

Field Planning for Shore Infrastructure

Field Planning Manual

COMDTINST M11000.17
November 2007

Infrastructure and the Execution Proposal as part of the Headquarters review function. Finally, the new edition of the Field Planning Manual includes a description of the recently implemented Field Planning Package on line status report that is now available on Coast Guard Central. The objective is to improve communication between Headquarters and field units, offer flexibility in the administration of the planning function, and assure that sufficient documentation is prepared to complete an adequate review at the Headquarters level. It is recognized that a major Coast Guard wide transformation effort is presently underway, which will have a significant impact upon various sections of this Manual. It is anticipated that additional revisions will be made to the Manual during the next year as the transformation process is continued.

6. FUTURE CHANGES. Commandant (CG-01) is the issuing and amending authority for this manual. Your suggestions are solicited regarding additions, deletions, and changes that will improve this Manual. Written suggestions are preferred and may be relayed via e-mail or in hardcopy to Commandant (CG-81), (202) 372-3480.
7. ENVIRONMENTAL ASPECTS/CONSIDERATIONS. Environmental aspects and considerations that impact the field planning process are covered within this Manual.
8. REPORTS AND FORMS REQUIRED. The Planning Proposal Form CG-5324 (A through I), RCN-16010.1 and the Comprehensive Plan Form CG- 4900 (A through C), RCN-16010-2, are no longer used and are cancelled.
9. FORMS/REPORTS. None.

R.J. Papp, Jr. /s/
Chief of Staff

Summary of changes to this edition of the Field Planning Manual

Chapter 1	Rewritten to reflect new field planning tools.
Chapter 2	Rewritten to show updated organizational symbols.
Chapter 3	Problem Statements have been reassigned to CG-81 from CG-43 and are included in this Manual.
Chapter 4	Rewritten with updated information for preparation of Planning Proposals; section on waivers has been revised.
Chapter 5	This is a new chapter on the Decision Memo for Shore Infrastructure.
Chapter 6	This is a new chapter on the Execution Proposal.
Chapter 7	This is an updated chapter on economic analysis.
Chapter 8	This chapter has been rewritten to reflect updated information from the Coast Guard housing manual.
Chapter 9	This chapter has been rewritten to reflect changes in CGES and Morale, Well-Being and Recreation.
Chapter 10	This is a new chapter on managing the reorganization process within the field planning context.
Chapter 11	This is a new chapter on BRAC.

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CHAPTER 1. INTRODUCTION

- A. Purpose. A number of major organizational changes have taken place within the United States Coast Guard since the Planning and Programming Manual – Volume II (Field Planning Manual) COMDTINST M16010.6 was updated in 1993. Many of these changes have been made in response to significant external events as we have attempted to meet a new set of security and management challenges. This manual has been rewritten to more effectively enforce organization wide planning requirements and ensure discipline in the planning process in this new environment.
1. Planning and the Budget Process. The Department of Homeland Security Future Year Homeland Security Program (FYHSP) is a five-year budgeting tool to enhance planning and resource management by capturing the full cycle of new initiatives, including initial investment, operating costs, disposal/termination costs, attrition rates and associated support costs for all Coast Guard mission-programs. It is within this context that Coast Guard field planning activities have been refined to take this new approach to budget formulation into account.
- B. Field Planning Process Description. This edition of the field planning manual has been modified to reflect a change in project management requirements. For example, existing processes have been revised to consider a greater range of issues that will now be encountered in the field planning arena. In addition, new processes have been developed to make certain critical business decisions within a shorter timeframe than traditionally taken for shore related projects. These new processes include the Decision Memo for Shore Infrastructure explained in Chapter 5 and the Execution Proposal explained in Chapter 6. The objective in each case is to offer flexibility in the administration of the planning function and assure that sufficient documentation is presented to perform an adequate review at the Headquarters level. The field planning tools are introduced below and discussed in more detail in their individual chapters.
1. Problem Statement. Commandant (CG-81) is the process owner of the Problem Statement (PS). The objective of the Problem Statement is to more clearly identify and communicate information for a potential shore facility project between the field and Headquarters program managers. An approved Problem Statement is an agreement among all interested parties that a legitimate need exists to improve shore infrastructure facilities and has sufficient merit to devote future resources to the development of a Planning Proposal. Please note that the Problem Statement is the first step in the field planning process, but does not have to be completed prior to the preparation of a Decision Memo for Shore Infrastructure. A Problem Statement does not have to be completed prior to the submission of a Planning Proposal if the issues to be addressed are of an urgent nature. Once a Problem Statement has been approved, it will be added to the SFRL.
 2. Planning Proposal. Commandant (CG-81) is the process owner of the Planning Proposal (PP). The Planning Proposal is a tool that is available to field and

- Headquarters personnel to identify alternative solutions to address the actual need identified in the Problem Statement with regard to improvements in shore infrastructure, and to indicate new or changed resource requirements and needs. The Planning Proposal is viewed as a formal, field-originated document that provides a detailed, comprehensive business analysis of alternatives that involve recommendations to reorganize, relocate, change procedures, or acquire new facilities. Planning Proposals must be fully vetted among all critical management functions (legislative, environmental, real property, etc.). Once a Planning Proposal has been approved, it will be added to the SFRL.
3. Decision Memo for Shore Infrastructure. Commandant (CG-81) is the process owner of the Decision Memo for Shore Infrastructure (DMSI), which is a tool created to expedite the planning function for critical Coast Guard projects in the post 9/11 period. These projects may be highly visible, will have received approval from the field and from Headquarters program managers, and are unique in that there is only one clear viable alternative. The DMSI is designed to evaluate a shore facilities project when a time critical decision must be made in terms of funding and allocation of resources. In most cases, a project covered in a DMSI will have undergone an initial Problem Statement level assessment and will appear on the SFRL. The funding process for the DMSI is now specifically addressed. In these cases, the DMSI package will include an Area endorsement in support of the project that is being submitted. Area will include a recommendation in this endorsement as to which existing projects will be re-prioritized in the SFRL in order to justify prioritization of the new project in their place.
 4. Execution Proposal. The Execution Proposal (EP) is an evaluation process that is owned by and managed through Commandant (CG-83). The EP process provides the analysis and documentation required to make decisions on projects that have supplemental or earmarked funds. The EP is only used to execute supplemental funds or fulfill congressional mandates when time is of the essence to spend earmarked funds. Commandant (CG-81) acts in a support role and provides guidance as necessary on the EP process. The difference between a DMSI and an Execution Proposal is that a DMSI has not yet received funding. In contrast, funding for an Execution Proposal has come through as an earmark and action is required to obligate the money. Once an Execution Proposal has been approved, it will be added to the SFRL.
- C. Reporting on the Status of Field Planning Packages. Commandant (CG-81) has implemented an on line feature to monitor the status of field planning packages. This on line report is located on Coast Guard Central under the 'Units' tab. Select 'Search for Unit/Department.' Enter 'CG-81' in the Department Name search block and click 'Find Departments.' Select 'CG-81' at the top of the list. Select 'Status Report – Field Planning Packages' in the Unit Information Section. The report will appear for viewing.

D. References. A glossary of common terms and a list of acronyms are included at the end of this manual as a reference for potential questions. The manual is also written for use in conjunction with other Coast Guard publications that are referenced in subsequent chapters including:

1. Coast Guard Morale, Well-Being and Recreation Manual, COMDTINST M1710.13 (series).
2. Major Systems Acquisition Manual, COMDTINST M4150.2 (series).
3. Staffing Standards Manual, COMDTINST M5312.11 (series).
4. The Coast Guard Organization Manual, COMDTINST M5400.7 (series).
5. Coast Guard Nonappropriated Fund Instrumentalities Manual, COMDTINST M7010.5 (series).
6. Financial Resource Management Manual (FRRM), COMDTINST M7100.3 (series).
7. Naval Engineering Manual, COMDTINST M9000.6 (series).
8. Civil Engineering Manual, COMDTINST M11000.11 (series).
9. Shore Facilities Project Development Manual (SFPDM), COMDTINST M11010.14 (series).
10. Real Property Asset Management Manual, COMDTINST M110011.9 (series).
11. National Environmental Policy Act (NEPA) Implementing Procedures.
12. National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
13. Safety and Environmental Health Manual, COMDTINST M5100.47 (series).
14. Coast Guard Housing Manual, COMDTINST M11101.13 (series).
15. Ordnance Manual, COMDTINST M8000.2 (series).

E. Guidance. Contact Commandant (CG-81) for guidance on any chapter in this Manual or with any suggested changes.

CHAPTER 2. HEADQUARTERS PLANNING AND COORDINATION

- A. Headquarters Planning Coordinators. Headquarters Planning Coordinators (HQPC) play an important role in managing the planning process. HQPCs are Subject Matter Experts (SME) responsible for advising, analyzing and reviewing field planning documents. The planning process will be facilitated when staff in the field coordinates the preparation of planning documents with HQPCs.
1. HQPC Program Management Responsibilities. HQPC responsibilities cover a wide range of program requirements. These responsibilities are:
 - a. Accurately describe mission, policies, and responsibilities for their primary programs.
 - b. Identify USCG regulatory and statutory requirements for their primary programs.
 - c. Describe current resource and staffing levels for their primary programs.
 - d. Describe current organizational structure for their primary programs.
 - e. Identify and resolve issues regarding program resources for their primary programs.
 - f. Identify services or products provided for their primary programs.
 - g. Work with field planners to improve or amend planning documents to achieve the objectives of the program. This interaction arises when Headquarters staff has questions in regard to the content of planning documents.
 - h. Proactively work with field planners to develop field planning requests submitted for Headquarters review and approval.
- B. Assignment of HQPC Responsibilities. A summary of HQPC responsibilities is given in Table 2-1 and is broken down by unit and primary program area.

Table 2-1 Assignment of Headquarters Planning Coordinator (HQPC)

FACILITY OR UNIT TYPE	HEADQUARTERS PLANNING COORDINATOR (HQPC)
Academy	CG-13
Chief Administrative Law Judge Office	CG-00J
Aids to Navigation Team	CG-731
Air Station/Air Facility	CG-711
Aircraft Repair and Supply Center	CG-41
Area Office	CG-81
Area Servicing Armory	CG-532
Art and Artifact Center	CG-0922
Aviation Training Center	CG-711
Aviation Technical Training Center	CG-13
Band	CG-0922
Boats (all standard & non-standard less than 65' in length)	CG-731
Buoy Tender (WLB, WLM, WLI, WLR)	CG-751
C2 Center	CG-64
Ceremonial Honor Guard	CG-0922
Child Care Facilities	CG-111
Coast Guard Counterintelligence Service	CG-25/CG-21
Coast Guard Cryptologic Group	CG-25/CG-21
Coast Guard Investigative Service (CGIS)	CG-25/CG-21
Coast Guard Institute	CG-13
Commander, CG Forces (CCGF)	CG-532
CG owned Small Arms Firing Ranges (SAFR)	CG-532
Civil Engineering Units	CG-43
Command Centers (OPCEN/RCC)	CG-741
Communication Area Master Station	CG-62
Communications Station	CG-62
Construction Tender (WLIC)	CG-751
Container Inspection and Training Assistance Team (CITAT)	CG-544
District Office	CG-81
Differential GPS (DGPS) sites	CG-541
Deployable Operations Group	CG-532
Electronic System Support Unit/Detachment	CG-64
Engineering Logistics Center	CG-44
Exchanges	CG-103
Finance Center	CG-84
Galley	CG-111
Group/Air Station	CG-711/CG-741
Harbor Tug (WYTL)	CG-751

