and aggregated to provide a measure of organizational effectiveness. The measures selected are those that are deemed to most closely capture the major aspects of performance of the program in question. Weights can be applied to each measure to reflect management's view of their relative importance.

        (b) In effect, the nature of performance is defined by the family of measures, with the aggregate number representing an <u>indicator</u> of overall effectiveness. The family will normally include measures which represent a variety of variables - efficiency, quality, timeliness, value to the customer. It may even include measures of organizational climate or indicators of innovativeness. Through the use of weights, management can fine-tune the system to correctly reflect the relative priorities of the different variables.

        (c) The following table, Table 12-3, is an example of a simple family of measures with weights:

Example Evaluation of VTS Program Performance

Hypothetical VTS Family of Measures:

Measure	Weight	Index	Weighted Value
Delays to Commerce	.35	.8	.28
Safety Problems	.20	.95	.19
Environmental Problems	.30	.7	.21
Customer Satisfaction	.15	.8	.12

Overall Performance:　.80

The index value is the measure of actual performance versus the performance standard for each category. In the above example, the VTS program reached a performance level of 80 percent of its target for the "Delays to commerce" measure. This figure was entered in the "Index" column. Further, this measure was given a relative weight of 35 percent, which is entered in the first column under "weight". These numbers are then multiplied to yield a weighted average of .28, which is entered into the last column. The "weighted values" for all measures are added to develop a total overall performance index of .80, which tells us that, overall, the program reached 80 percent of its desired performance.

In using weighted averages, great care should be taken in assigning the weights so as not to place too much emphasis on the wrong performance indicator. Also, results of weighted averaging calculations must not be allowed to take on the illusion of great accuracy. Undue concern over tenth-of-a-point differences in such calculations is counterproductive since the weights themselves are most likely not of great accuracy.

As long as weighted averages are used as overall indicators, they can be extremely useful. When they become anything more than that, managers can find themselves perhaps manipulating the weights (consciously or subconsciously) to affect the results.

Table 12-3

(2) Objectives Matrix.

    (a) The objectives matrix is a more sophisticated version of the family of measures concept, developed by the Oregon Productivity Center. An example matrix and instructions for its construction is provided in Figure 12-2, below. The objectives matrix enables management to integrate a family of measures into a framework of organizational goal-setting.

The Objectives Matrix

	Timeliness	Equipment	Waste	Production	Safety	Quality	
	Late Orders ――――― Total Orders	Downtime ――――― Scheduled Hours	Pounds of Waste ――――― Pounds In	Total Units Out ――――― Total Labor HOurs	5XFrequency ――――― Plus Severity	Defective Units ――――― TotalUnits Out	
	5.5%	16%	13.25%	805	320	9.5%	Actual
a	0	0	10	800	0	0	10
b	.2	2	11	770	50	3	9
c	.5	4	12	740	125	5	8
d	1	6	13	710	175	7	7
e	2	8	14	680	225	9	6
f	3	10	15	650	275	11	5
g	4	12	16	620	325	13	4
h	5	14	17	590	375	15	3
i	6	16	18	560	390	17	2
j	7	18	19	530	405	19	1
k	8	20	20	500	420	21	0
l	2	2	6	3	4	5	Score
m	5	10	20	30	15	20	Weight
n	10	20	120	90	60	100	Value
						400	Index

(Scores)

Figure 12-2

    (b) The starting point in the development of the objectives matrix is the family of measures, which are arrayed across the top of the matrix. The step-by-step process for constructing the matrix is as follows:

    1. Enter the goal for each measure in Line (a) of the matrix.

2. Enter the minimum acceptable performance level for each measure in line (k).

3. Fill in the remaining lines of the matrix, either on a linear scale or in a nonlinear fashion. If, for example, it becomes progressively more difficult to improve as you get closer to a goal, it may be appropriate to use smaller increments for the higher numbers in the matrix.

4. Enter the agreed-upon weights in line (m) near the bottom of the matrix. These weights should add up to 100. As in the simpler family of measures, these weights are reflective of management priorities.

5. Circle or highlight the value in the body of the matrix that represents the actual level of achievement for each measure, and write the appropriate score from the far right column in Line (l).

6. Multiply each measure's score in Line (l) by the appropriate weight in Line (m), and enter the result in Line (n), and add the scores across the row to determine the overall result, which appears in the "index" row. The top score attainable is 1,000.

(c) While somewhat more complex than the simple family of measures approach, the objectives matrix provides a tie-in to a management-by-objectives system or some other goal-setting mechanism. Even so, if only process-related measures are included in the matrix, it still only provides an indication of how well processes are performing, not necessarily the total picture of whether the desired overall program results are being achieved.

6. Program Effectiveness Measures.

a. Concept. As previously stated, even the best and most sophisticated families of process measures or objectives matrices still only provide indicators of a program's overall results. These measures can tell whether processes are functioning smoothly, but still cannot provide information about whether the combined processes have actually achieved the desired program

12-13

results. For example, the Coast Guard can measure
its processes for issuing environmental or safety-
related regulations, and can say how long it takes
and how many regulations it issues. But can it
measure the impact those regulations have on safety
and the environment?

b.   The Macro View.

   (1)   Statements of program value-adds should be used
         as guidelines to determine what to measure
         relative to program performance. Any measures
         of program results should relate to those
         value-adds. For example, if a value add is to
         reduce property damage, the measure should
         relate to the extent of damage, rather than to
         the number of hours spent attempting to perform
         the mission.

   (2)   Similarly, if a value add is to reduce traffic
         congestion on navigable waterways, the measure
         of effectiveness must be related to traffic
         patterns, not to the number of regulations
         issued.

c.   Sources of Performance Information.

   (1)   Potential sources of information for Coast Guard
         performance measures are as varied as the many
         missions the Coast Guard performs. In general,
         program results cannot be effectively measured
         unless information is obtained which relates to
         value-adds, and to the level of customer
         satisfaction.

   (2)   Factual information can be obtained, for
         example, from industry publications, other
         Federal agencies, private corporations, or
         research organizations, sometimes for the cost
         of the paper and sometimes for quite substantial
         fees. Subjective information can be obtained
         through customer surveys, or through secondary
         sources which might have collected the
         information for other purposes.

   (3)   The cost of obtaining information must be
         carefully weighed against the value of the
         information. A $100,000 study to monitor the
         performance of a $50,000 program might be
         considered exorbitant. But then, if the program
         is designed to provide millions of dollars in
         benefits, the cost might be justified.

d. Customer Surveys.

(1) Great care must be exercised in developing and executing customer surveys, both for the general public and for support programs surveying internal Coast Guard customers. If the expertise needed to fully develop, test, and administer a survey does not exist in-house, programs should contract out for this service. Any such surveys which go out to the general public must be in conformance with OMB guidelines which strictly regulate the types and numbers of *public* surveys permitted by Federal agencies, as well as the types of questions which may be asked. Public surveys must be cleared through G-TPS prior to execution. While in-house surveys do not require G-TPS and OMB review and approval, they should be given the same level of care in their development and execution.

(2) Prior to the issuance of any surveys, public or in-house, programs should have identified what they will do with the information collected, how it will be analyzed, and why it is necessary to collect, and the requirement mandate (example: legal authority, executive order and administrative requirement.) Additionally, surveys must be tested with small groups (up to 9) of real customers prior to full scale implementation. (Note: for public surveys, any more than 9 will require OMB approval). Another point to consider is that many Coast Guard programs serve the same customers, or may have markets that overlap.

(3) After interviewing test respondents about each question, modify the questions if necessary to communicate them more clearly to the respondent. If extensive changes are made, it may be necessary to conduct a second customer test. Surveys should be designed to be used repetitively so that the same questions are asked the same way over a period of time. This will help to ensure that like comparisons are made between data from one survey to another.

(4) In general, if surveys are used to assess program results, questions should relate directly to the program's value-add statements. Surveys should be kept as short as possible while serving the needs of the program. Too short a survey may not be taken seriously by respondents, while too long a survey may present

too much of a burden. Where factual questions
are asked, they should come directly to the
point (i.e., how much, how often, how many,
etc.) Subjective questions should ask for
responses on a "need scale of goodness" (i.e.,
very satisfied, somewhat satisfied, no opinion,
somewhat dissatisfied, very dissatisfied).
Surveys should include at least one overall
satisfaction question. Care should be taken to
avoid leading questions which sway the
respondent's answer one way or the other.
(Example - Why don't you like...?)

(5) Program managers should consider contracting
with professional market or business research
firms to develop and implement customer surveys
and assist in the analysis of survey results, if
internal expertise is not available.

F. __Development of Measurement Methodologies__.

1. __Select Measurement Strategy__.

a. Selection of measurement strategies depends on
whether the information need is factual or
subjective, and whether it can be measured directly
or indirectly. For example, the chart below, Figure
12-3, shows that for direct, factual measures, a
program might use some form of direct observation,
recording results as they happen, or an automated
information collection system. But for information
which is more subjective in nature which can only be
obtained indirectly, the program might need to use
opinion research surveys or group discussion
techniques.

POSSIBLE MEASUREMENT STRATEGIES

	Factual	Subjective
DIRECT	Direct Observation Automated Recording Customer Feedback Other	Market Research Surveys Interviews Focus Groups Other
INDIRECT	Operations Research Benchmarking Market Research Other	Nominal Group Technique Market/Business Research Other

FIGURE 12-3

b. Depending on the type of information needed and the specifics of the process being analyzed, there may be any number of other measurement strategies which may apply. The user is encouraged to explore different strategies and create a customized, program-specific measurement strategy chart as necessary.

G. <u>Implement Measurement and Evaluation Systems</u>.

1. After selection of measurement strategies which fit the needs of the program in terms of measuring results, each strategy must be linked to a measurement and evaluation plan of action. This plan simply assigns responsibilities, delineates time lines, and identifies resources required to fulfill the measurement objective.

H. <u>Conclusion</u>.

1. Program measurement and evaluation should be considered an integral part of every manager's job. If program results aren't measured, the program can't be managed to produce the best results, and if there is no evaluation, measurements are useless or of limited value. The watchword of the 1990's for Federal programs is to **MANAGE AND MEASURE FOR RESULTS**.

I. <u>Headquarters Contact</u>. For guidance concerning matters in this Chapter, contact Commandant (G-CPP-2), Ph (202) 267-1137.

CHAPTER 13.   ISSUES AND DETERMINATIONS

A.   Purpose.

1.   The Issues and Determinations process is the transition step between our planning and programming/budgeting efforts.   The primary purpose of Issues is to identify and discuss those budget year initiatives that significantly change the scope, direction, or concept of Coast Guard activities, or are likely to generate considerable public or political interest.   The Issues and Determinations process is a forum for charting the strategic direction for the upcoming budget cycle, focusing on "big picture" items rather than specific resource requirements.   Issues should naturally flow from strategic and program planning.   Issues and Determinations set the agenda for budget year programming action and specific Resource Change Proposals (RCPs).

2.   An individual Issues document is a one-page summary discussion paper from the Program Director to the Chief of Staff.   It is organized in four paragraphs: a statement of the particular issue, background, discussion, and recommendation.   Program Directors should submit their issue papers to the Chief of Staff under a cover memo which lists program issues in descending order of importance for budget or policy resolution by the Commandant or Chief of Staff.

3.   Beginning with the fiscal year 1995 budget cycle, legislative issues have been formally linked to the Issues process.   A "legislative issue" is a summarized program request to enact, amend or repeal legislation.   Because of legislative policy ramifications, consideration of legislative changes as part of the Issues process is appropriate.   After solicitation by memorandum, Program Directors will submit legislative issues to the Chief of Staff via the Chief Counsel.   Detailed guidance on legislative issues is provided in a Headquarters directive.

4.   On an annual basis, usually in January of the budget build year, the Chief of Staff will meet with each Program Director to discuss the Issues document submitted.   The Issues meeting is an opportunity for the Program Director and the Chief of Staff to meet solely to discuss the budget year focus of the program.   As such, each Issue submitted should be broad in scope -- addressing problems, opportunities, etc.   Discussions of billets/positions and specific budget dollars are normally inappropriate.   Legislative issues are also discussed during this meeting.

5. Based on the Issues meeting between the Program Directors and the Chief of Staff, the Chief of Staff recommends to the Commandant those program issues that should be the basis for Determinations. Determinations are not meant to answer "one for one" the Issues presented but serve three purposes: they address cross-program issues that require a coordinated solution; form the basis for programming and reprogramming decisions for the upcoming budget year; and translate selected issues into specific programmatic action and tasking. Determinations are the "blueprint" for the upcoming budget build cycle -- they give Program Directors the same perspective as to where the Commandant wants to place emphasis and establish budget priorities for the upcoming budget year.

B. Instructions.

1. Each October, a budget build cycle memo is published by the Chief of Staff. This memo provides an overview of the budget year Issues and Determinations process, a specific time line for that year's budget build, and any changes to the general "issue-background-discussion-recommendation" format for the Program Directors' individual Issue submissions. Issues shall be submitted both on paper and electronically to G-CPA.

2. The cover memo submitting the Program Director's Issues to the Chief of Staff should prioritize, in descending order of importance, the program's Issues requiring budget or policy resolution by the Commandant or Chief of Staff.

3. For those Program Directors with oversight of more than one program, Issues should be submitted separately for each program.

4. Format and more specific guidance for each year's Issues process will be provided in annual instructions from the Chief of Staff. Legislative issues will be solicited in an annual memorandum.

C. Point of Contact. For further guidance on Issues and Determinations, contact Commandant (G-CPA), Ph (202) 267-2405.

CHAPTER 14. RESOURCE CHANGE PROPOSAL

A. Purpose.

1. Preparation of Resource Change Proposals (RCPs) by the Headquarters Program Directors follow Determinations as the next step in the budget building process. RCPs are frequently outcomes of this process and serve as building blocks for the first formal stage of budget formulation.

2. An RCP defines a specific programmatic problem, and proposes detailed alternative solutions. Both incremental and decremental resource changes should be addressed by RCPs. Because budget request line items generally derive from RCPs, for the Headquarters Program Director they are the single most important document in the budget process.

3. The assessment of the proposed RCP's impact on program performance is a critical element for evaluating the RCP at every level of review. The clearly defined standards and measures of performance in the Business Plan should provide the basis for describing the impacts to program performance of the RCP alternatives. As described in Chapter 6, RCPs should be consistent with the actions outlined in the Business Plan.

B. Content Guidance.

1. Detailed information concerning completion of RCPs appears in the RCP Data Workbook, maintained by G-CPA. The workbook describes how RCPs are used in the decision making process and outlines the process of creating and submitting RCPs. It also explains how to complete the forms used to introduce all required data elements of an RCP into the automated Budget Development System (BUDS).

2. Details in the RCP are intended to present specific information in a standardized manner to enable a reviewer, at whatever level, to see and understand the salient aspects and thought process used in defining the problem and analyzing alternative solutions. It also serves as a checklist of things to be considered in proposing budgetary action.

3. A reviewer should be able to look at the annual costs and analyze each alternative in detail. It is important to remember that what appears to be a cost-effective option may turn out to be otherwise when future year implications are examined.

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4. Increases or decreases for all resources required or affected by the proposed change must be included. All affected Operating/Support Program Managers must be consulted and indicate concurrence on the RCP cover sheet.

5. Figures should be as accurate as possible. In some cases, careful approximations may be necessary, but should be based on standard personnel costs and standard engineering and staffing estimating criteria. When estimates and approximations are used, firmer figures should be provided to G-CPA as soon as possible.

6. RCPs will include out-year projections of resource requirements. These are used to provide decision makers and reviewers with a clear understanding of the long range implications of the proposed action. The dollar and personnel figures for future years should be the best estimates possible.

C. Point of Contact. For further guidance, contact Commandant (G-CPA), Ph (202) 267-2405.

CHAPTER 15. QUALITY AND PRODUCTIVITY IMPROVEMENT

A. Background. Following the lead of private industries, the
    Federal Government has become more and more concerned with
    the quality and productivity of its activities. Good
    planning and management demands constant attention to
    improving quality and productivity in our services to the
    public. The process of resource base management, "growing
    from within," recognizes that the resources we presently have
    are unlikely to increase. Any improvements we make as an
    organization must be accomplished with what resources we
    already have. How we make better use of our present
    resources is the essence of productivity improvement. These
    improvements must be an integral part of the Strategic
    Planning, Long-Range Planning, Programming, Budgeting,
    Execution and Evaluation System (SPPBEES).

B. Programs and Directives. This chapter summarizes the various
    programs and directives specifically aimed at improving
    productivity in the Coast Guard. The following should be
    considered in the SPPBEES process.

    1. Productivity Investment Fund (PIF). The Productivity
        Investment Fund (PIF) provides an avenue outside the
        normal budget process that enables projects to compete
        for current budget year funds. Projects compete for
        Operating Expense (OE) dollars only. It has the
        objective of encouraging the development and
        implementation of projects which contribute to the Coast
        Guard's productivity improvement goals. Proposed
        projects must produce real net savings (in dollars or
        FTE), or increased revenues to the Government.
        Headquarters planners should take advantage of this fund
        as a way of making a favorable impact on future
        productivity without an adverse impact on their current
        budgets. The Productivity Investment Fund (PIF)
        described in COMDTINST 5297.1 (Series) contains detailed
        requirements for applying for these funds.

    2. The Idea Express. Idea Express is the Coast Guard's
        suggestion system. It empowers all employees to provide
        direct input of ideas and suggestions to top management
        to improve productivity and quality within the Coast
        Guard. Monetary awards are paid to suggesters based on
        both tangible savings and intangible benefits.
        Implementation of adopted ideas is the responsibility of
        the assigned evaluator, who also receives a monetary
        award once the idea is implemented. Managers and
        planners should ensure that tangible savings realized
        from adopted ideas are recovered and reprogrammed as
        reinvestible resources. Idea Express is described in
        detail in COMDTINST M5305.4 (series).