TABLE 2-1 ASSIGNMENT OF HEADQUARTERS PLANNING COORDINATOR (HQPC)	
FACILITY OR UNIT TYPE	HEADQUARTERS PLANNING COORDINATOR (HQPC)
Headquarters	CG-82
Health Care	CG-112
Hearing Office	CG-094
High Endurance Cutter	CG-751
Housing	CG-122
Industrial Support Detachments	CG-44
Integrated Support Commands	CG-44
Intelligence Coordination Center	CG-25/CG-21
International Ice Patrol	CG-541
Loran Station	CG-541
Loran Support Unit	CG-64
Maintenance & Logistics Command (MLC)	CG-8/CG-4
Marine Safety Center	CG-52
Marine Safety Lab	CG-54
Maritime Defense Zone Organization (MDZ)	CG-532
Maritime Intelligence Infusion Center (MIFC)	CG-25/CG-21
Medium Endurance Cutter (WMEC)	CG-751
Morale, Well-Being & Recreation	CG-103
Museums	CG-0922
National Motor Lifeboat School	CG-132
National Data Buoy Center	CG-541
National Pollution Funds Center	CG-01
National Strike Force Coordination Center/Strike Teams	CG-533
National Vessel Documentation Center	CG-543
Naval Engineering Units	CG-45
Navigation Center	CG-541
National Maritime Center	CG-543
Operations Systems Center (OSC)	CG-63
Patrol Craft (WPB)	CG-751
Personnel Command (CGPC)	CG-122
Personnel Support Units	CG-102
Port Security Units	CG-532
Project Resident Office (PRO)	CG-928
Recruiting Office	CG-12/CG-121
Representational Facilities	CG-43
Research and Development Center	CG-926

TABLE 2-1 ASSIGNMENT OF HEADQUARTERS PLANNING COORDINATOR (HQPC)	
FACILITY OR UNIT TYPE	HEADQUARTERS PLANNING COORDINATOR (HQPC)
Sector Commands	CG-741
Sector Command Centers	CG-741/
Small Arms Repair Facility (SARF)	CG-532
Stations	CG-731
Support Center Elizabeth City	CG-44
Tactical Law Enforcement Teams (TACLET)	DOG
Maritime Safety Security Team (MSST)	DOG
Maritime Security Response Team (MSRT)	DOG
Port Security Units (PSU)	DOG
Strike Force	DOG
Telecommunications and Information Systems Command (TISCOM)	CG-62
Training Cutter (WIX)	CG-751
Training Center (except AVTRACEN)	CG-13
Training Quota Management Center	CG-13
Training Teams	CG-132
Vessel Traffic Service	CG-741
Yard	CG-45

CHAPTER 3. PROBLEM STATEMENTS

- A. Purpose. The objective of the Problem Statement (PS) is to identify a situation where shore facilities must be constructed, expanded, modified or updated, and promote communication between the field and program managers at Headquarters as these projects are further defined and evaluated. Approval of a Problem Statement represents concurrence that there is a gap between shore facility assets and requirements at a level sufficient to devote resources to the development of a Planning Proposal.
1. Background. Problem Statements are created when there is a documented gap between the shore facility assets on hand and the assets required for the unit to perform its mission that cannot be bridged through the expenditure of OE funds. These gaps may be driven primarily by:
 - a. Shore facility recapitalization, capital asset additions or disposals.
 - b. New or changed mission.
 - c. Catastrophic failures.
 - d. Environmental requirements.
 2. Objectives/Results. The entire field planning community will gain the following benefits when Problem Statements are properly utilized.
 - a. Emphasize problem identification; predetermined solutions are avoided.
 - b. Improve or expand problem identification to include operational and support issues that have the potential to impact other Coast Guard assets.
 - c. Achieve better communication between field commanders and Headquarters program managers.
 - d. Provide early Commandant (CG-81) approval during Headquarters stakeholder engagement to ensure appropriate effort and visibility is given to the problem. Commandant (CG-81) is the signature authority for Problem Statements.
 - e. Please note that the Problem Statement is the first step in the field planning process, but does not have to be completed prior to the preparation of a Decision Memo for Shore Infrastructure. A Problem Statement does not have to be completed prior to the submission of a Planning Proposal if the issues to be addressed are of a critical nature. For example, a Problem Statement would not be required if a Coast Guard facility burned down and had to be replaced. It is emphasized, however, that the option to not prepare a Problem Statement is the exception to the rule.

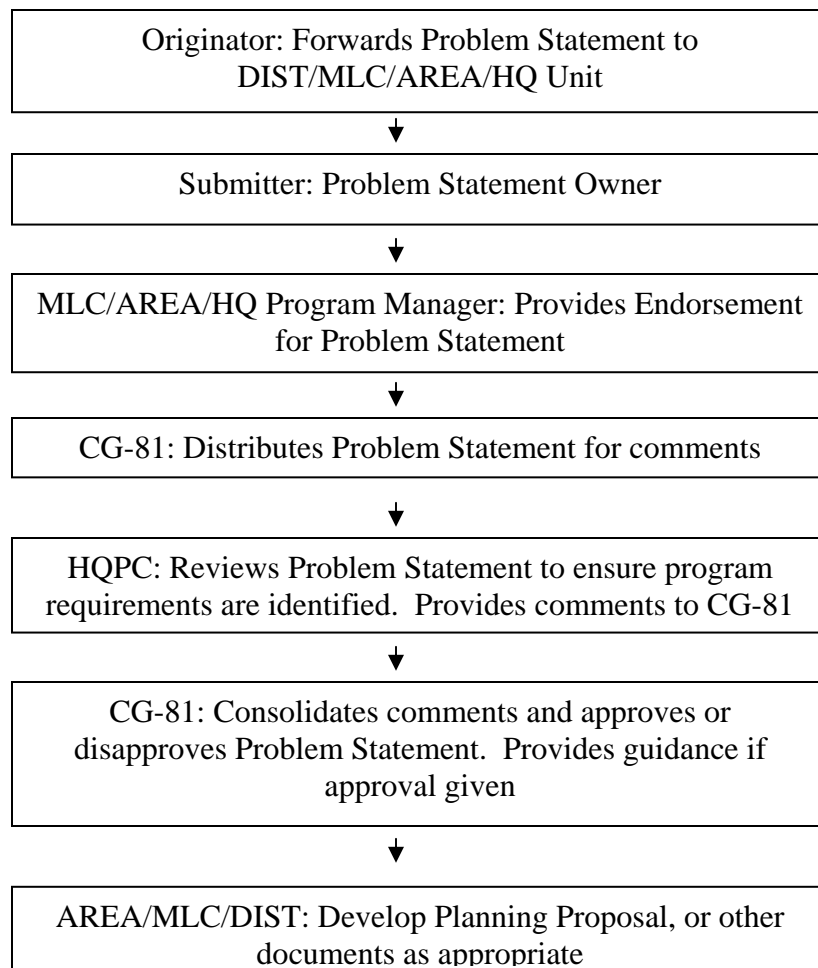
3. Sources. A Problem Statement may be generated from a number of sources. These sources include but are not limited to the following components.
 - a. Facility Inventories and Condition Assessments.
 - b. Master Plan Project Lists.
 - c. Biennial Inspections.
 - d. Environmental Compliance Inspections.
 - e. Engineering Evaluations.
 - f. Safety Risk Assessment Surveys.
 - g. Divestiture Actions.
 - h. Strategic Home Porting Plans.
 - i. Re-siting plans for aircraft.
 - j. Special studies which show a need to change missions, assets, facilities, or improve business processes.
 4. Application. A Problem Statement is used to request commitment of resources for actions that require AC&I funding.
 5. Inappropriate Use. Do not use Problem Statements for the following activities.
 - a. Billet reprogramming.
 - b. Acquisition of Coast Guard assets, except shore facilities.
 - c. Facility maintenance using AFC-30 and AFC-43 funds.
 - d. Space Requests. For information on GSA space requests, see the Real Property Asset Management Manual, COMDTINST M110011.9.
- B. Planning Options. Once a Problem Statement has been approved, a Planning Proposal or Decision Memo for Shore Infrastructure should be prepared as appropriate.
- C. Format. A Problem Statement is an important means of communication between the field, District/MLC, Area and Headquarters. It facilitates coordination among all parties to identify operational or support issues. As a result, all Problem Statements will follow a common approach in terms of their approved format. See Appendix 1 for a sample Problem Statement document.

1. Format. Use a narrative format to accommodate a wide range of issues.
 2. Length. Be no more than 3 pages in length where possible.
- D. Content Areas. The information listed below must be included in a properly written Problem Statement.
1. SFRL Number. Assigned by MLC; is sequentially generated out of SAM.
 2. Project Title. Include the words 'Problem Statement' in the project title.
 3. Benefiting Unit. Name and OPFAC number for the benefiting unit(s) (i.e., tenant command), which is the customer for whom the problem is identified.
 4. Landlord Unit. Name and OPFAC number of the host command of the property.
 5. Funding Source. AC&I.
 6. SFRL Status. New. Add new project to SFRL.
 7. Field Manager. The Field manager will be District, Area, MLC or Headquarters Unit Program Manager.
 8. HQPM. The HQPM is the Headquarters program manager with primary responsibility for the unit.
 9. Problem Statement. Describe background, current state and impact of the problem. Include a description of the desired state to fulfill operational demand.
 10. How Problem was Identified/Background. Explain background information as appropriate.
 11. Status Quo and Preferred Alternatives. Describe status quo/preferred alternatives.
 12. Significant Issues. Briefly describe major concerns, issues or constraints not already indicated.
 13. Checklist of Constraints, Impacts and Environmental Concerns. Complete the checklist as appropriate with comments as needed.
 14. Planning Proposal Waiver Requested. A waiver can be requested only for Title 10 Transfers.
 15. Participants. Include names and telephone numbers of key individuals who provided assistance and/or background material in preparing the Problem Statement.

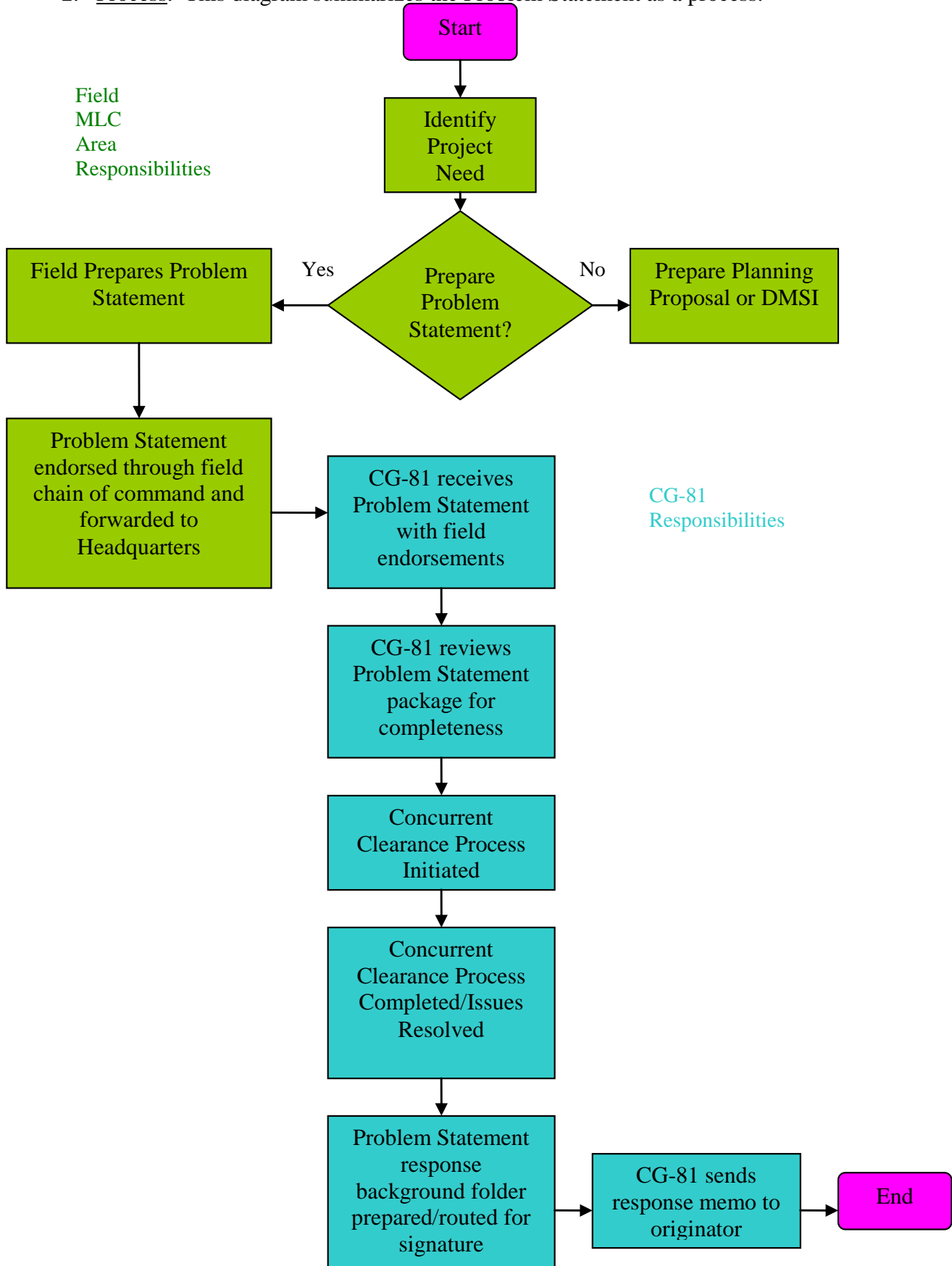
16. Originator. Include Name, title, phone number and email address of originator. Anyone identifying a problem or need may submit a Problem Statement through their chain of command. The originator shall coordinate with District (dpl), District Program Manager, and Headquarters Planning Coordinator for comment and support.
17. Submitter. The person submitting the Problem Statement should provide comments and recommendations along with signature, title, date and District, MLC(s), HQ Unit CO.
18. Area and MLC Endorsement. Area and MLC commanders or their designated representatives should provide comments and recommendations along with signature and date. MLC and AREA will also provide endorsements through the chain of command for Headquarters unit proposals.