C. Point of Contact. For further guidance, contact Commandant
    (G-CQ), Ph (202) 267-2353.
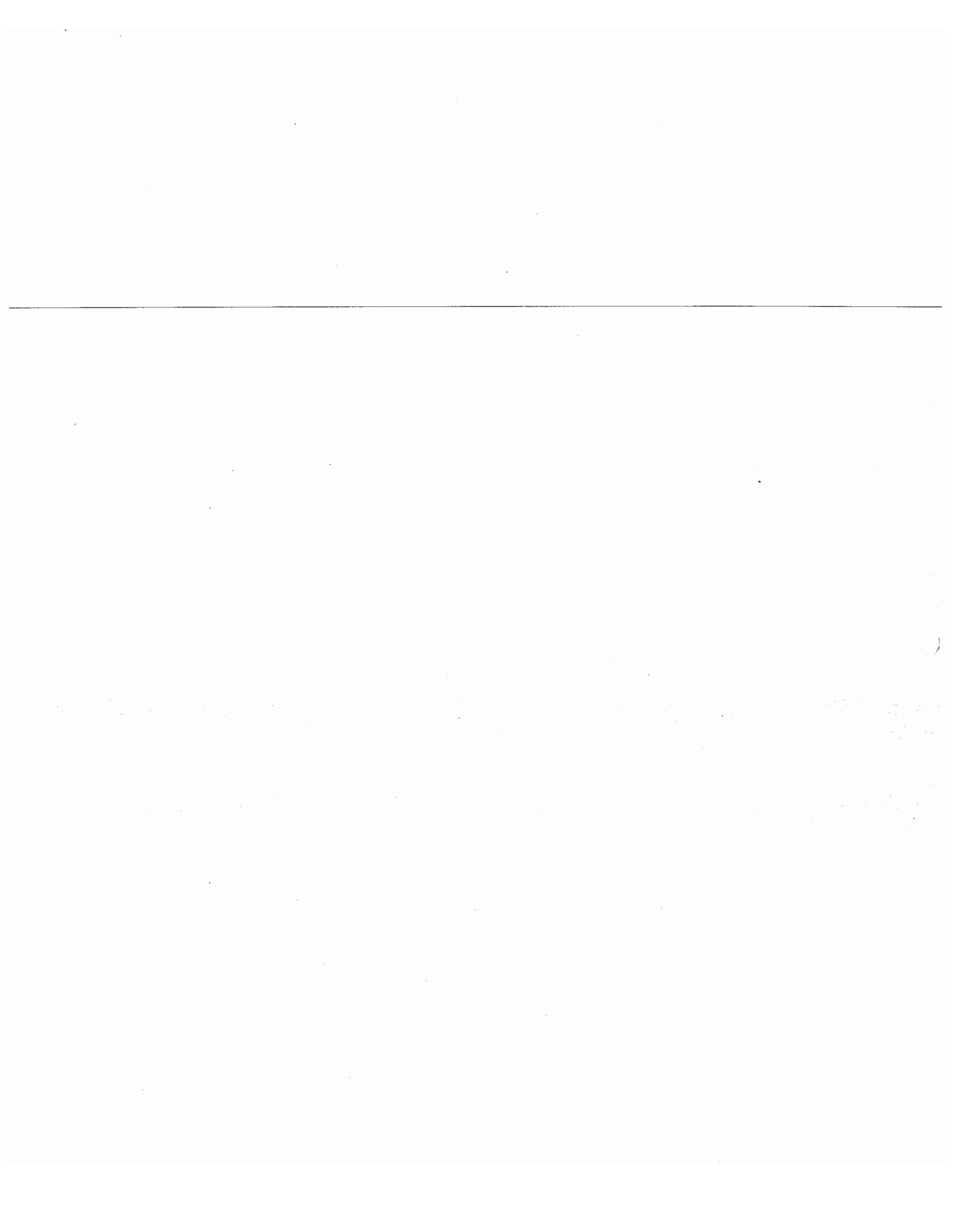
CHAPTER 16.   SPECIAL ANALYTIC STUDIES

A.   Background.   Studies are one of the most effective ways of analyzing and assessing organizational goals, problems, and activities.   The Coast Guard uses studies to systematically and analytically investigate various policy, resource, and process related issues.   Studies may vary in scope, from minor studies assessing locale-specific issues, to major studies, which are defined as those studies chartered by or of direct interest to Commandant (G-C/G-CV, G-CCS), the Headquarters Executive Steering Committee (HQ-ESC), or the Coordinating Councils.   With the adoption of Total Quality Management (TQM) as a Coast Guard philosophy and management model, and the growing use of Quality Action Teams (QATs), the need for and use of studies will increase.

B.   Analytical Study Approach.   The Coast Guard study process includes all steps from study initiation through completion, including (if applicable) subsequent implementation of recommendations, evaluation, and fine-tuning.   These steps correspond to our Total Quality Management "FADE" process. FADE (an acronym for Focus, Analyze, Develop, and Execute) is a proven methodology for conducting studies.   Figure 16-1 displays the steps of the Coast Guard study process within the FADE framework of TQM study management.   Overall study conduct should utilize the FADE approach to ensure proper study management.

C.   Study Elements.   Content of studies will vary according to subject matter, desired level of detail, and available data. However, all studies, whether large or small in scope, must contain several common elements.   The inclusion of these elements ensures that proper analytical procedures are followed and that study results are clearly presented to the reader.

   1.   Purpose.   Establishing a study purpose tells the reader or beneficiary of the study precisely what issues the study will address.   It also helps to focus the study on a particular issue or issues, defining the problem and, to a large extent, the criteria against which alternatives, benefits, or recommendations are measured.

   2.   Methodology.   State and discuss the techniques used in the study to gather data and analyze issues and problems. Examples include surveys, cost-benefit analysis, sampling techniques, etc.   Also state why the methodology was decided upon and the advantages it offers over other methodologies which were considered.   If applicable, also discuss assumptions made and upon which methodology, data analysis or conclusions rest.   This is particularly important where assumptions are used in order to overcome a lack of input data.

16.C.3. Background. Discuss the events leading to, causing, or affecting the issue(s) discussed in the study, including any previous attempts at addressing the issues, why they failed or how circumstances have changed, and why it is believed that the current study will provide information or recommendations leading to some success.

4. Analysis and Discussion. This section is the heart of the study, as it applies the methodology stated above to explore and solve the issues and problems being studied. Each issue or problem, to the greatest extent possible, must be stated in quantitative terms and analyzed through the consistent application of analytical techniques, thus providing the best possible appraisal of the situation at the time. Full and complete details of all analysis are necessary in order to justify final approval of the study and its recommendations, and to serve as a guide for subsequent implementation. The analyst must keep in mind the customers of the study, and ensure that the discussion meets their needs.

5. Conclusions and Recommendations. State the conclusions drawn from the evaluation and analysis of the issues, and any proposed recommendations for remedial or further action. Each issue should be addressed as fully as possible. Also include, if applicable, a brief discussion of the next steps to be taken in further addressing or solving the study issues, as well as any issues unresolved by the study and why.

D. Major Studies. As stated above, major studies are defined as those studies chartered by or of direct interest to Commandant (G-C/G-CV, G-CCS), the Headquarters Executive Steering Committee (HQ-ESC), or the Coordinating Councils. Most major studies are large in scope and deal with cross-program or organizational issues. Due to their importance, major studies are monitored for proper and timely conduct, review, and implementation. Commandant (G-CPP) is designated owner of the Coast Guard major study tracking process.

1. Goal. The goal of the major study process is to ensure the timely review and consideration of major study recommendations, and the full implementation of those recommendations approved by Commandant (G-C/G-CV, G-CCS).

2. Discussion. Initial steps in the conduct of major Coast Guard studies are to be recorded and study files initiated. However, active monitoring will begin with the latter steps encompassing study conduct, forwarding-review-approval, and implementation. These steps (Figure 16-2) shall be actively tracked as follows:

16.D.2. a.   Study conduct. Major studies will be actively
             tracked by Commandant (G-CPP). At the end of each
             FADE stage, responsible offices or study teams will
             submit progress reports to Commandant (G-CPP),
             serving to keep Commandant (G-CCS) informed of
             progress; progress reports and/or briefings can be
             required at any time by the chartering official or
             body. Milestones for major study execution will be
             developed and submitted for studies envisioned to
             take longer than six months, thus apprising
             Commandant (G-CCS, G-CRC, program managers) of
             developments and progress.

        b.   Study forwarding and approval. When completed, each
             major study will be forwarded through the chain of
             command through the chartering official or body to
             Commandant (G-CCS). Review of the study will be
             coordinated by Commandant (G-CPP) in accordance with
             the following process:*

             (1)   A preliminary review will take place within
                   Commandant (G-CCS).

             (2)   A memorandum from Commandant (G-CCS) will advise
                   the study group of the preliminary review's
                   findings; i.e., whether the study has been
                   accepted for review, whether modifications or
                   further work are needed, and whether the study
                   group is disbanded.

             (3)   A draft memorandum of acceptance and
                   implementation will be prepared after further
                   Commandant (G-CCS) staff review. It will
                   address:

                   (a)   Recommendations approved and ordered
                         implemented within the organization, the
                         appropriate organizational element to
                         implement the recommendation, and an
                         indication of how implementation will be
                         funded; and

    *   For those major studies that are so large and complex that
        they would overwhelm the normal cadre of reviewers, a
        special temporary but full time review, evaluation,
        approval and coordination team (REACT) may be created.

16.D.3.   (b) Recommendations disapproved, modified, or
                                    requiring further study, the appropriate
                                    organizational element to perform the work,
                                    and other appropriate instructions.

                          (4) The study and draft approval memorandum will be
                               circulated for concurrent clearance to cognizant
                               program managers for review and comment. This
                               clearance will solicit program managers' views
                               on the wisdom, feasibility, and cost of study
                               recommendation implementation.

                          (5) A final memorandum of approval will be prepared
                               by Commandant (G-CPP) for signature by
                               Commandant (G-C or G-CCS, as appropriate), and
                               circulated for concurrent clearance to cognizant
                               program directors. Unresolved issues developed
                               through this process will be addressed in the
                               appropriate manner. The memorandum of approval
                               will then be signed and published, serving as
                               the tasking document for implementation of
                               approved study recommendations.

                 c. Implementation Plan. For recommendations requiring
                     action (e.g. implementation, prototyping), the
                     responsible party identified in the acceptance
                     memorandum will prepare an implementation plan and
                     submit it to Commandant (G-CCS) for approval. For
                     each recommendation, the implementation plan shall
                     contain: (1) implementation milestones identifying
                     the responsible office or team; (2) the relationship
                     between the milestone and final recommendation
                     implementation (i.e., the consequences if the
                     milestone is not successfully achieved); (3) a date
                     by which the milestone is projected to be achieved;
                     and (4) an estimate of required resources to
                     accomplish the milestone and how the resources will
                     be obtained. Milestones shall cover each
                     recommendation up to and including completed
                     implementation. The implementation plan will be
                     approved by Commandant (G-CCS).

                 d. Implementation of Recommendations. After Commandant
                     (G-CCS) approval of the implementation plan,
                     recommended improvements can be executed. It is
                     especially important that the study recommendations
                     be tracked to ensure that improvements are
                     implemented efficiently and effectively.

                          (1) Commandant (G-CCS) implementation plan approval
                               memorandum will include progress reporting
                               requirements for the accomplishment of the
                               milestones. Commandant (G-CPP) will maintain
   contact through review of progress reports,

meetings, and informal talks with the program managers or teams responsible for implementation in order to keep Commandant (G-CCS) informed of progress, clarify questions or problems, and to discuss the need for changes to milestones.

(2) Tracking will continue until all recommendations are implemented.

(3) Upon completion of implementation, Commandant (G-CPP) will note the date completed and the location of copies of the study and implementation files.

E. Headquarters Contact: For further guidance, contact Commandant (G-CPP), Ph (202) 267-2355.

FIGURE 16-1

"FADE" CYCLE OF MAJOR STUDY STEPS

MAJOR STUDIES FLOW CHART
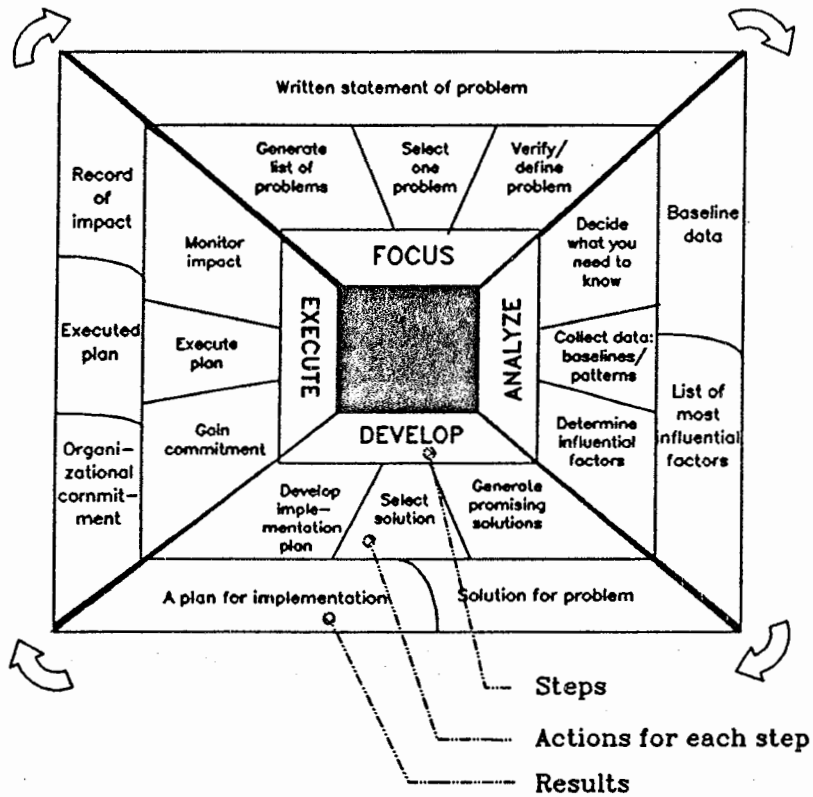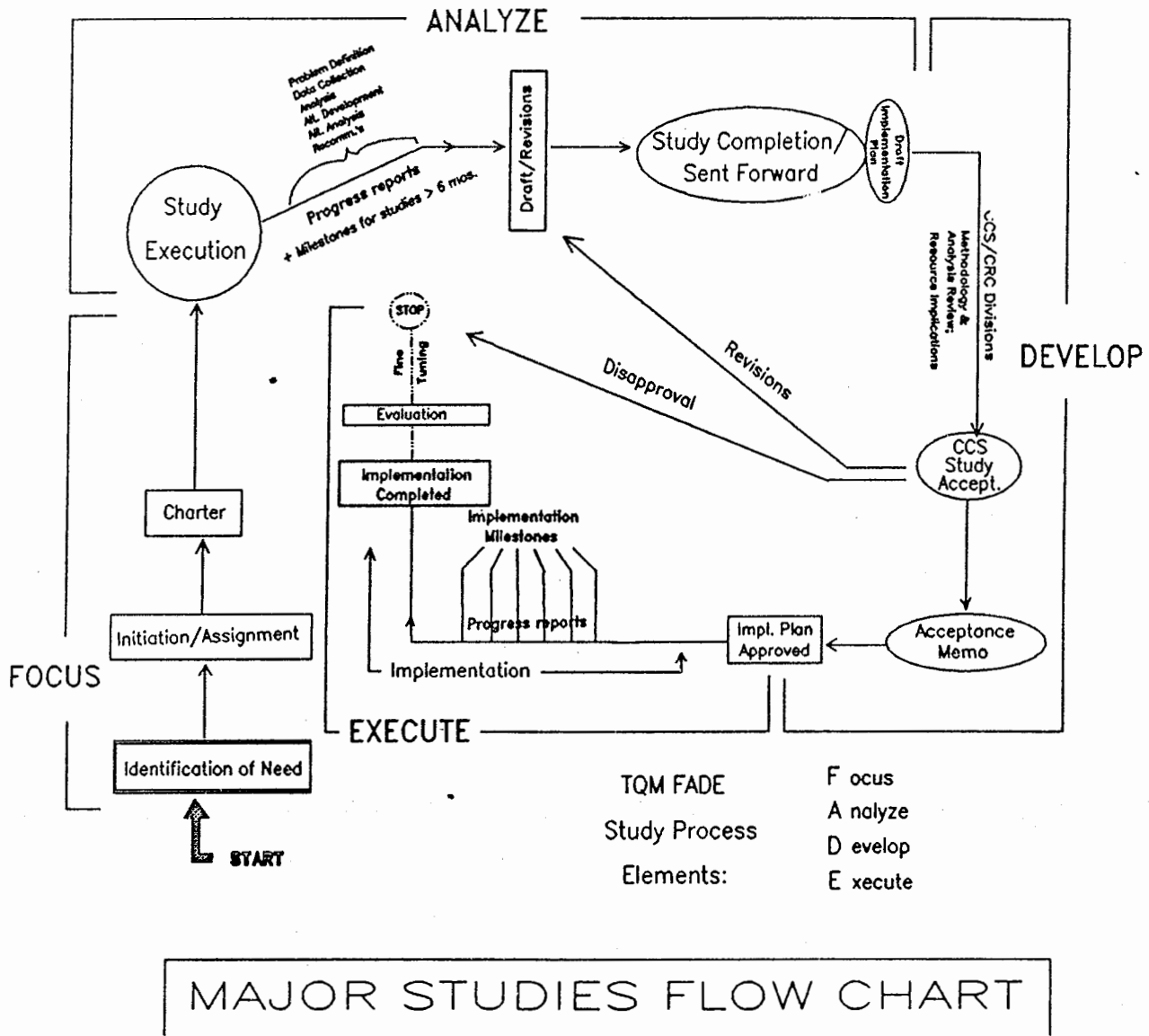
Figure 16-2

CHAPTER 17. MAJOR ACQUISITIONS

A. Background.

1. Major system acquisitions are critical elements of the Coast Guard planning, programming, budgeting, and implementation process. Since an acquisition may impact several programs and their respective mission areas, close cooperation and coordination are required between the Office of Acquisition and the effected Operating and Support Program Managers to ensure proper consideration of all relevant factors and timely system acquisition. Sound management concepts and proper documentation procedures must be applied to ensure that acquisitions are properly executed.

2. The complexity and future implications of large acquisitions are concerns of the Commandant, the Secretary, and the Administration in general. The acquisition policies of the Department of Transportation are issued as Appendix A to the Transportation Acquisition Manual (TAM) Chapter 1234, Major Acquisition Policies and Procedures (MAPP). The MAPP requires certain actions on acquisitions which are projected to be more than $50 million in total acquisition cost. The MAPP is directed at compliance with OMB Circular A-109, Major System Acquisitions.

3. The philosophy and approach taken in the MAPP provide sound management concepts and documentation procedures to be incorporated into the Coast Guard organizational structure. COMDTINST M4150.2 (series), Systems Acquisition Manual (SAM), implements the MAPP within the Coast Guard and provides specific procedures for executing Coast Guard Major Acquisitions.

B. Discussion.

1. Acquisition Parameters. The acquisition of major systems is a decision-making process which translates operational needs into stable, affordable acquisition projects; consisting of three parameters as shown in Figure 17-1.