E. Submission and Review Roles.

1. Unit Roles. The diagram below summarizes the roles that units play in the submission and review of Problem Statements.



2. Process. This diagram summarizes the Problem Statement as a process.



- F. Timeline. The submission and processing of a Problem Statement must follow a specific sequence to assure that all issues are considered.
1. Concurrent Clearance. Once the Problem Statement has been received at Headquarters, it will be reviewed and distributed through the concurrent clearance process within five work days of receipt in Commandant (CG-81).
 2. Headquarters Review. Headquarters program coordinators will then have 10 work days to review the Problem Statement and return comments to Commandant (CG-81). (15 work days total.)
 3. Response Memo. Commandant (CG-81) will then review and assess comments and distribute a response memo within 10 work days. (25 work days total.)
 4. Importance of Supporting Documentation. The Problem Statement should be submitted to Headquarters with all supporting documentation. Where a Problem Statement is concerned, supporting documentation might include all appropriate endorsement correspondence or forms specific to the project. For example, when a Problem Statement involves the transfer of excess real property, a copy of the appropriate GSA Form 1334 should be attached. When documentation is missing, the appropriate field office will be given 30 days to provide any missing items. If the missing items are not submitted within this 30 day period, the Problem Statement will be returned for re-submission at a later date when it is complete.
 5. Flexible Schedule. Flexibility has been built into the Problem Statement review process. When necessary, additional time may be allocated to update information or deal with issues as they arise.
- G. Approval. Commandant (CG-8) is the final approval authority for the Problem Statement.

CHAPTER 4. PLANNING PROPOSALS

- A. Purpose. A Planning Proposal (PP) provides an evaluation of alternatives in support of a variety of shore facilities projects. It is the result of a team based problem solving process that: identifies financial issues impacting each alternative, develops multiple solutions, recommends the best solution through vigorous analysis, and offers a suggested implementation plan. Commandant (CG-81) is the process owner and the first point of contact in the Planning Proposal Headquarters review and approval process.
- B. Concept. The analysis contained in a Planning Proposal may offer recommendations to reorganize, relocate (including Homeports), acquire new facilities, or program shore AC & I funds. A Planning Proposal can be submitted without a completed and approved Problem Statement if all applicable field and Headquarters offices agree that there is a critical need for the project. A Problem Statement waiver is the exception to the rule and senior management at Headquarters must approve such a waiver.
1. Review Process. Planning Proposals are a critical input to the Strategic Planning, Programming, Budgeting, Execution, and Evaluation (SPPBEE) System, and are the first comprehensive review through which a field originated initiative must pass to achieve eventual success in the budgetary process. Where shore facilities are involved, a Planning Proposal follows an approved Problem Statement and is submitted in accordance with the Shore Facilities Project Development Manual (SFPDM), COMDTINST M11010.14 (series). The Planning Proposal ultimately serves two functions.
 - a. The formal review becomes the initial point at which Commandant (CG-8) decides the course of action to be taken to address a shore facilities requirement. It also establishes the basic scope of the approved solution. Approval of a Planning Proposal is the initial decision that the project is sufficiently justified to compete in the budgetary process and that it should proceed to the AC&I Project Proposal Report (PPR), the Resource Proposal (RP), and/or the Operating Facility Change Order (OFCO) as applicable.
 - b. The Planning Proposal also serves to ensure optimum use of planning and design resources throughout the Coast Guard. An approved Planning Proposal should channel the scarce programmatic resources to those few, key projects that will have the greatest positive impact on Coast Guard missions.
 2. Revisions. Planning Proposal cost estimates are subject to revision in subsequent planning and programming stages and are usually updated within a two to five year time frame until execution. In addition, the project must compete with other projects during the review of Resource Proposals in the budget process and may fall out, creating a delay if other projects take priority.
 3. NEPA. NEPA analysis and documentation is required with the submission of the Planning Proposal. A Planning Proposal without NEPA analysis is not complete.

See National Environmental Policy Act Implementing Procedures for Considering Environmental Impacts, COMDTINST 16475.1 (series). Commandant (CG-44) is the process owner for NEPA.

4. Re-validation. It is imperative that Planning Proposals contain accurate and up to date information. If for some reason the approved alternative becomes non-viable or is overcome by events during development, Commandant (CG-81) will make a decision as to whether the entire initiative must be re-evaluated. For initiatives that include shore facilities, this decision is known as a project revalidation and the Planning Proposal package will be returned for updating. (See Shore Facilities Project Development Manual (SFFDM), COMDTINST M11010.14, (series) Exhibit 6-1, Page 33.)
 5. Endorsements. Endorsements through the field chain of command are critical and are required for final action by Commandant (CG-8). MLC and AREA will provide endorsements through the chain of command for Headquarters unit proposals.
- C. Basis for Submission. Sections K, L and M can be used as a guide to determine if a Planning Proposal is the best approach to meet the objectives under consideration.
1. Assignment of Priorities. Planning Proposals should be submitted in accordance with the shore AC&I project timeline contained in the Shore Facilities Project Development Manual (SFFDM), COMDTINST M11010.14 (series).
- D. Timing. A Planning Proposal may be submitted at any time of the year, but budgeting of a project will depend on several factors, including SFRL priorities and complexity of the project itself. The SFPDM provides an AC&I project timeline as overall scheduling guidance. It is expected that interrelated Planning Proposals concerning different facilities will be submitted simultaneously when practical and tied together with a unit master plan. Planning Proposals that do not require additional AC&I, OE or other funding, such as an organizational change with offsetting resources, may be submitted with less lead time than noted above.
- E. Communication. In addition to a well documented and supported package, personnel dealing with Planning Proposals should make every effort to present and resolve problems through timely communications. Staff are expected to work together to resolve Planning Proposal discrepancies as efficiently as possible. Commandant (CG-81) will distribute by 1 October and 1 March of each year a list of pertinent names and phone numbers to appropriate field and Headquarters personnel to facilitate the communications process.
- F. Planning Proposal Format. A correctly executed Planning Proposal must contain specific information to be considered complete. When these guidelines are followed, Planning Proposal documentation will be more easily adapted to the proper format and the overall presentation of data will provide a more professional appearance.

1. Planning Proposal Content. A Planning Proposal shall have the following components.
 - a. A cover sheet and signature page. Include the words 'Planning Proposal' in the project title.
 - b. An executive summary.
 - c. An introduction that describes the purpose, the methodology used to make modifications to the existing facilities, and the problems in terms of what is wrong with the facility in its present configuration.
 - d. A background section that discusses missions and functions of the benefiting unit, planning factors, premises and assumptions, mission requirements, a resource assessment of existing facilities, a gap analysis and need identification.
 - e. A list of the full range of solutions, selecting the one best preferred alternative as the recommendation.
 - f. A proposed execution strategy.
 - g. References as appropriate.
 - h. Appendices (cost estimates, life cycle cost analyses, NEPA documentation and other supporting information).
- G. Sample Format. A sample Planning Proposal format, including instructions, is provided in Appendix B. It is expected that each information item will be included if appropriate. Planning Proposals that are incomplete, e.g. missing NEPA or other critical documentation will be returned.
- H. Submission. District Commanders, MLC Commanders, Area Commanders, commanding officers of Headquarters units or Headquarters offices may submit Planning Proposals. Submit one complete, single sided, unbound hard copy to Commandant (CG-81) who will ensure adequate distribution among HQPCs. All district Planning Proposals must have an Area Commander endorsement before being considered for approval.
- I. Caution on Duplication of Effort. Duplication and reiteration of analysis through the chain of command may cause delays in submitting the project to Headquarters. Proper coordination in the field will assure that the submission of a Planning Proposal is completed in a timely manner.
- J. Planning Proposal Waiver. There is no provision to waive Planning Proposals in the field planning process, except for Title 10 transfers. When a request is received to waive a Planning Proposal for a Title 10 transfer, it will be considered on a project by project basis.

K. Planning Proposal Submission. A Planning Proposal must be submitted when certain conditions are present. These conditions are listed below.

1. General. Any proposal specifically requested by Commandant (CG-01); any proposal which does not meet: (1) the general exclusion or (2) all of the specific exclusions listed in the exclusions section.
2. New Starts. All new starts and/or reestablishments which require creation of new OPFAC or OPFAC modifier; proposals to relocate or acquire additional facilities at Coast Guard Units, including donations of real property.
3. Reorganization. The Planning Proposal will only address reorganizations below the District and MLC and Sector levels that involve infrastructure changes. For reorganizations without infrastructure changes, see Chapter 10 of this Manual (Field Planning Manual) and the Coast Guard Organization Manual, COMDTINST M5400.7 (series). Large scale reorganizations involving multiple units may require a reorganization package prior the development of Planning Proposals. Consult in advance with Commandant (CG-81) for multiple unit reorganizations.
4. Shore Construction. All projects requiring shore AC&I and MWR NAF funding as defined by the OE/AC&I thresholds in Chapter 5 of the FRMM shall require a Problem Statement followed by either a Planning Proposal or Decision Memo for Shore Infrastructure as appropriate.
5. Other. Any other non-AFC-43 solutions, including different leasing options.

L. Planning Proposal Exclusions. A Planning Proposal is not required under certain circumstances. These circumstances include the following.

1. General. A Planning Proposal is not required when a proposal is specifically exempted on an individual basis by Commandant (CG-01).
2. Relocation/New Starts. New starts that use existing resources that do not require OPFAC change or CGES projects funded solely with nonappropriated funds.
3. Funding Changes. Proposals to increase or decrease unit allotments should be requested as described in the Financial Resource Management Manual (FRMM) COMDTINST M7100.3 (series); forward requests to Commandant (CG-843).
4. Reorganization. Proposals for a single unit, for example a station, within the local Commander's authority and proposals to redistribute AC&I billet resources.
5. Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C⁴ISR). Planning Proposals are not required for the installation or modification of C4ISR systems unless the installation or modification results in a significant change to the shore infrastructure, such as the addition of structures, the

- installation of towers, the upgrade of the utility services required, or the addition of backup power services. For example, the upgrade of the local telephone switch (PBX) does not require a Planning Proposal, but the addition of an additional sensor sites at a Vessel Traffic System (VTS) would require a Planning Proposal.
6. Other C⁴ISR. HQ unit or intra-district C⁴ISR needs satisfied through local resources. The C4IT service center will manage C4ISR acquisitions.
- M. Planning Proposal Prohibitions. A Planning Proposal is not to be used for the following.
1. Operational Decisions. Decisions in this category require Commandant (CG-00) review and approval.
 2. Other Funding Programs. Execution of supplemental funds and congressionally mandated projects are not covered by a Planning Proposal. An Execution Proposal should be used in these cases.
 3. Reprogramming. A reprogramming of funds takes the form of billet, position and/or funds transactions and is accomplished outside of the normal budgetary process. As a result, a Planning Proposal should not be used when a reprogramming is being done for the reallocation of resources from a lower priority need to a higher priority need. See Authority to Reprogram Personnel Resources, COMDTNOTE 5300.
 4. Reorganizations. A Planning Proposal should not be used for Coast Guard wide reorganizations. See Coast Guard Organization Manual, COMDTINST M5400.7 (series).
- N. Commandant Review. Commandant (CG-81) is the chair of the Planning Proposal Review Board. Headquarters personnel are responsible for reviewing planning documents as appropriate and attending and voting at the Planning Proposal Review Board (PPRB). The Planning Proposal Review Board is the last step before a Planning Proposal is approved or disapproved. These responsibilities are summarized below.
1. Commandant (CG-11).
 - a. Review for safety and occupational health impacts and determine appropriateness of any abatement proposals.
 2. Commandant (CG-43).
 - a. Review for compliance with shore facility and real property regulations.
 3. Commandant (CG-44).
 - a. Review for NEPA compliance.