Project Parameters
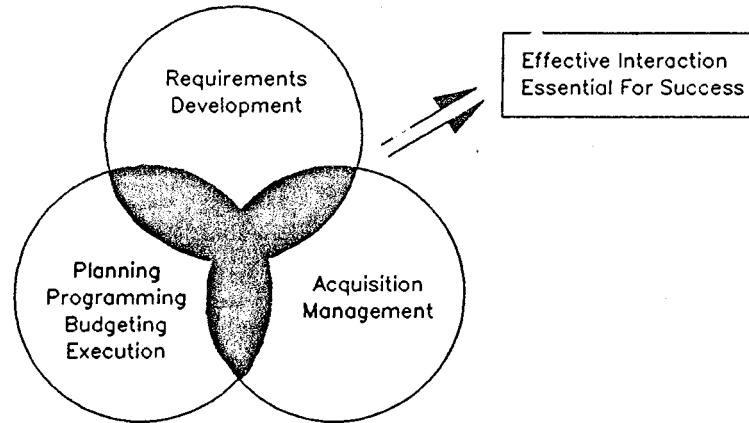
Figure 17-1

2. Resource Management. Coast Guard major acquisition
    resource management (the Strategic Planning, Long-Range
    Planning, Programming, Budgeting, Execution and
    Evaluation System (SPPBEES)) is one of the decision-
    making parameters of the acquisition execution process,
    illustrated in Figure 17-2. Resource management, in the
    major acquisition context, has two interdependent
    functions: providing project budget planning and
    establishing affordability constraints.
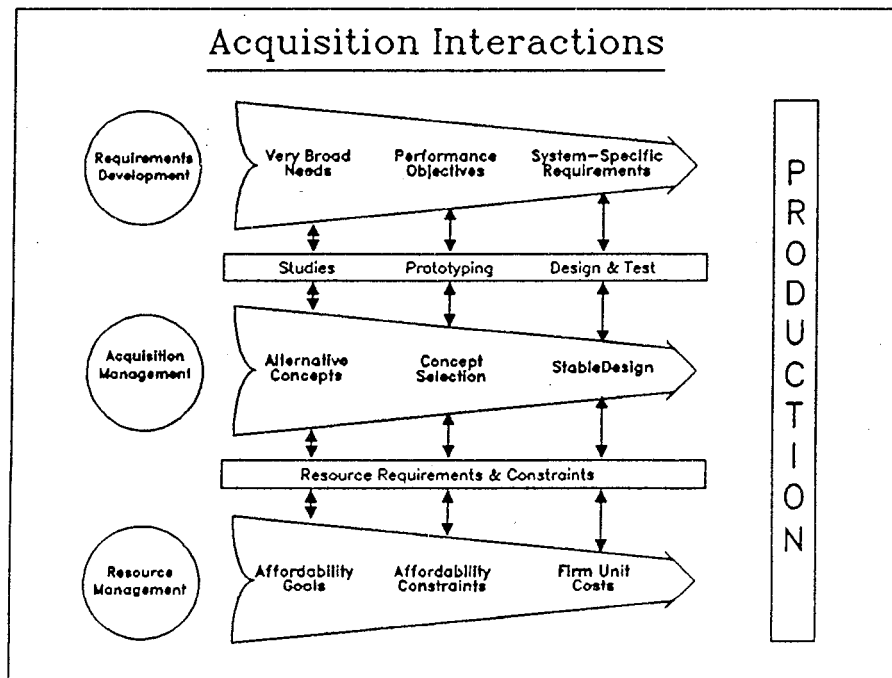
Figure 17-2

a. <u>Long-Range and Budget Planning Relations</u>. The long-range planning activity of the Coast Guard Planning Process specifically relating to major acquisitions is Mission Analysis. Mission Analysis represents a series of assessments made during long-range planning to establish: what will be required in the future and what capabilities we will have in the future to do what is required. Mission Analysis, as depicted in Figure 17-3, flows directly from defined Coast Guard planning events. The Forecast Future, consisting of the Coast Guard Vision Statement; Commandant's Direction; the Program Description and Program Direction, is the basis for mission objectives, mission requirements, and baselines; and the Business Plan is the action planning phase where Mission Analysis and Mission Analysis Reports are linked with the Capital Investment Plan (CIP) to trigger Major Acquisitions and the A-109 process.
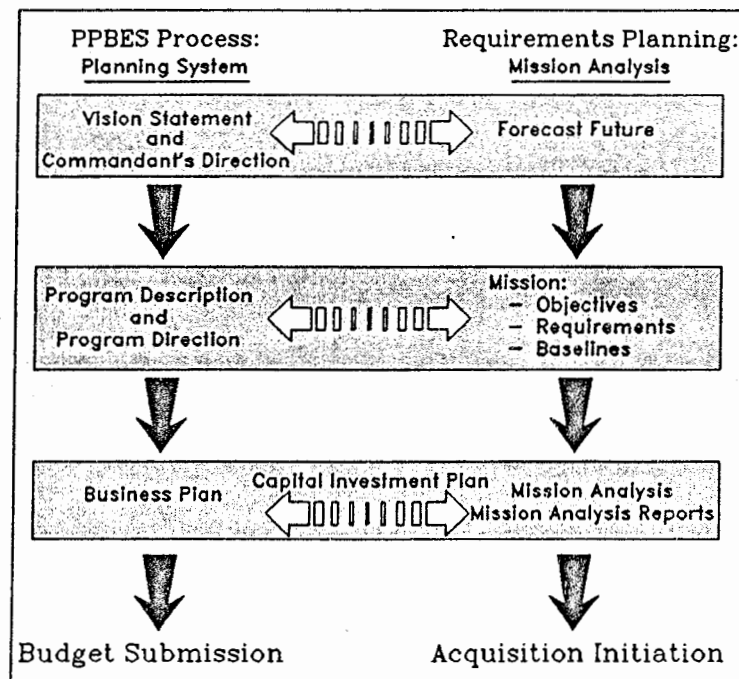
Figure 17-3

b. <u>Programming and Affordability Relations</u>.

   (1) Affordability is a determination that the life cycle cost of an acquisition project is consistent with overall Coast Guard long-range resource investment and programming allocation plans.

(2)   Programming and affordability decisions at each
        KDP consider and balance the annual budget costs
        and priorities of all acquisition
        programs/projects planned, for at least a five
        year period, and the cost to benefit
        relationship of each individual project.

C.   Action. The relationship of the generation of operational
     program requirements to SPPBEES and acquisition management
     is shown Figure 17-4. The operational program requirements
     are the linkage between the SPPBEES and the major
     acquisition management.

     1. Acquisition preparation activities conducted by the
         Sponsor (i.e., the cognizant Operating Program Director)
         consist of mission analysis and project nomination and
         culminates in the development on the Mission Need
         Statement (MNS), which is submitted for approval at Key
         Decision Point (KDP) 1. KDP 1 is the milestone from which
         the formal acquisition management process officially
         begins.
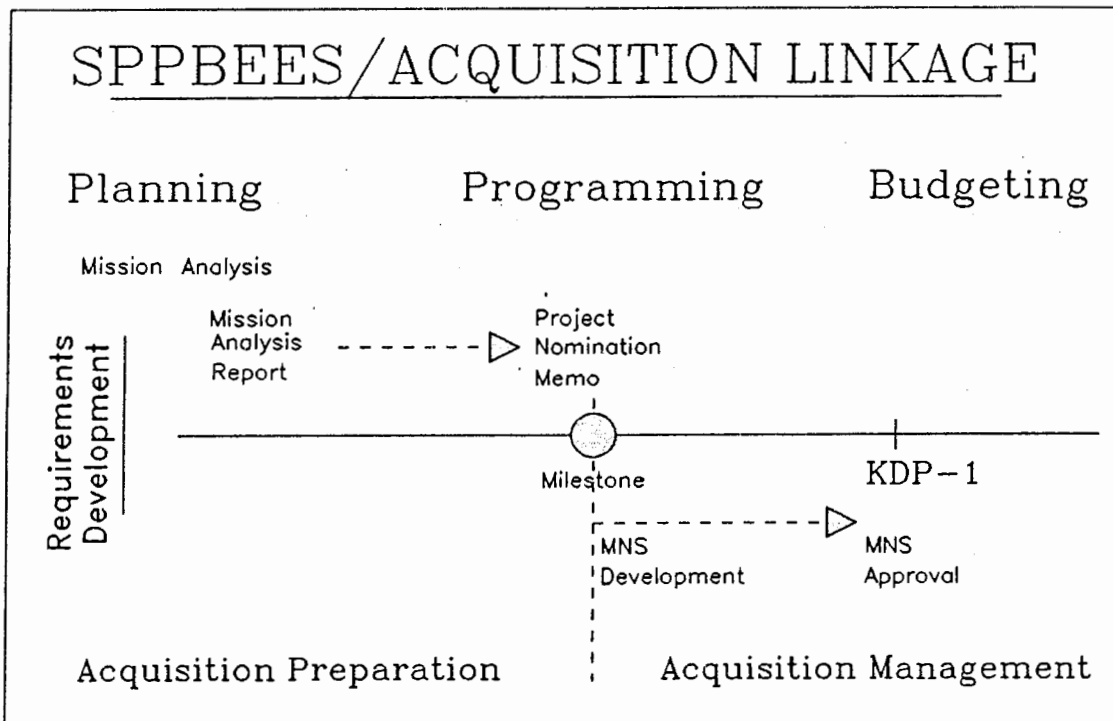
Figure 17-4

a. MNS approval is required before the project will be included in a budget submission, e.g. if Budget Year (BY) funds are required in Fiscal Year (FY) 1998, the MNS must be submitted for approval early in the calendar year 1996 (BY-2) to provide sufficient time to be included in the OMB stage budget. To meet this submission requirement, mission analysis, project identification and project nomination should occur, as a minimum, in BY-3.

b. An affordability assessment must be provided at KDP 1. The affordability assessment must show impact of the acquisition on the Long-Range Resource Allocation Plan (LRRAP). Hence, project resource information should be included in the Capital Investment Plan (CIP) at a minimum of three years prior to the year in which funds will be required (BY-3).

c. Resource Change Proposals (RCPs) necessary to fund the project are based on the funding presentation depicted in the MNS. RCPs are developed by the Sponsor concurrently with the MNS.

2. Program Directors should be sure to look beyond the short-term requirements of Program Descriptions and Issues in order to identify new or changing mission requirements which may necessitate the pursuit of a major acquisition. It is not uncommon for the acquisition of major systems to require ten or more years from the identification of the need through delivery of production systems.