4. Commandant (CG-81).
 - a. Review for agreement with long range plans and policies, adequacy of the Planning Proposal procedures and format, matters pertinent to the justification of the Planning Proposal, validity of the analysis and estimation of benefits. Resolve inter-program or interdivision conflict.
 - b. Chair the Planning Proposal Review Board (PPRB) meetings.
 - c. Prepare Commandant (CG-8) replies, make recommendations for approval or disapproval, and present the various viewpoints on the issues at hand to the Commandant (CG-8).
 - d. Review for management and organizational implications.
5. Commandant (CG-82).
 - a. Conducts a review of the Planning Proposal for overall program and funding requirements specific to the shore AC&I program.
6. Commandant (CG-83).
 - a. Assess budgeting, personnel allowance, personnel staffing impacts, matters pertinent to the justification of the Planning Proposal, validity of analysis and estimation of benefits, keep originator informed of Planning Proposal status.
 - b. Review economic analysis for accuracy and completeness, validity of cost comparisons, Appropriations and AFC impacts, energy efficiency and policy impacts, and proper use of SPC and other standard cost measures.
7. Commandant (CG-0921).
 - a. Review to determine congressional impact of the Planning Proposal.
8. Commandant (CG-0942).
 - a. Reviews the legal sufficiency of NEPA determinations.
9. Operating Program.
 - a. Review to determine operational Directors or Managers feasibility and desirability. Verify those sections of the Planning Proposal within their purview, check validity of analysis, justification of requirements and estimation of benefits.

10. Support Program.

- a. Review the input from Support Program Directors or Managers for desirability and feasibility. Verify those sections of the Planning Proposal within their purview; check validity of analysis, justification of requirements and estimation of benefits.

11. HQ Planning Coordinator (HQPC).

- a. Maintain verbal contact with the preparer of the Planning Proposal to resolve concurrent clearance questions that do not require formal correspondence or Commandant (CG-8) intervention.
- b. Present the Planning Proposal to the Planning Proposal Review Board (See Section O for PPRB Discussion). Act as advocates for the program. Keep the originator of the Planning Proposal apprised of the status and aware of any problems that may have arisen which impact the proposal.

O. Commandant Action/Planning Proposal Review Board (PPRB).

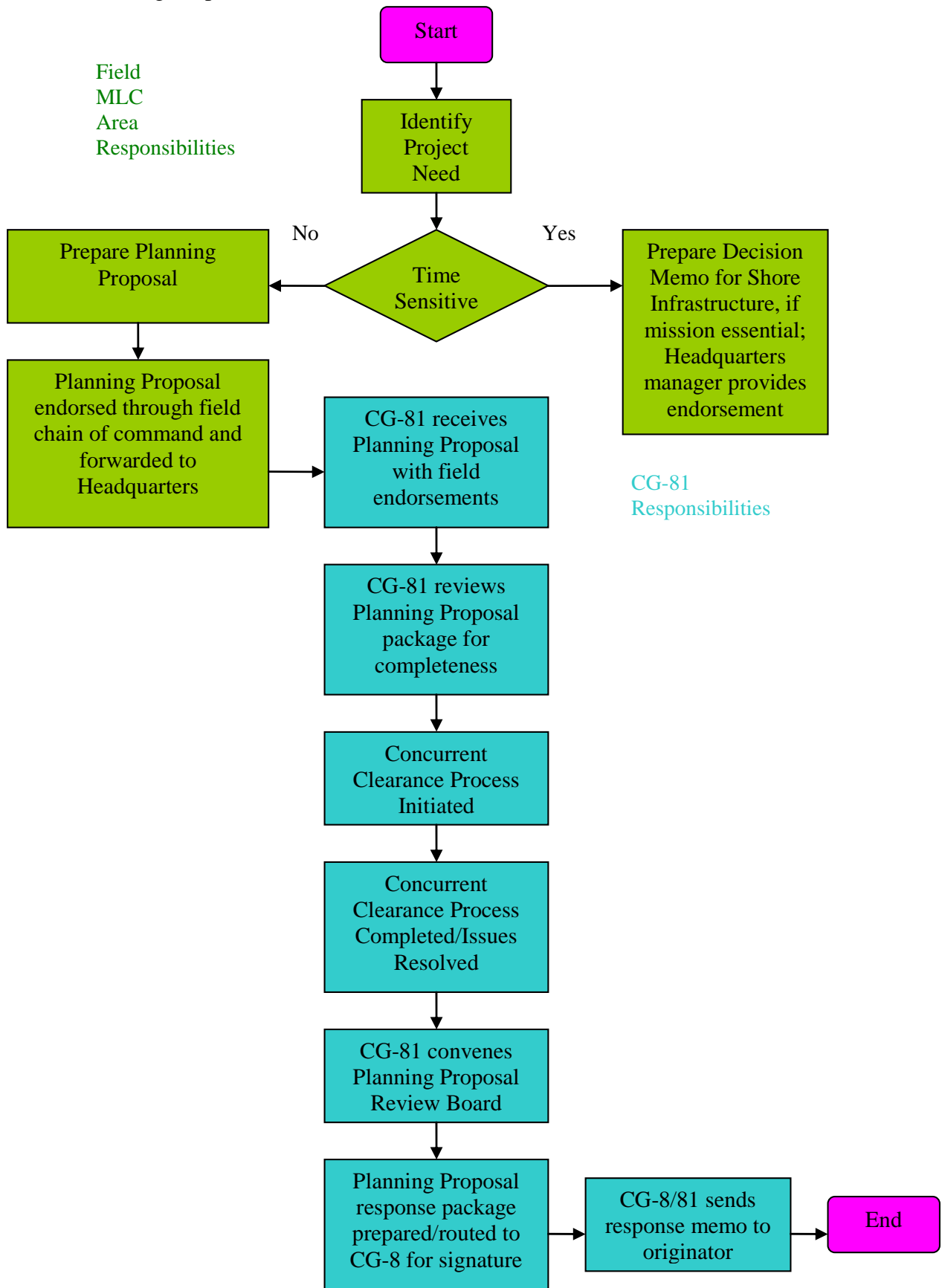
1. PPRB Roles. The Chief, Commandant (CG-81) will chair meetings as required to discuss Planning Proposal content, resolve conflicting issues, and determine the course of action to be recommended to Commandant (CG-8) for inclusion in the Headquarters reply to Planning Proposals. Other standing members of the Planning Proposal Review Board (PPRB) will include personnel from the following Divisions.
 - a. The HQPC for the particular Planning Proposal project, Commandant (CG-431), Commandant (CG-821) and Commandant (CG-832) are standing members of the PPRB.
 - b. Programs Division Commandant (CG-82) will participate in the PPRB to assess follow-on programming impacts.
 - c. The field personnel responsible for the Planning Proposal may attend each PPRB meeting as appropriate, but it must be understood, however, that they must pay their own TONO to attend the meeting. Field personnel do not participate in the voting process for the preferred alternative and will be excused from the PPRB session when a vote is taken. Those field personnel who would like to make a presentation must notify CG-81 at-least a week in advance so that Commandant (CG-81) can book an appropriate conference room that would allow for the presentations. Presentations must be limited to 15 to 20 minutes. It is expected that personnel in attendance at the Planning Proposal Review Board meeting will speak with the authority of their respective Office, Division or Staff so that a basis for agreement can be reached.
 - d. Headquarters Planning Coordinators (HQPC) will present the Planning Proposal along with a recommended course of action. The proposed response of the HQPC

will be accepted as the Commandant's reply unless reasons are presented in the meeting which necessitates a modification. To this end, the proposed response will be discussed in light of the probable impacts upon other Operating or Support Programs and in view of long term programmatic, organizational, and budgetary impacts on the Coast Guard.

- e. If issues develop that need further study, resolution or justification that will involve significant delay, the Headquarters Planning Coordinator in coordination with Commandant (CG-81) will prepare a reply to return the Planning Proposal unapproved. The reply will include an explanation and/or a request for additional project justification, prior to the original target date. This correspondence will specifically cite the subject Planning Proposal and propose a target date for resubmission.
2. Commandant Reply to Planning Proposal. Based on HQPC consolidated comments, results of the PPRB meeting and any necessary amplifying information, Commandant (CG-81) will prepare the Headquarters reply for Commandant (CG-8) signature within 60-90 days of receipt of the Planning Proposal at Headquarters. The final reply will be routed to appropriate parties for concurrent final clearance. The final reply will then be routed from Commandant (CG-81) to Commandant (CG-8).
 - a. If the Planning Proposal is approved, further guidance may be provided.
 - b. If the Planning Proposal is disapproved, the response memo will contain the reason for disapproval and any other guidance, if warranted.
- P. Timeline. The submission and processing of a Planning Proposal must follow a specific sequence to assure that all issues are considered.
1. Headquarters Review. Once the Planning Proposal has been received at Headquarters, it will be reviewed and distributed through the concurrent clearance process within five work days of receipt in Commandant (CG-81). (Five work days total.)
 2. Return Comments. Headquarters program coordinators will have 25 work days to review the Planning Proposal documentation and return comments to Commandant (CG-81). (30 work days total.)
 3. PPRB. Commandant (CG-81) will review and assess comments and schedule the Planning Proposal Review Board (PPRB) within 15 work days. (45 work days total.) The PPRB will be held and a vote taken to approve or disapprove the Planning Proposal. Commandant (CG-81) will prepare and distribute meeting notes to PPRB participants within 10 work days of the PPRB. (50 work days total.) A response memo will be distributed within 10 work days of the PPRB where all documentation is complete. (60 work days total.)

4. Flexible Schedule. Flexibility has been built into the Planning Proposal review process. When necessary, additional time may be allocated to update information or deal with issues as they arise.
5. Importance of Supporting Documentation. A Planning Proposal should be submitted to Headquarters with all supporting documentation. When documentation is missing, the appropriate field office will be given 30 days to provide any missing items. If the missing items are not submitted within this 30 day period, the Planning Proposal will be returned for re-submission at a later date when it is complete.
6. Process. The diagram below summarizes the Planning Proposal as a process.