D. Headquarters Contact. For guidance concerning matters in this Chapter, contact Commandant (G-AT), Ph (202) 267-0461.

GLOSSARY

CHAPTER 18. GLOSSARY OF DEFINITIONS, ACRONYMS AND ABBREVIATIONS

AC&I. The abbreviation for "Acquisition, Construction and Improvements" (i.e., capital investment).

AC&I PPR. (Synonymous with PPR.) Abbreviation for "AC&I Project Proposal Report". AC&I Project Proposal Reports are submitted by Area, District, and MLC commanders and commanding officers of Headquarters units, after an approved Planning Proposal, in support of capital investment projects at their shore facilities. See the Civil Engineering Manual (COMDTINST M11000.11 (Series)).

A/N -- ATON. The abbreviation for Aids to Navigation.

Acquisition Schedules. Tabular, five year summaries of Coast Guard capital resource requirements developed from Program Descriptions, approved Planning Proposals and AC&I Data Sheet information. Requirements for aircraft, boats, cutters, C^3 systems and shore facilities are presented annually in separate Acquisition Schedules (see Chapters 9 & 10).

Acquisition Support Program (GAA). A program designed to manage and control Coast Guard major systems acquisitions; and to acquire major systems such as cutters, boats, aircraft, electronics equipment, and communications, information, and support systems which may be required to fulfill Coast Guard management and operational requirements. See the GAA PD for further information.

Activity. Occasionally used in the Coast Guard as a synonym for a Program, a particular unit or type of action used as a means to achieve a program objective.

Activity Measures. Focus on what is done, answering questions such as how much, how many, how often, how fast. Unless this type of information is related to processes it is of limited value.

Alternatives. Different ways of achieving a stated purpose or requirement. For purposes of Planning Proposals, Comprehensive Plans, special studies, projects, etc.,

requirements should be so stated as to reflect a totally
unbiased point of view concerning methods of achievement of
the purpose or requirement.

Aviation Resource Plan. A regularly updated publication
which sets forth the Coast Guard's AC&I requirements for
aviaticn based on approved planning documents, the physical
condition of the existing aircraft inventory and the impact
of technological obsolescence. The document is mid-range (5
.ears) in its perspective and presents the fully developed
analytical oasis to support the identified aircraft
requirements for the planning period. (See Chapter 9).

BA. The abbreviation for the Bridge Administration Operating
Program.

BUDS. The acronym for Budget Development System.
The computer program and its output used in
Headquarters to manage the programming transactions
associated with the preparation of the budget for
the OE, AC&I, RT and RDT&E appropriations.

Benefit. A desired result, for outside recipients, of an
action, project or program. Benefits may be categorized as
direct, indirect, social, monetary, etc.

Boat Resource Plan. A regularly updated publication which
sets forth the Coast Guard's AC&I requirements for boats
based on approved planning documents, the physical condition
of the existing boat inventory and the impact of
technological obsolescence. The document is mid-range in its
perspective and presents the fully developed analytical basis
to support the identified boat requirements for the planning
period. (See Chapter 9).

Bridge Administration Operating Program (BA). A program
designed to assure safe and reasonably unobstructive
navigation through or under bridges spanning the navigable
waters of the United States while meeting the needs of other
transportation modes. See the BA PD for further information.

Budgeting. The activity through which funds are
requested of the President and Congress,
appropriated, apportioned and accounted for (see
SPPBEES).

Budget Year (BY).

    BY-1: Refers to the annual budget that has
           been appropriated (or nearing
           appropriation).

    BY: Refers to the annual budget that has
           been submitted to higher levels for

review, authorization and appropriations action.

BY+1: Refers to the annual budget currently in the development process within the Coast Guard (see Chapter 4)

Business Objectives. Identified in the Business Plan; focused on specific actions that need to be taken over the next several years to accomplish or move towards the program goals contained in the Program Direction.

Business Plan. A tactical document, derived from the approved Program Direction, that contains specific business objectives that support the Program's goals and directions.

C3/IRM. An abbreviation for Command, Control, and Communications/Information Resource Management.

CIP. The abbreviation for Capital Investment Plan.

CPAL. Contingency Personnel Allowance List. Includes additional billets and positions that would be established to support national emergencies or wartime mobilization. Maintained by G-REP. Transferred, along with PAL, to G-P upon mobilization.

Capital Investment Plan. A regularly updated publication which prioritizes the information contained in the F_3acility Requirements (i.e., Aviation, Boat, C^3, Cutter and Shore Facilities) along with the other Coast Guard AC&I requirements for presentation to OST, OMB and Congress annually with the budget (see Chapter 3).

Civil Rights Support Program (GAH). A program designed to assure full and affirmative implementation of civil rights and equal opportunity precepts within the Coast Guard in all official actions including: employment practices, services rendered to the public, operation of federally assisted activities and other programs and efforts involving Coast Guard assistance, participation or endorsement. See the GAH PD for further information.

Coast Guard Direction. A compilation of approved Program Directions and all related planning documents for a given year.

Coast Guard Vision Statement. The Commandant's view of where the Coast Guard needs to be in the future.

18-3

Command, Control and Communications (C3). An integration of doctrine, procedure, organization, structure, personnel, equipment, facilities, services, and communications which provide users at all levels with sufficient, timely and adequate information to plan, direct, coordinate and control operations.

Command, Control and Communications (C^3) Support Program (GAT). A program designed to provide information and communication tools to Coast Guard commanders and managers at all organizational levels. See the GAT PD for further information.

Commandant's Direction. A document, fully aligned with the DOT Strategic Plan, containing the Commandant's strategic goals. Serves as the foundation for the Commandant's Executive Business Plan.

Commandant's Executive Business Plan. A document that takes the strategic goals contained in the Commandant's Direction and adds supporting objectives, milestones, and executive performance indicators.

Competitor. Someone who provides the same or similar products or services to the same customer base. A competitor for the CG Yard could be commercial shipyards.

Contingency Preparedness Support Program (GAC). A program designed to facilitate Coast Guard responses to contingencies. This is accomplished by means of planning for various defense and non-defense contingencies, including natural disaster, civil disturbance, other peacetime emergencies. See the GAC PD for further information.

Coordinating Board. A formal management body (procedure) to discuss and recommend a proposed series of programming actions. The Board consists of Deputy Office Chiefs, Operating/Support Program Managers and necessary staff. The board is chaired by the Deputy Chief of Staff (see Chap 3).

Criteria. Premises used when comparing two or more alternative scenarios; provides a basis for uniform measurement.

Current Year (CY). Sometimes used to refer to the fiscal year in progress.

Customer. Anyone for whom an organization (or program) provides goods or services. Anyone who is affected by a process. An internal customer is someone inside the Coast Guard. An external customer is someone outside the Coast Guard requiring a product or service.

Cutter Resource Plan. A regularly updated publication which
sets forth the Coast Guard's AC&I requirements for cutters
based on approved planning documents, on the physical
condition of the existing cutter inventory and on the impact
of technological obsolescence. The document is mid-range in
its perspective and presents the fully developed analytical
basis to support the identified cutter requirements for the
planning period. The document is summarized annually in the
Cutter Requirements (see Chap 9).

DO. The abbreviation for the Defense Operations Operating
Program.

Defense Operations Operating Program (DO). An operating
program designed to provide the Coast Guard with the combat
capability necessary to function effectively as an armed
naval force, trained and immediately responsive, to perform
missions in support of national defense, contingency
operations, and service peacetime needs. See the DO PD for
further information.

Determinations. The annual process by which the Commandant,
through a series of forums, provides strategic direction for
the upcoming budget submissions and sets the stage for
follow-on program efforts in succeeding years. It is the end
product of staff forums culminating with discussions between
the Commandant, Chief of Staff and Operating/Support Program
Directors (see Chapter 13).

ELT. The abbreviation for the Enforcement of Laws and
Treaties Operating Program.

Effectiveness. The level of progress towards attaining
objectives or goals. A ratio of accomplishment to objective.

Effectiveness Measures. Measures that indicate the level of
progress towards attaining a program's objectives or goals.
Effectiveness Measures indicate whether the desired outcome
is occurring, and how much the program is contributing to
those outcomes.

Efficiency. A ratio of output to input. A measure of how
well resources are being utilized without reference to the
usefulness of the end product or benefit.

Enforcement of Laws and Treaties Operating Program (ELT). A
program designed to enforce all Federal laws in the marine
environment, except those specifically assigned to other
Coast Guard programs. In recent years ELT operations have
focused on laws relating to immigration, fisheries and drugs.
See the ELT PD for further information.

Engineering Support Program (GAE). A program designed to
provide support services that are of an engineering nature.

Effective support is provided in the design, construction, maintenance and outfitting of vessels, boats, aircraft, vehicles, aids to navigation, shore facilities, machinery and utilities. See the GAE PD for further information.

Evaluation. A formal assessment, through measurement and systematic analysis, of the manner and extent to which programs achieve intended objectives.

External Driving Forces. The forces over which the organization has no control (political, economic, societal, technological, environmental).

Facility Manager. A focal point to coordinate issue resolution dealing with Coast Guard capital assets. The Facility Manager develops, coordinates, administers, reviews and evaluates plans, policies, procedures, and performance standards for their assigned facilities (aircraft, boats, cutters, C3 and human resources).

Facility Plans. Regularly updated publications which set forth the Coast Guard's AC&I requirements for a particular facility: Aviation, Boats, Command, Control and Communications, Shore Facilities, and Cutters. These documents are based on approved Operating and Support Program Descriptions, Planning Proposals and AC&I Data Sheets. The document is mid-range (5 years) in its perspective and presents the fully developed analytical basis to support the identified facility requirements for the planning period (see Chapters 9 & 10).

Financial Management (GAF). A program designed to serve Coast Guard operations by providing efficient, effective support to all Coast Guard Programs. This objective is accomplished by providing a sound financial budgeting, accounting and fund management system for efficient utilization of resources.

Fiscal Year (FY). The twelve month period beginning 1 October and ending 30 September.

GAA. The abbreviation for the Acquisition Support Program.

GAC. The abbreviation for the Contingency Preparedness Support Program.

GAE. The abbreviation for the Engineering Support Program.

GAF. The abbreviation for the Financial Management Support Program.

GAH. The abbreviation for the Civil Rights Support Program.

GAI. The abbreviation for the Investigation and Security

Support Program.

GAK. The abbreviation for the Health Services Support Program.

GAL. The abbreviation for the Legal Support Program.

GAN. The abbreviation for the Intelligence Support Program.

GAP. The abbreviation for the Personnel Support Program.

GAS. The abbreviation for the Safety and Occupational Health Support Program.

GAT. The abbreviation for the Command, Control and Communications (C³) Support Program.

GRD. The abbreviation for the Research and Development Support Program.

Goals. The broad purposes toward which all activities, processes, and systems are directed -- the ultimate reason for an entity's existence (e.g., formal Coast Guard goals as set forth in the Commandant's Direction, or program goals as set forth by each Operating/Support Program Director). Goals can be broken down into supporting objectives.

HQPC. Abbreviation for Headquarters Planning Coordinator.

Headquarters Planning Coordinator (HQPC). The Operating Program, Support Program or Facility Manager to whom the Commandant has delegated responsibility for formulation and review of plans, programs and facility management for specified types of units; refer to Table 2-2.

Health Services Support Program (GAK). A program designed to deliver health services in support of Coast Guard operational and support missions and to maintain the health of active duty personnel and beneficiaries, i.e., dependents, retirees, etc. See the GAK PD for further information.

Ice Operations Operating Program (IO). A program designed to provide icebreaking capability to support national interests in the Polar regions, to facilitate the movement of maritime transportation through ice-laden domestic waters, to support performance of other Coast Guard programs in waters constricted by ice, and to assist other governmental and scientific organizations in the pursuit of marine science activities. See the IO PD for further information.

Implementation Plan. Specific actions to be taken to reach a single goal or set of goals.

Independent Research. Independent research projects are primarily state of the art, investigation, and feasibility

studies which examine future (beyond 5 years) research efforts to assist in identifying future trends for R&D and areas in which R&D recommendations are needed.

Information Resource Management (IRM). The planning, budgeting, organizing, directing, training, promotion, controlling, and management activities associated with the burden, collection, creation, use, and dissemination of information, and includes telecommunications networks. Information Resource Management (IRM) Plan. Annual publication which forecasts five year IRM expenditures for the Coast Guard.

Input. The total resources (personnel, funding, facilities, equipment, training, etc.) required or utilized to attain a defined level of accomplishment (output).

Integrated Logistics Support (ILS). A composite of all the support considerations necessary to assure the effective and economical support of a system for its life cycle. It is an integral part of all aspects of system acquisition and operation.

Internal Forces. Internal actions that the organization takes to modify external forces.

Investigations and Security Support Program (GAI). A program to furnish professional investigative support and to provide the Coast Guard with an overall security posture that meets the requirements of national security. See the GAI PD for further information.

Intelligence Support Program (GAN). The Coast Guard Intelligence Program is the focal point for managing the collection, analysis, dissemination and exchange of maritime and related National Foreign Intelligence Community, military, and Law Enforcement Agency intelligence. IO. The abbreviation for the Ice Operations Operating Program.

Issues. Summary from the Program Director to the Chief of Staff listing the highest priority issues for the program requiring either budget or policy resolution by G-CCS or G-C.

Legal Support Program (GAL). A program designed to provide the legal services required to assure that the operation and activities of the Coast Guard are consistent with the law. See the GAL PD for further information. Logistics Support. A function which encompasses all of those support activities associated with developing, acquiring, testing and sustaining the mission effectiveness of operating assets throughout their service lives. The overall objective of logistics support is to provide the right persons, things

and information, at the right place, at the right time, and at a reasonable cost.

Long-Range Operating Strategy. The utilization of all of the Coast Guard's resources to achieve the organization's vision.

MER. The abbreviation for the Marine Environmental Response Operating Program.

MI. The abbreviation for the Marine Inspection Operating Program.

ML. The abbreviation for the Marine Licensing Operating Program.

Marine Environmental Protection Operating Program (MEP). A program designed to minimize damages from releases of oil, hazardous substances, pollutants or contaminants into the environment through efficient, coordinated, effective response to actual or threatened releases of these substances into waters of the United States. See the MEP PD for further information.

Marine Inspection Operating Program (MI). A program designed to minimize deaths, injuries, property loss and environmental damage by developing and enforcing standards and policy for the safe design, construction, maintenance and operation of vessels and offshore facilities engaged in commercial, scientific or exploratory activity in the marine environment; and to facilitate marine commerce through documentation and measurement of vessels. See the MI PD for further information.

Marine Licensing Operating Program (ML). A program designed to minimize deaths, injuries, property loss and environmental damage by developing and enforcing standards and policy for the licensing of Merchant Marine Officers, the certification, shipment and discharge of seamen, and the manning of commercial vessels. See the ML PD for further information.

Mid-Range. 5 Years.

Mission. A broad statement of what we are and our purpose for being. The mandate toward which all effort is directed.

Mission Analysis Report (MAR). A MAR documents program planning efforts which indicate existing or anticipated deficiencies in mission functional capability necessary to conduct Coast Guard missions, and describe in general terms what is needed to correct the deficiency (acquisition, change in doctrine/procedure, etc.). (See Chapter 11.)

Minor AC&I PPR. The abbreviation for the Minor AC&I Project Proposal Report used to submit Minor AC&I Shore Construction projects for budget competition.

Multi-Mission Research and Development. Projects which consist for the most part of conventional hardware types of R&D efforts which are multi-mission in nature, thereby having application to several program or mission areas. Normally, projects under this element consist of exploratory development, and/or testing and evaluation.

OE. The abbreviation for the term Operating Expenses.

Objectives. Broadly worded purposes that support the attainment of goals.

Operating Expenses. An annual appropriation that provides for the operation and maintenance of all authorized Coast Guard programs and facilities not otherwise specifically provided for in other appropriations or funds.

Operating Program. A program which has as its primary objective the provision of a service or mix of services directly to the public, e.g., Search and Rescue.

Operating Program Director. Acts for the Commandant in the management of assigned operational program(s).

Operating Program Manager. Assists the Operating Program Director through continuous review and implementation of routine program policy.

Outcome. The results of a program activity compared to its intended purpose.

Output. A defined level of activity or effort expressed in a quantitative or qualitative manner. Normally relates to the attainment of an identified level of a program goal.

PD. The abbreviation for Program Description, Program Direction, or for the title Program Director, depending on the context.

PIF. The abbreviation for Productivity Improvement Fund.

PM. The abbreviation for the title Program Manager.

PSS. The abbreviation for the Port Safety and Security Operating Program.

Performance Measures. The criteria used to determine how well program standards are being met; an assessment, through objective measurement and systematic analysis, of the results of a program activity compared to its intended purpose; the tabulation, calculation, or recording of activity or effort that can be expressed in a quantitative or qualitative manner; a particular value or characteristic used to measure

output or outcome. [The foregoing definition is a compilation of definitions for the following terms from the Government Performance and Results Act (GPRA): Outcome Measure, Output Measure, Performance Indicator, and Program Evaluation.]

Performance Standard. A level of performance expressed as a tangible, measurable target, against which actual achievement can be compared, including a goal/objective expressed as a quantitative standard, value, or rate. [Similar to the definition of "Performance Goal" in GPRA.]

Personnel Support Program (GAP). A program designed to provide the support services that are of a personnel nature. It enhances the productivity of the Coast Guard labor force (military and civilian) in the performance of Coast Guard missions including assignment and separation of personnel and the provision of morale services. See the GAP PD for further information.

Planning. The establishment of objectives and of alternative ways of achieving them, identification of future environments, contingencies and alternative responses to them, and the determination of the future consequences.

Planning Staffs (HQ Office). Personnel designated by an Operating or Support Program Director as holding the immediate responsibility for coordinating the planning and programming functions within an Office.

Policy. Direction by the Commandant or other senior official to constrain and guide the accomplishment of a planned objective within a specific time-frame.

Policy Deployment. A process for linking the commandant's strategy to the Program Director's long range planning documents.

Port Safety and Security Operating Program (PSS). A program intended to protect the safety and security of ports, waterways and the marine environment, by developing and enforcing policy and standards for waterfront facilities, marine structures, and cargo operations. See the PSS PD for further information.

Position Paper. A position paper is a brief investigation conducted for the purpose of satisfying a need for a timely response to a particular question or problem. The position paper, through its discussion, seeks to provide answers or attempts to ask the "right" questions which may need to be answered in a further study effort.

Premises. Statements of fact or judgment used in analyzing a planning or programming action.

Prior Year. The fiscal year immediately preceding the current year.

Problem Definition. Establishing a precise identity to a barrier or insufficiency that interferes with optimum program accomplishment. It is used in the statement of a request for added resources.

Process Measures. Activity measures that make up a systems framework where each activity is related to other activities. The Quality Management Staff (G-CQ) has developed a manual, The Process Measurement Guide, and an associated training program designed to teach fundamentals of process measurement, and a tool book entitled "The Process Improvement Guide", which includes "how to" instructions on various statistical techniques.