Planning Proposal Process



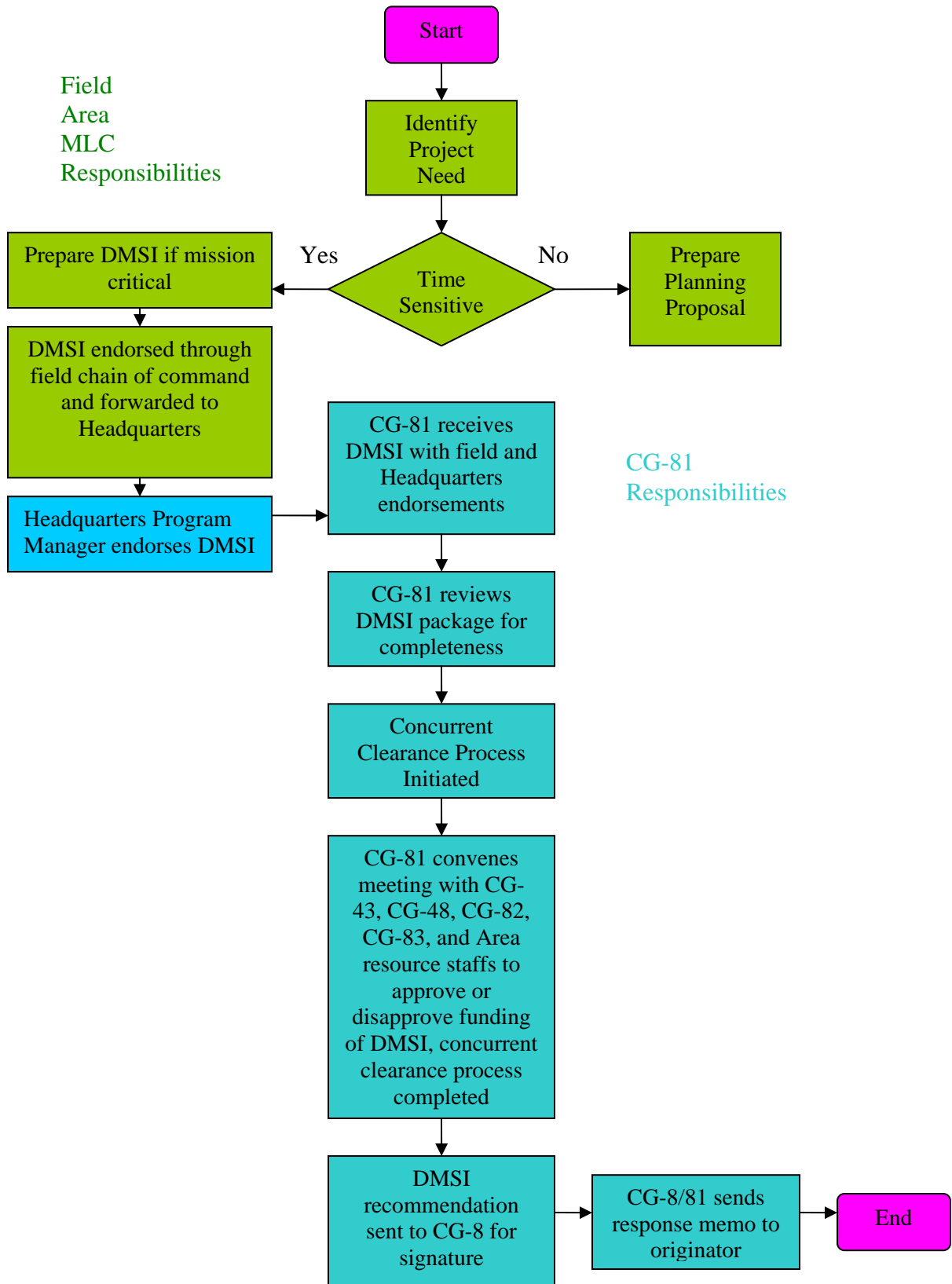
CHAPTER 5. DECISION MEMO FOR SHORE INFRASTRUCTURE

- A. Purpose. A Decision Memo for Shore Infrastructure (DMSI) is a field planning document that is designed to evaluate a shore facilities project when a time critical decision must be made in terms of funding and allocation of resources. The DMSI is to be used prudently as a planning tool because approval will result in a re-prioritization of projects on the SFRL. Commandant (CG-81) is the process owner for the DMSI.
- B. Submission Criteria. A DMSI package may be prepared for a shore facilities project and submitted if it meets the following criteria.
1. Requirement Identification. Either the field or Headquarters have determined that shore facilities are required to support an immediate operational need. When in doubt, field units should consult with Headquarters program managers for guidance.
 2. Funding Potential. It has been determined that the merits of the project are sufficiently strong to meet the immediate operational priorities included in the budget build, and/or has the potential to favorably compete for supplemental funding or a re-prioritization of funding.
 3. Preferred Alternative. There is one, clear preferred alternative solution to meet the requirement.
 4. Time Limitations. The requirement for shore facilities is more urgent than the normal Planning Proposal process will allow.
 5. Congressional Earmarks. There are no earmarked funds and/or congressional mandates to warrant an Execution Proposal.
- C. Documentation Requirements. A properly completed Decision Memo for Shore Infrastructure is formatted like the Planning Proposal but may be abbreviated as appropriate. The words 'Decision Memo for Shore Infrastructure' should be included in the project title. The DMSI must include the following documentation.
1. Area Endorsement in Support of the Project. The DMSI package will include an Area endorsement in support of the project being submitted. Area will include a recommendation in this endorsement as to which existing projects will be re-prioritized in the SFRL in order to justify prioritization of the new project in their place.
 2. Project Definition. Describe the existing situation at the benefiting unit. Provide as much detail as is needed to support the DMSI package. Describe the objective of the project and what the completed project will accomplish.
 3. Background Information. The DMSI will include background information or a discussion of the reason for the operational priorities and support needs, and describe the gap in the shore infrastructure requirements.

4. Status Quo and Preferred Alternative. Describe the status quo and the one, clear preferred alternative solution. Field units will work with Maintenance and Logistics Commands (MLC) and Civil Engineering Units (CEU) on legal, real property, and environmental issues.
 5. Detailed Estimates. The Area endorsement will include an order of magnitude estimate of the Total Ownership Cost (TOC) of the recommended solution in order for Headquarters reviewers to fully evaluate the impact on Coast Guard resources and to complete a full evaluation of the SFRL re-prioritization. In addition, a detailed cost estimate of all initial shore construction is required in order to support the new requirement in the budget process until a more detailed AC&I Project Proposal Report (PPR) can be completed.
 6. Recommended Action. The DMSI will contain a specific recommendation and will identify which action or solution is most appropriate to address the shore facilities requirement.
 7. NEPA Analysis. Address environmental issues for the recommended alternative and conduct National Environmental Policy Act (NEPA) analysis.
 8. Impact. The impact of the recommended action or solution should be discussed and must include the following components where applicable.
 - a. Identify the impact on personnel.
 - b. Analyze physical security requirements.
 - c. Evaluate safety, risk and environmental health concerns.
 - d. Discuss implementation in terms of milestones and schedule.
 9. Staffing Requirements. Headquarters program managers will work with field units to evaluate mission workloads, staffing standards, and performance standards and measures, if required.
- D. Action. The processing of the Decision Memo for Shore Infrastructure is broken down into the following sequence.
1. Supporting Documentation. The field unit in collaboration with servicing MLCs/CEUs and district planning officers prepare the documentation for the Decision Memo for Shore Infrastructure and submit the package through the field chain of command to the Headquarters program manager. If the DMSI request is initiated at Headquarters, the appropriate field unit must work with the Headquarters program manager to submit all required supporting documentation to complete the DMSI.

2. Written Endorsement. The Headquarters program manager prepares a written endorsement in support of the field unit documentation and submits the Decision Memo for Shore Infrastructure to Commandant (CG-81).
 3. Headquarters Review. Commandant (CG-81) will coordinate the concurrent clearance of the Decision Memo for Shore Infrastructure and subsequent program manager endorsement.
 4. Funding Approval. The funding of a new project that has been submitted through a DMSI is an important phase in the review and approval process. During the concurrent clearance stage, Commandant (CG-81) will initiate a meeting with Commandant (CG-43, CG-48, CG-82, CG-83) and both Area resource staffs to review the Area endorsement for SFRL re-prioritization and provide a recommendation to Commandant (CG-8). Commandant (CG-8) approval of the DMSI will include a funding plan which will range from a re-prioritization of the SFRL to a re-programming of current shore AC&I funding, depending on the overall urgency of the project. AREA will follow the same procedures for SFRL prioritization for a DMSI that involves a Headquarters unit. MLC and AREA will provide endorsements through the chain of command for Headquarters unit proposals.
 5. Response Memo Approval. Commandant (CG-81) will submit a response memo to Commandant (CG-8) with recommended actions or approvals. The response memo will include an explanation as to how the project will be funded and will confirm which existing projects will be re-prioritized in the SFRL.
- E. Timeline. Submission and processing of the DMSI should be completed in a timely fashion as explained below.
1. Document Preparation. The field unit prepares the documentation for the Decision Memo for Shore Infrastructure and submits this packet through the field chain of command to the Headquarters program manager.
 2. Program Manager Endorsement. The Headquarters program manager prepares a written endorsement of the field unit's documentation and submits the Decision Memo for Shore Infrastructure to Commandant (CG-81).
 3. Actions and Approvals. Commandant (CG-81) coordinates the review of the Decision Memo for Shore Infrastructure, funding review and approval, and the endorsement of the program manager. Commandant (CG-81) submits request to Commandant (CG-8) with recommended actions and approvals within 60 work days. (60 work days total.)
 4. Flexible Schedule. Flexibility has been built into the DMSI review process. When necessary, additional time may be allocated to update information or deal with issues as they arise.
 5. Process. The diagram below summarizes the DMSI as a process.

DMSI Process



- F. Approval. Commandant (CG-8) is the approval signature authority for the Decision Memo for Shore Infrastructure.

CHAPTER 6. EXECUTION PROPOSAL PROCESS

- A. Introduction. An Execution Proposal (EP) is used to execute supplemental funds or is used for earmarked funds in response to congressional mandates. In addition, the Execution Proposal is designed to provide the analysis and documentation required in making decisions on issues that have been mandated or otherwise lack at least a two-year lead time for implementation.
- B. Responsibilities. Commandant (CG-83) is the Execution Proposal process owner. Field planners are responsible for preparing the Execution Proposal and submitting it through their chain of command to Commandant (CG-8), with copies to Commandant (CG-81, CG-82, and CG-0921) and their Headquarters program manager. Specific Headquarters responsibilities are listed below.
1. Commandant (CG-83). Will manage the Execution Proposal as follows.
 - a. Determine which projects listed in various Congressional Reports and Acts require an Execution Proposal and assign an owner and a due date for submission to Commandant (CG-8).
 - b. Consult with Headquarters program managers and staff early in the process to develop execution planning factors as guidance to the field planners for preparing the Execution Proposal.
 - c. Conduct a concurrent review and solicit direct input from Headquarters program managers and staffs, particularly ensuring that all Execution Proposals are reviewed for legal, environmental, organizational, safety and political issues.
 - d. Resolve any issues identified in the concurrent review process.
 - e. Prepare a Decision Memo outlining the recommended course of action to Commandant (CG-8).
 - f. Ensure that a programmatic review is conducted and that the necessary programmatic documentation is provided for resource management decisions.
 - g. When supplemental funds are available, coordinate a meeting of stakeholders to determine which projects will receive supplemental funding.
 2. Commandant (CG-81). Will ensure alignment with field commander requirements and other long-range plans and/or initiatives, and provide guidance to Commandant (CG-83) in development of planning factors for the field planners.

3. Commandant (CG-0921). Will ensure alignment with Congressional intent, provide critical background and knowledge for preparing the Execution Proposal, and will assist Commandant (CG-83) with determining the best course of action, as necessary.
4. Headquarters Program Managers. Will assist with program policy and performance issues, and will provide input, oversight and guidance to the field in the development of the Execution Proposal.
5. Commandant (CG-8). Will serve as the approval authority for Execution Proposals, except for homeports and reorganizations.
6. Commandant (CG-01). Will serve as the approval authority for Execution Proposals involving reorganizations at the District/MLC level and above.
7. Commandant (CG-00). Will serve as the approval authority for Execution Proposals involving homeports.

C. Execution Proposal Description and Preparation.

1. Supplemental Funds. Requests for supplemental funding are generally prepared prior to actual distribution of this funding; unexpected earmarks in supplemental funding should also be addressed via the Execution Proposal process. When supplemental funds are available, the Execution Proposal process involves two phases.
 - a. Phase 1. Determine which initiatives or projects will receive supplemental funds. When supplemental funds are available, Commandant (CG-83) will coordinate a meeting of stakeholders to determine which projects have received supplemental funding. Headquarters program managers will solicit from the appropriate Areas and MLCs a list of projects eligible for supplemental funds, e.g. funds provided to make repairs following a hurricane. The appropriate District and Area Commander will endorse the list and submit it to Commandant (CG-83) and Headquarters program managers, with copies to Commandant (CG-81, CG-82, and CG-0921). Commandant (CG-83) will then coordinate the endorsed list for Headquarters comments and prepare a final list for Commandant (CG-8) approval.
 - b. Phase 2. In this phase, a determination is made as to how the supplemental funds will be used for each initiative or project. Field planners prepare Execution Proposals for projects on the final list and incorporate Headquarters planning factors into the final document. The Execution Proposal is then submitted through the chain of command to Headquarters.
2. External Mandates. External mandates will generally only require determination as to how to implement the mandate.

3. Only One Option. There may be cases in which there is only one alternative to an issue, e.g. direction from Congress to create an Air Facility at a given location. In these cases, there may be several ways to implement the alternative. The Execution Proposal should address implementation and execution strategies, develop the costs and recommend funding sources if required.
- D. Execution Proposal Format. The Execution Proposal format will mirror the Planning Proposal format but may be abbreviated as appropriate. For example, the Execution Proposal format will vary depending upon the complexity and magnitude of the earmark, should be kept as simple as possible, and should follow the arrangement described below.
1. Cover Letter or Signature Page. This document identifies project title, benefiting unit(s), landlord unit(s), source of funds, HQ program manager.
 2. Executive Summary. Self explanatory.
 3. Problem Description. This section identifies focus, background and statement of the problem.
 4. Problem Definition. This section includes mission requirements analysis and gap analysis.
 5. Alternative Solutions. A discussion of alternative solutions includes an assessment of how the project is to be carried out, an economic analysis for each alternative, NEPA documentation for each alternative, and a detailed spend plan for the preferred alternative. It is important to note that Execution Proposals must be accompanied by a complete NEPA document.
 6. Conclusions/Recommendation.
- E. Execution Proposal for Shore Projects. A majority of proposals that require an Execution Proposal will be shore projects. In addition to the required civil engineering documentation, Execution Proposals that involve shore projects should contain at a minimum depending on the nature of the earmark: lease information, a well-documented spend plan, discussion of environmental factors such as NEPA considerations, personnel and housing issues, and follow-on OE funding needs. A documentation checklist is included below for EP shore projects. EP shore projects that involve the GSA Relocation Program must follow the policy and process in Chapter 2 of the Real Property Asset Management Manual COMDTINST M110011.9, which states that "If approved by Commandant (CG-8), Commandant (CG-43) will seek approval from GSA and OMB (via GSA). If GSA and OMB approve the relocation proposal, then Commandant (CG-43) will provide further direction to the appropriate staffs."
1. Documentation Requirements Checklist. A properly completed Execution Proposal will address the following requirements.

- a. Define the problem, limitations and/or expanded role.
- b. Provide background or cause for the operational priority and support requirements.
- c. At a minimum, address the status quo and the one, clear preferred alternative solution.
- d. Recommend action or a solution to the problem and justify the recommended action in executable segments for managing the project funding in phases.
- e. Describe the impact of approving the status quo alternative over the one, clear preferred alternative.
- f. Discuss the impact of the following issues on the recommended alternative.
 - (1) Impact on personnel, i.e. work-life, family members, amenities, etc.
 - (2) Assess and validate the housing situation.
 - (3) Address environmental issues for all alternatives, including NEPA compliance.
 - (4) Address any pertinent facility issues such as new facilities, computer support, etc.
 - (5) Address safety, risk and environmental health concerns.
 - (6) Provide a before and after billet map.
 - (7) Provide a spend plan for recurring and non-recurring expenses.
 - (8) Provide a project schedule and implementation milestones.
 - (9) Discuss the impact on congressional interests, i.e. the number of Coast Guard members crossing congressional boundaries, potential economic impact on local community, etc.
- g. Work with Headquarters program and support managers on mission workloads, staffing standards and performance standards and measures.
- h. Work with area resource staffs on prioritizing existing resources and reprogramming other assets, including billets, to identify potential offsets or tradeoffs and improve service delivery.

- i. Work with MLC and CEU on legal, real property and environmental issues, including any documented agreements and partnerships required between Coast Guard and other federal, state and local agencies and public or private interests.
- F. Timeline. The submission and processing of the Execution Proposal should be completed in a timely fashion as explained below.
 1. Document Preparation. The field unit prepares the documentation for the EP and submits this package through the field chain of command to the Headquarters program manager.
 2. Program Manager Endorsement. The Headquarters program manager prepares a written endorsement of the field unit's documentation and submits the EP to Commandant (CG-83) through the program resource office.
 3. Actions and Approvals. Commandant (CG-83) coordinates the review of the EP and endorsements. Commandant (CG-83) submits the request to Commandant (CG-8) with recommended actions and approvals within 60 work days.
- G. Guidance. Additional questions regarding the structure of the Execution Proposal shall be referred to Commandant (CG-831) and/or to the program resource manager of the appropriate field unit.

CHAPTER 7. ECONOMIC ANALYSIS GUIDANCE

- A. Background. Economic analyses conducted for Planning Proposals, AC&I Project Proposal Reports, and other analytical efforts shall be conducted in accordance with the guidance in the Naval Facilities Engineering Command Publication P-442 (NAVFAC P-442) "Economic Analysis Handbook," OMB circular A-94, Guidelines and Discount Rates for Benefit-Cost Analysis of Federal Programs, and the Coast Guard Strategic Cost Manual, COMDTINST M7000.4. The analytical techniques described are applicable to studies and projects which require decisions involving the allocation or reallocation of scarce resources. Cost comparison studies of contractor versus in-house operation of commercial or industrial activities use a different set of ground rules. See Chapter 9 for more information concerning analysis of commercial and industrial activities. NAVFAC P-442 has previously been distributed throughout the Coast Guard. Additional copies may be ordered from Publications and Forms Center, 5801 Tabor Ave., Philadelphia, PA 19120. The stock number is SN 0525-LP-543-5200. An electronic copy can be obtained from the NAVFAC web site at <https://portal.navy.mil/portal/page>.
- B. Economic Analysis. Economic analysis is a systematic approach to the problem of choosing the best method of allocating scarce resources to achieve a given objective. To achieve a systematic evaluation, the process of economic analysis employs the principles described below.
1. Alternatives. Each feasible alternative for meeting an objective must be considered. The life-cycle costs and the benefits of each alternative must be evaluated.
 2. Present Value of Costs and Benefits. All costs and benefits are adjusted to present value by using discount factors to account for the time value of money. Both the size and the timing of costs and benefits are important.
- C. Elements of Economic Analysis. A complete economic analysis of investment alternatives will include the following elements.
1. Objective. The statement of the objective should clearly define and quantify the function to be accomplished.
 2. Assumptions. The economic analysis should be based on facts and data. Since economic analysis deals with costs and benefits that occur in the future, assumptions must often be made to account for uncertainties. All assumptions should be clearly stated in the analysis.
 3. Alternatives. Appropriate alternatives must be documented and discussed. The recommendations that result from the economic analysis should be derived from the options that have been evaluated.

4. Costs and Benefits. The costs and benefits associated with each alternative under consideration should be quantified whenever possible, so they may be included in the economic analysis calculations. When quantification is not possible, the analyst should still attempt to document significant costs and benefits. At a minimum, costs and benefits should be discussed in narrative format.
5. Comparison of Alternatives. Compare the costs and benefits of each alternative and rank them according to present value of costs or net present value.
6. Results and Recommendations. The economic analysis report should begin with a summary of the analysis based on the benefits and costs of the alternatives, and an interpretation of the results to include a recommendation of the preferred alternative. The actual decision should be based on qualitative and quantitative factors. The results of the economic analysis, including all calculations and sources of data, must be fully documented against all references.

D. Identification of Alternatives.

1. Economic Factors. The purpose of conducting economic analysis is to give the decision maker insight into economic factors that will support the objectives of the project. Therefore, it is important to identify factors, such as cost and performance risks and drivers that can be used to establish and defend priorities and resource allocations. The analyst must consider and document each of the following alternatives:
 - a. Status quo or current functional baseline.
 - b. New acquisition or construction.
 - c. Leasing.
 - d. Modification of existing assets to include: renovation, conversion, upgrade, expansion, or other forms of improvement of existing assets and/or services.
2. Analysis of Alternatives. Each alternative must be fully investigated and a determination made whether the alternatives satisfy the functional requirements for the project. Alternatives considered as being feasible are compared in the economic analysis. Alternatives dismissed as infeasible must be discussed, but need not be formally compared in the economic analysis. Aggressive pursuit of alternatives is strongly encouraged so innovative and improved ways of doing business are actively considered.

E. Analytical Methodology and Criteria.

1. Parameters. In addition to the application of discounting procedures, the treatment of inflation and economic criteria, an economic analysis of investment alternatives

- should consist of basic parameters necessary to account for how costs and benefits for each alternative are displayed, treated and reported. These parameters are summarized below.
- a. **Physical Life.** The physical life of an asset is the estimated number of years that this asset can physically be used in accomplishing the function for which it was intended.
 - b. **Technological Life.** The technological life of a facility is the estimated number of years that the facility or piece of equipment will be used before it becomes obsolete due to changes in technology.
 - c. **Start Year.** The start year is the first year in which an alternative incurs a cost or realizes a benefit. The start year is the first year of the period of analysis and to which costs and benefits are discounted.
 - d. **Lead Time.** The lead time is the period from the start year to the date that an alternative begins to produce benefits.
2. **Treatment of Costs and Benefits.** For each alternative, an economic analysis needs to identify the pertinent costs and benefits, estimate the magnitude of those costs and benefits, and estimate the timing of the costs and benefits.
- a. Include all measurable costs and benefits to the Federal Government that play a role in achieving the stated objectives of the function. The costs and benefits will be exhaustive and may cover multiple government agencies and budgets. Define "costs" and "benefits" so they are mutually exclusive. Societal costs and benefits outside the federal government are usually not included in an economic analysis, but may be included if they can be quantified.
 - b. Sunk costs are expenditures that have already been incurred to build a project, and which cannot be recovered to any significant degree and should not be included as part of the cost to complete a new project. Sunk costs are sometimes contrasted with incremental costs, which are the costs that will change due to the proposed course of action. Only incremental costs are relevant to a decision. If we let sunk costs influence our decisions, a proposal is not being assessed exclusively on its own merits.
3. **Recurring Costs.** Recurring costs are those costs incurred on a continuing annual basis to support the alternative. These types of costs can often be grouped into such categories as "personnel," "energy," "maintenance," etc. Calculations for the increase or decrease of personnel should use the Coast Guard's Standard Personnel Costs (SPC) table, located at CG Central, <http://cgcentral.uscg.mil>, keywords "Standard Personnel Cost (SPC) tables." For Planning Proposals that deal with new buildings, refer to the Coast Guard Strategic Cost Manual, COMDTINST M7000.4 for costs per

square foot for recurring costs that involve AFC-30 annual unit-level maintenance and AFC-30 annual energy costs.

4. Nonrecurring Costs. Nonrecurring costs are often one time costs or costs that occur on an infrequent and intermittent basis.
5. Timing of Costs and Benefits. Accounting for the time value of money is crucial to economic analysis. Economic analyses must accurately reflect the time when costs and benefits occur. A cost in an economic analysis shall be discounted in the year in which the federal government is expected to incur an expenditure. A benefit shall be discounted in the year in which the federal government expects to realize the benefit.
6. Identification of Appropriation and AFC. Due to the unique budget constraints imposed on government agencies, it is essential that the Appropriation (AC&I, OE, EC&R, etc.) of each cost is clearly identified. Funding must be summarized based on appropriation and AFC (if OE appropriation) within threshold limits established in the FRMM. If no year or multiple year funds are required, this information should be explicitly stated. This information is essential for long term planning, completion of any required Resource Proposals and overall analysis of the project.
7. Discounting.
 - a. The discount rate to be used for conducting economic analysis in the Federal Government is based on an estimate of the Government's costs of borrowing for the appropriate period of analysis. OMB Circular A-94 provides the option of using either the real or nominal discount rate when conducting an economic analysis.
 - (1) Real discount rate. A real discount rate does not include inflation and is to be used when discounting constant dollar costs, i.e. costs that have not been adjusted for inflation. Using the real discount rate and constant dollars simplifies the analysis and removes a significant degree of uncertainty inherent in inflation projections.
 - (2) Nominal discount rate. A nominal discount rate includes projected inflation and is to be used when discounting current dollars, i.e. costs that have been adjusted for inflation. The benefit of using current dollars and nominal discount rates is that decision makers are better able to evaluate future budgetary impacts and cash flow issues.
 - b. OMB Circular A-94 further states that real and nominal rates shall not be combined in the same analysis. Therefore, to simplify the comparison of alternatives within an analysis and the comparison of competing proposals, all shore facility capital asset economic analysis (i.e. Planning Proposals) shall use constant dollars and real discount rates. When a lease is involved, and if actual cash payments are known for future years, these amounts should be discounted at

the nominal rate. In addition, all economic analysis associated with on-budget proposals, that is, requests for funding via the federal budget process, or capital acquisition projects should also use constant dollars and the real discount rate. The real discount rate is updated annually in February and posted on OMB's website: http://www.whitehouse.gov/omb/circulars/a094/a94_appx-c.html.