Productivity. The efficiency with which resources are used to provide a service or product at specified levels of quality and timeliness.

Productivity Improvement. A decrease in the unit cost of products or services delivered to the public, while maintaining specified standards of quality and timeliness.

Program (noun). A major ongoing Coast Guard endeavor which fulfills statutory or executive requirements and which is defined in terms of the principal actions required to achieve a significant end objective.

Program/Programming (verb). A specific action to allocate resources to carry out a decision (see SPPBEES).

Program Appropriations. Funds appropriated by the Congress to achieve program accomplishment in the Coast Guard. The current appropriations are: Operating Expenses; Acquisition, Construction and Improvements; Alteration of Bridges; Reserve Training; Retired Pay; Research, Development, Test and Evaluation; Boat Safety; Offshore Oil Pollution Compensation Fund; and Deepwater Port Liability Fund.

Program Description. A management tool to describe an existing Coast Guard Program. Contains sections which detail current resource use, standards of performance, and measures of effectiveness.

Program Direction. The Program Director's assessment of where the program is headed out to as many as 15 years. Also contains an assessment of threats and opportunities for the program.

Program Director (PD). The flag officer or civilian office chief at Headquarters immediately responsible to the Commandant for the overall management of a program.

Program Goal. Outcome related direction for the major functions and operations of the Coast Guard.

Program Manager (PM). The staff officer at Headquarters designated by and responsible to the Program Director for the detailed management of a Coast Guard program.

Program Measure. Specific action(s) focused on reaching measurable results against clearly defined standards of performance.

Program Objective. Results-oriented, clearly understandable, quantifiable, specific action(s) to be taken towards accomplishing program goals.

Program Standard. A level of performance expressed as a tangible, measurable target, against which actual achievement can be compared, including a goal/objective expressed as a quantitative standard, value, or rate. [Similar to the definition of "Performance Goal" in GPRA.]

Project Manager. The designated individual tasked with immediate responsibility of project planning, development and execution. For example, the Project Manager concept is utilized to manage the acquisition of major systems (see Chapter 14).

Project Proposal Report (PPR). The Shore Facility planning document which analyzes alternative engineering solutions to meet the requirements of the operational assumptions, justifications, and alternative approval in the Planning Proposal.

Public Affairs Support Program. A program designed to assist the Coast Guard in accomplishing its missions by gaining the awareness, understanding and support it needs to operate successfully. It establishes (and maintains) effective channels of communications between the Coast Guard and its publics, both external and internal.

Quality. The extent to which a product or service meets customer requirements and is fit for use.

Quality Improvement. An increase in the conformance of a product or service to requirements and specifications, and thus in the capability of a product or service to meet customer expectations.

RA. The abbreviation for the Radionavigation Aids Operating Program.

RBS. The abbreviation for the Recreational Boating Safety Operating Program.

RCP. The abbreviation for Resource Change Proposal.

RDT&E. The abbreviation for Research, Development, Test and Evaluation.

RT. The abbreviation for the Reserve Forces Operating Program.

Radionavigation Aids Operating Program (RA). A program designed to establish, maintain and operate a system of radio aids to navigation. It provides a continuous, accurate, all-weather position determination capability which facilitates the safe and expeditious passage of marine and air traffic; it also meets the position determination requirements of public and private sectors of the United States. See the RA PD for further information.

Recreational Boating Safety Operating Program (RBS). A program designed to reduce the risk of loss of life, personal injury and property damage associated with the use of recreational boats. Provides boaters with maximum safe use of the nation's waterways. See the RBS PD for further information.

Reprogramming. Utilization of funds in an appropriation account for purposes other than those contemplated at the time of appropriation. This is done to reallocate resources from a lower priority need to a higher priority need. Reprogramming take the form of billet/position and/or funds transactions and are accomplished outside of the normal budgetary process.

Research and Development Support Program (GRD). A program designed to develop and obtain acceptance of technology advancements which improve the Coast Guard's ability to perform its missions. See the GRD PD for further information.

Reserve Forces Operating Program (RT). A program designed to provide trained units and qualified persons available for active duty in the Armed Forces, in time of war or national emergency and at such other times as the national security requires. See the RT PD for further information.

Resource Change Proposal (RCP). A Planning document used in the formulation of resource allocations in the Coast Guard (see Chapter 14).

SAR. The abbreviation for the Search and Rescue Operating Program.

SPPBEES (Strategic Planning, Long-Range Planning, Programming, Budgeting, Execution and Evaluation System).

A management tool to execute the Coast Guard resource management system. SPPBEES is comprised of six processes:

Strategic: Planning
The establishment of a vision for the organization within a future, external environment. Also the refinement of the purpose of the organization and why it should exist.

Long-Range Planning:
The establishment of objectives and of alternative ways of achieving them, identification of future environments, contingencies and alternative responses to them, and the determination of the future consequences of present decisions.

Programming:
A specific action to allocate resources to carry out a decision.

Budgeting:
The activity through which funds are requested of the President and Congress, appropriated, apportioned, & accounted for.

Execution:
Actual implementation/execution of the budget.

Evaluation:
A formal assessment through measurement and systematic analysis, of the manner and extent to which programs achieve intended objectives.

SRA. The abbreviation for the Short Range Aids to Navigation Operating Program.

Safety and Occupational Health Support Program (GAS). A program designed to provide guidance and direction to those organizations and individuals responsible for maintaining places and conditions of employment or service for Coast Guard personnel in a safe and healthful condition as required by law. See the GAS PD and COMDTINST M5100.29 (series); Safety and Occupational Health Manual for further information.

Search and Rescue Operating Program (SAR). A program designed to minimize loss of life, injury and property damage by rendering aid to persons and property in distress in the marine environment, including the inland navigable waters. See the SAR PD for further information.

Short Range Aids to Navigation Operating Program (SRA). A program designed to facilitate the safe and expeditious passage of marine traffic in coastal areas, inland waterways and harbors in order to enhance the utility of the national waterways for commercial, recreational, public and private users. See the SRA PD for further information.

Simultaneous Mission Factors (SMF). Factors that are developed to account for the ability of boats/cutters/ aircraft to perform more than one mission at a time.

Special Analytic Studies. Studies that can be broadly categorized along a continuum ranging from minor studies to major studies according to their relative significance or resource cost. They may also be designated as "issue" or "policy" studies or "position papers". Detailed procedures for special analytic studies are set forth in Chapter 16.

Staffing Standards. Define the quantitative and qualitative human resources required to accomplish identified workloads. Standards are developed using accepted work measurement and data collection techniques under the oversight of G-CPA.

Stakeholder. Anyone who has a vested interest in a process.

Strategic Driving Forces. Those emerging political, economic, societal, technological, and environmental trends that may affect the Coast Guard. The Commandant's Strategic Planning Staff (G-CX) periodically disseminates an analysis of these driving forces as a result of their external environmental scanning activities.

Strategic Goals. Targets or specific desired future results derived from our roles.

Strategic Plan. Plan to achieve the end towards which the organization is driving.

Strategy. An end towards which an organization is striving. Where an organization wants to go in the future.

Study Manager. The individual responsible for the preparation of a special study. He/she may be, but is not necessarily, an active member of the study team (see Chapter 16).

Supply Support. Encompasses the policies, procedures, resources and organization employed to maximize operational readiness by ensuring the timely flow of material and information necessary to fill requirements originating at and terminating with receipt at the end user level.

Support Needs. The various services, resources, information, and developments required by Operating Programs from Support Programs for the accomplishment of goals. (This does not preclude Support Programs having needs from other Support Programs or Operating Programs from other Operating Programs; e.g., personnel support for engineering, icebreaking support, etc.

Support Program. A program which has as its primary objective the provision of a service or mix of services directly to the Coast Guard, e.g., engineering, personnel, public affairs, etc. necessary to "support" Operating Programs (see Operating Programs and Table 2-1).

Support Program Director. Acts for the Commandant in the management of assigned support program(s).

Support Program Manager. Assists the Support Program Director through continuous review and implementation of routine program policy.

Targets of Opportunity. Research and development projects which take rapid advantage of emerging technological advances. Because of their emergent nature, appropriations are not requested for Targets of Opportunity. Sponsors will be asked to recommend reprogramming from within their respective program area funds to budget for the project.

Telecommunications. Telecommunications services include, without limitation, the transmission, emission or reception of signals, signs, writing, images, sounds or intelligence of any nature, by wire, radio, visual, or other electrical, electromagnetic, or acoustically coupled means. Telecommunications facilities include equipment used for such modes of transmission as telephone, telegraph, teletypewriter, data facsimile, telephotograph, video, and audio, and such corollary items as distribution systems and communications security systems .

Telecommunications Plan. A regularly updated publication required by DOT Order 5400.1 that forecasts telecommunications requirements and expenditures.

TSARC. The acronym for Transportation Systems Acquisition Review Council (see Chapter 17).

Values. The guiding principles of an organization.

Vision. A future state for an organization determined by the leadership. It is normally articulated in a vision statement that is recognized by the entire organization. It aligns an organization so that everyone can work in the same direction.

Workforce Management. The process designed to monitor and examine the execution of workforce plans. To evaluate the impact of external/internal factors in such a way as to meet both current and future human resource needs, including recruiting, selection and classification, training, assignment, advancement, and other processes designed to produce a workforce.

Workforce Planning. The process which integrates the quality

and quantity of the total force to forecast long and short term human resource needs; coordinates those needs (demand) with the availability of human resources (supply) to provide the best force mix and structure to support Coast Guard missions.

B. Point of Contact. For further guidance, contact Commandant (G-CPP), Ph (202) 267-2355.

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