8. General Principles for Analysis. The net present value (NPV) analysis is the recommended technique to use in a formal economic analysis of government programs or projects where benefits can be quantified. Cost-effectiveness analysis is a less comprehensive technique, but it can be appropriate when the benefits from competing alternatives are the same or where a policy decision has been made that the benefits must be provided.
 - a. The cost-effectiveness analysis pertains to the majority of Planning Proposals, as the benefit is constant among the various alternatives. Therefore, for simplicity in comparing competing Planning Proposals, the cost-effectiveness analysis shall be used.
 - b. The NPV analysis should be used in resource proposals and other projects where alternatives will produce new or varying benefits and therefore are critically important to resource decisions.

9. Cost-Effectiveness Analysis.
 - a. A program is cost-effective if on the basis of life cycle cost analysis of competing alternatives it is determined to have the lowest costs expressed in present value terms for a given amount of benefits. Cost effectiveness analysis is appropriate whenever it is unnecessary or impractical to consider the dollar value of the benefits provided by the alternatives under consideration. This is the case whenever (i) each alternative has the same annual benefits expressed in monetary terms; or (ii) each alternative has the same annual affects, but dollar values cannot be assigned to their benefits.
 - b. Cost-effectiveness analysis can also be used to compare programs with identical costs but different benefits. In this case, the decision criterion is the discounted present value of benefits. The alternative program with the largest benefits would normally be favored.
 - c. Creators of Planning Proposals and Resource Proposals are encouraged to download the calculator and use for each alternative, where applicable.

10. Net Present Value (NPV). The standard criterion for deciding whether a government program can be justified on economic principles is net present value, which is the discounted monetized value of expected net benefits (i.e., benefits minus costs). Net present value is computed by assigning monetary values to benefits and costs, discounting future benefits and costs using an appropriate discount rate, and subtracting the sum total of discounted costs from the sum total of discounted

benefits. Discounting benefits and costs transforms gains and losses occurring in different time periods to a common unit of measurement. Programs with positive net present value increase social resources and are generally preferred. Programs with negative net present value should generally be avoided. Although net present value is not always computable, efforts to measure it can produce useful insights even when the monetary values of some benefits or costs cannot be determined. In these cases:

- a. A comprehensive enumeration of the different types of benefits and costs can be helpful in identifying the full range of program effects.
- b. Quantifying benefits and costs is worthwhile, even when it is not feasible to assign monetary values.

F. Special Procedures for Leasing.

1. Application. The guidance in this section applies only to analysis that includes a feasible leasing alternative. All costs for both lease and purchase alternatives should be handled in a consistent and equitable fashion. This guidance applies when any of the following conditions are satisfied.
 - a. The asset is leased to the Coast Guard for a period of 3 years or more.
 - b. The asset to be leased is new with an economic life of less than 3 years, and will be leased to the Coast Guard for a term of 75 percent or more of the economic life of the asset.
 - c. The asset is built for the express purpose of being leased to the Coast Guard.
 - d. The asset is leased to the Coast Guard and clearly has no alternative commercial use (e.g., a special purpose government installation).
2. Analytical Requirements and Definitions. When a capital asset must be acquired, the acquisition should be made in a way that has the least expensive life-cycle cost to the government.
3. Life-Cycle Cost. If the set of alternatives includes both lease and purchase alternatives, the analysis should compare the net discounted present value of the life-cycle cost of leasing with the full cost of buying or constructing a comparable asset. The full cost of the purchase should include the asset's purchase price plus the net discounted present value of any relevant ancillary services for the purchase and imputed costs. When a lease is involved, and if actual cash payments are known for future years, these amounts should be discounted at the nominal rate.
4. Taxes. In analyzing the cost of a lease, the normal payment of taxes on the income of the lessor from the lease should not be subtracted from the lease costs since the normal payment of taxes shall also be reflected in the purchase cost. The cost to the

U.S. Treasury of special tax benefits, if any, associated with the lease should be added to the cost of the lease. Examples of such tax benefits might include highly accelerated depreciation allowances or tax-free financing.

- G. Economic Life. In calculating life cycle costs, it is of paramount importance that realistic estimates of economic life be used. Such estimates are often a matter of judgment; over time, however, certain trends have been identified, which may be of value as a guide for the cost analyst. In the absence of more accurate information, the following standard factors should be used:

Table 7-1 Economic Life of Assets

CATEGORY	ECONOMIC LIFE (YEARS)
IT EQUIPMENT	8(1)
PERMANENT BUILDINGS	25
SEMI-PERMANENT, NON-WOOD	25
SEMI-PERMANENT, WOOD	20
TEMPORARY OR REHABILITATED BUILDINGS	15
WATERFRONT FACILITIES, TIMBER PIERS	25
WATERFRONT FACILITIES, CONCRETE PIERS	50(2)
OPERATING EQUIPMENT	10(3)
UTILITIES, PLANTS, AND UTILITY DISTRIBUTION SYSTEMS	15-25(4)
ENERGY CONSERVING ASSETS TO INCLUDE INSULATION, SOLAR SCREENS, HEAT RECOVERY SYSTEMS, AND SOLAR ENERGY INSTALLATIONS	25
ENERGY MONITORING AND CONTROL SYSTEMS	15
ENERGY CONTROLS (E.G., THERMOSTATS, LIMIT SWITCHES, AUTOMATIC IGNITION DEVICES, CLOCKS, PHOTOCELLS, FLOW CONTROLS, TEMPERATURE SENSORS, ETC.)	15
REFRIGERATION COMPRESSORS	15

(1) NOTE: First refer to the Manufacturer's guidance or contact Commandant (CG-64) for guidance.

(2) NOTE: Due to mission evolution and the recapitalization of operational platforms, consideration should be given to evaluating waterfront assets and mission buildings on a ten year cycle for operational and mission conformance.

(3) NOTE: More authoritative guidance is contained in documents such as DOD 4270.1-M, "DOD Construction Criteria Manual" and NAVFAC DM 1.02. "Materials & Buildings Components."

(4) NOTE: Refer to NAVFACINST 4101.5A, 19 OCT 84 and OASD DEPPM 85-2. 5 FEB 85.

H. Depreciation. Depreciation write-off is an accounting convention which is used primarily where an income tax structure exists. Within the context of Federal Government ownership of assets, depreciation adjusted for inflationary factors and compared to government assets is one of the best means of validating the cost of replacement projects. The methodology generally used in depreciation calculations may be applied (in the absence of a more exact methodology) in order to estimate the residual value of an asset.

CHAPTER 8. PLANNING FOR HOUSING ACQUISITION

A. Purpose. The purpose of this Chapter is to provide planning guidance for acquiring Family and Unaccompanied Personnel Housing (UPH).

B. References.

1. NAVFAC P-442, Economic Analysis Handbook.
2. Financial Resource Management Manual (FRRM), COMDTINST M7100.3 (series).
3. Staffing Standards Manual, COMDTINST M5312.11 (series).
4. Coast Guard Housing Manual, COMDTINST M11101.13 (series).
5. Civil Engineering Manual, COMDTINST M11000.11 (series).
6. Real Property Asset Management Manual, COMDTINST M110011.9 (series).
7. OMB Circular No. A-45 (Rev. October, 20, 1993).
8. Shore Facilities Standards Manual, COMDTINST M11012.9 (series).
9. Unaccompanied Personnel Housing (UPH) Design Guide, COMDTINST M11012.6 (series).
10. Safety and Environmental Health Manual, COMDTINST M5100.47 (series).

C. Housing Planning Guidance.

1. Background. This information provides basic program direction for planning Coast Guard housing projects for accompanied and unaccompanied personnel. Guidance permits preparation of Planning Proposals and comparable documentation and supplements material found elsewhere in this Manual.
2. Basic Housing Criteria.
 - a. Policy. Adequate housing as defined in the Housing Manual should be available for all military personnel within a reasonable commuting time of their duty station, which is a two hour round trip commute. Housing resources are acquired only for operational purposes, where community housing (including leased housing) or other government housing resources are scarce or inadequate, or in remote areas lacking housing. On this basis, government owned housing is not normally programmed in metropolitan areas. Where specific actions are planned which would result in the establishment of a new unit or a new homeport, such planning should include consideration of housing and other personnel support

needs. Sufficient lead time should be allowed for the scheduling of commissioning dates to accommodate housing requirements and acquisition if required. Commandant (CG-12) and Commandant (CG-43) should be advised of such requirements at the earliest date for optimal coordination of planning efforts.

- b. Documentation of Housing Need. Data concerning the housing rental market and its characteristics and trends can be obtained from a variety of sources. Documentation in support of housing acquisitions should be retained for continuing review. Basic data sources include the following.
 - (1) Housing Surveys. A Coast Guard-wide survey is conducted by Commandant (CG-1223) when necessary to provide information on Coast Guard housing needs and preferences. A separate survey conducted by the Department of Defense Per Diem, Travel and Transportation Allowance Committee, in which the Coast Guard participates, furnishes basic data for computing the Basic Allowance for Housing (BAH).
 - (2) Housing Market Survey and Analysis. Housing market research is required for all family housing projects to determine members' access to and the extent of community housing support. This research is required information for all housing acquisition proposals. It is especially necessary in areas of dynamic housing market activity and in complex housing situations for which solutions involve acquisition of permanent housing for accompanied or unaccompanied personnel. Basic market research must be updated every two years prior to construction. For information and assistance regarding these studies, contact Commandant (CG-43).
- c. Housing Support Facilities. The need for recreation, messing and maintenance facilities should always be evaluated in connection with Coast Guard housing acquisitions.
- d. Housing Support Personnel. Staffing and contract needs for housing referral, operation, maintenance and administrative purposes should be identified in connection with new or revised housing proposals.
- e. Acquisition Analysis. Basic planning guidance is contained elsewhere in this Manual. More detailed information and guidance can be found in the Coast Guard Housing Manual. Adequate provision should always be made for initial and follow-on funding requirements of proposed housing alternatives. Economic analysis should compare the cost of leased housing, when available, as a benchmark with housing construction, purchase, transfer or other viable acquisition alternatives. In order to limit the potential for unusual maintenance problems, and to further energy conservation objectives, housing to be acquired through purchase should normally be of recent construction. Government owned housing must always be used before employing leased housing resources.

- f. Funding. AC&I funds should always be used to acquire family housing through purchase, construction, or transfer. Housing rehabilitation may use AC&I or OE funding resources, depending upon the scope of the project. See the Civil Engineering Manual, COMDTINST M11000.11 (series) for guidance.
 - g. Continued Housing Requirements Review. Command authority should continuously review military housing needs. Housing acquisition should be deferred or cancelled if such review determines there are available housing resources capable of meeting family or UPH housing needs in a community.
3. Family Housing Criteria.
- a. Policy. Minimum family housing adequacy standards are contained in the Coast Guard Housing Manual, COMDTINST M11101.13 (series). Distribution of members' housing units throughout the community is preferred to the establishment of Coast Guard enclaves.
 - b. Eligibility. All pay grades are eligible for owned quarters. For leased quarters, eligibility is based on pay grade and bedroom profiles. Leased housing eligibility standards are contained in Chapter 4.B. of the Coast Guard Housing Manual, COMDTINST M11101.13 (series).
 - c. Requirements. Family housing requirements are evaluated on the basis of personnel needs, balanced against eligibility or operational considerations. The availability of adequate community support housing, which includes leased housing, and the availability of public quarters are also taken into account. See acquisition priority in paragraph 3.e. below. Net housing needs are uniformly determined by matching dependency-by-pay-grade statistics contained in the Housing Manual with authorized and/or projected personnel allowances.
 - d. Housing Resources. We will use Coast Guard owned housing resources and community support housing obtained through Coast Guard lease or individual purchase or rental. DOD or other Government housing is used when available under an Inter-Service Support Agreement (ISSA) or similar agreement. See the Housing Manual and the Real Property Management Manual.
 - e. Acquisition Priority. Coast Guard family housing requirements are met by (a) community support (private rental or purchase using BAH); (b) DOD/other Government agency owned housing; (c) Government leased housing; (d) DOD excess/Coast Guard acquired housing; and (e) Coast Guard owned housing, in that order.
 - f. Family Housing Planning Factors. Basic planning guidance for family housing, including floor area and bedroom mix criteria, derives from OMB Circular A-45 (Rev. October 20, 1993), and is further detailed in the Housing and Civil Engineering Manuals. Guidance regarding assignment, occupancy, operation,

management and maintenance is contained in the Housing Manual. Acquisition planning factors should address required bedroom mix on the basis of existing and planned allowances, site planning and unit density, rank classification, and other relevant information.

4. Unaccompanied Personnel Housing Criteria.

- a. Policy. Minimum adequate unaccompanied personnel housing (UPH) standards are defined in the Housing Manual. Program guidance can be found in the Housing Manual and herein. Any limitations on the use of private housing by unaccompanied members for operational considerations shall be no more restrictive than limitations placed on accompanied members.
- b. Requirements. The housing needs of unaccompanied members will be established on the basis of personnel allowances, balanced against eligibility and/or operational considerations. The availability of adequate community support housing and military UPH facilities will also be taken into consideration. Dependency-by-pay-grade criteria contained in the Housing Manual will be used to determine single unaccompanied ratios.
- c. Housing Resources. The UPH program uses DOD and Coast Guard owned UPH facilities as well as leased quarters, cutters, and individual Government purchases of community housing units.
- d. Acquisition Priority. All major AC&I UPH projects are reviewed within the context of the following berthing methods or priorities.
 - (1) BAH - Members to be housed in the community.
 - (2) Leased Housing - If available, Government leased quarters in the community.
 - (3) Purchase - Purchase of adequate existing unaccompanied personnel housing.
 - (4) Construction - Utilized when community housing support is deemed inadequate, unavailable or exorbitantly expensive.
- e. UPH Planning Factors. Analysis should cover factors listed below for all UPH construction or reconstruction projects.
 - (1) A housing survey of unaccompanied personnel should be conducted, examining the preferences of those personnel in the locale. Documentation regarding community support surveys and analyses should be maintained at district and Headquarters units.
 - (2) The exigencies of local climate and isolation of station should be evaluated.

- (3) Community support should be assessed for recreation, education, shopping, public transportation, etc., as well as the availability of housing and eating facilities.
 - (4) An examination should be made of the rehabilitation alternative, if applicable.
 - (5) An examination should be made of messing options for each alternative.
 - (6) Consideration should be given to the potential impact on individuals for the cost of PCS transfer and the limitations of eligibility for government shipment and/or storage of household goods (HHG) based on pay grade.
- f. UPH Sizing. Guidance contained in the Housing Manual shall be used for purposes of determining quarters requirements for permanent party, students and other non-permanent party personnel. In lieu of survey data, average daily strength figures of students, non-permanent party personnel and dependency-by-pay grade ratios of permanent party personnel allowances shall be used. Alternatives to UPH construction include BAH/VHA, leased housing, and AC&I purchase, and should include up-to-date information concerning availability and cost ranges of community housing for rent, purchase or government lease.
 - g. UPH Design Standards. Standards are contained in the Shore Facilities Standards Manual COMDTINST M11012.6 (series), and Unaccompanied Personnel Housing Design Guide. Design should provide for the assignment of male and female personnel and should consider the basic needs of privacy, security, safety, adequate storage, and relaxation.
5. General Services Administration (GSA). The GSA Relocation Program may be used when an agency has a mission shift. If GSA accepts the relocation project, they provide funding upfront to the Coast Guard to cover the expenses of relocation and acquisition of new sites. The relocation funding amount is based upon an estimate of the sales proceeds of the current site. GSA policy is to obtain a 2:1 return; thus, 50% of the estimated sales proceeds are provided. The Coast Guard does not guarantee that GSA will realize the estimated sales proceeds and is under no obligation to make up any shortfall. Commandant (CG-43) is the program manager for the GSA Relocation Program.
- D. Guidance. Contact Commandant (CG-1223) for guidance or with any changes.

CHAPTER 9. COAST GUARD EXCHANGE SYSTEM (CGES) AND MORALE, WELL-BEING, AND RECREATION (MWR) PLANNING

- A. Purpose. The purpose of this Chapter is to provide guidance for CGES and MWR Planning that involve appropriated and nonappropriated projects.
- B. References. Planning References are listed below.
1. Coast Guard Morale, Well-Being, and Recreation Manual, COMDTINST M1710.13 (series).
 2. Coast Guard Nonappropriated Fund Instrumentalities (NAFI) Manual, COMDTINST M7010.5 (series).
 3. UFC 2-000-05N (formerly NAVFAC P-80, Planning Factor Criteria for Navy and Marine Corps Shore Installations).
 4. NAVFAC P-457, Planning and Design of Outdoor Sports Facilities (Available from Naval Publications and Forms Center, Philadelphia, PA 19120).
 5. Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series).
 6. Civil Engineering Manual, COMDTINST M11000.11 (series).
 7. Standard Operating Procedures, Coast Guard Exchange System.
 8. Safety and Environmental Health Manual, COMDTINST M5100.47 (series).
- C. Planning Guidelines.
1. Background. These procedures are intended to serve as the guidelines for the preparation, submission, review, and approval of MWR facility acquisition, improvement and rebuilding projects to be funded from appropriated and/or non-appropriated funds. As such, they supplement the procedures found elsewhere in this manual. CGES projects are not covered in this Manual when funded with Non-Appropriated Funds.
 2. Discussion.
 - a. The establishment and operation of well-rounded CGES and MWR programs is a vital mission support function and ensures the mental and physical well-being of Coast Guard personnel and their dependents. The MWR program should provide a diverse offering of programs, activities, and facilities to fulfill its mission readiness and retention responsibilities to Coast Guard military members and other eligible patrons.

3. Planning Criteria. CGES and MWR program and facility requirements shall be established and developed consistent with the following planning criteria.
 - a. Scope. Program needs and priorities will be established or identified by evaluating patron interests and considering the availability and accessibility of specific off-base alternatives including military and civilian recreation activities. Patrons eligible to utilize MWR programs and facilities are contained in reference 1. Those authorized to use CGES facilities are defined in the CGES Standard Operating Procedures.
 - b. Facility Standards. Facilities should be of a type and size that are economical, efficient and consistent with the intended use and known requirements. The maximum limits with respect to type and size will be in accordance with DOD Unified Facilities Criteria, unless otherwise justified. In addition, Outdoor Sports and Recreational Facilities (UFC-4-750-02N) should be used as a reference source for designing outdoor sports facilities.
 - c. Physical Development. Physical expansion or development must be consistent with existing facilities and planned unit land use. When considering natural resources, special attention must be given to patron loading capacity and environmental factors to ensure that proposed land use is economically feasible, is consistent with base and community development plans and is not detrimental to the protection and enhancement of land, air, water, forestry and wildlife. Replacement, alteration, demolition and new construction alternatives shall be considered in satisfying requirements.
 - d. Human Resources. Planning for new or expanded programs shall include identification of existing manpower and any future appropriated fund staffing required for effective program operation and management.
 - e. Fiscal Resources. The ability to fund program, activity development and operation must be identified and evaluated. Unit MWR funds will be considered in addition to AC&I, OE, and other public or private funds for purposes of financing programs and facilities. All costs of providing new activities should be fully justified in terms of benefits received.
4. Procedures. Project documentation shall follow the procedures outlined in Chapter 3, Chapter 4, Chapter 5 and Chapter 6 in this Manual, including preparation, review and approval, except as noted herein.
 - a. The Problem Statement is utilized as an entry level document to the Shore Facilities Data Base and Shore Facilities Requirements (see the Shore Facilities Project Development Manual (SFPDM), COMDTINST M11010.14 (series)). Commands are encouraged to identify all deficiencies within the CGES and MWR programs which fall within the AC&I category and submit Problem Statements, as appropriate, regardless of eventual funding sources.

- b. Planning Proposals are required for all Appropriated Fund (APF) projects regardless of funding source. AC&I Project Proposal Reports are required after approval of the Planning Proposal regardless of the actual funding source recommended. Accordingly, Planning Proposals and AC&I Project Proposal Reports (AC&I PPR) shall be prepared and submitted consistent with the requirements contained in Chapter 4 of this Manual and the Shore Facilities Project Development Manual (SFPDM), COMDTINST M11010.14 (series).
 - c. MWR projects using appropriated or nonappropriated funds which exceed \$200,000 but are less than the annual AC&I funding limit will be prepared and submitted using the AC&I Project Report Format.
 - d. MWR projects which are less than \$200,000 in scope will be processed in accordance with existing procedures contained in the Field Planning Manual, the Financial Resource Management Manual (FRMM), COMDTINST M7100.3 (series), the Civil Engineering Manual, COMDTINST M11000.11 (series), and Chapter 11 of the Coast Guard Morale, Well-Being, and Recreation Manual, COMDTINST M1710.13 (series).
5. Project Review. In addition to any engineering or operation evaluation which may be required, each project will be reviewed at each stage of the planning process to ensure.
- a. Consistency with missions and objectives.
 - b. Conformance to Headquarters planning criteria.
 - c. Financial viability of the project, including ability to fund and/or obtain follow-on funding.
- D. Guidance. Contact Commandant (CG-103), 757-420-2480 for guidance or with any changes.

CHAPTER 10. REORGANIZATIONS

- A. Introduction. Reorganization includes changes to actual organizational structures, addition to or deletion of functions within a component, transfer of functions among components, changes to supervisory positions and changes to organizational titles and symbols. A Problem Statement, Planning Proposal or DMSI package may involve these types of reorganization issues when shore facilities are consolidated. The Coast Guard Organization Manual, COMDTINST M5400.7 (series) is the authority for Coast Guard organization processes.
- B. Background. Coast Guard organizational principles involve unity of command with a single point of operational control over assets and responsibilities. Organizational integrity is maintained through appropriate use of span of control and delegation of authority, and when functions are efficiently assigned to one component.
- C. Reorganization Process. Commandant (CG-8) manages the approval process through Commandant (CG-81) for Coast Guard reorganizations. Proposals for the majority of these types of reorganizations (except as noted) will be in the form of a decision memorandum sent to Commandant (CG-8) or Commandant (CG-00) as appropriate through Commandant (CG-81) with strong justification and content as noted in paragraph D below. Commandant (CG-01) will submit major decisions to Commandant (CG-00) as may be appropriate. All requests for a realignment of organizational components shall demonstrate what benefits will be realized, and should confirm that the advantages of the reorganization outweigh the disadvantages.
- D. Reorganization Submission Package Content. Organizational proposals shall include information as described below.
1. Background. A description of the problem or situation, the alternative solutions considered, and the impact of the recommended alternative should be included. Justification should be provided for the following.
 - a. Recommended process changes.
 - b. The recommended organizational model and why other options were rejected.
 - c. Any revisions to delegations of authority necessitated by process or structural changes.
 2. Management Controls. Potential impacts should be identified with regard to management or internal controls. An assessment should be made in regard to how these controls will be affected by the process changes or organizational design and how the impacts will be mitigated.

3. Long Term Impacts. Many reorganizations impact other parts of the Service in terms of policy, processes, structure or resources. If applicable, identify such impacts (e.g., impacts to standard unit structures, addition or removal of billets, new process requirements, etc.)
4. Organization Charts. A copy of current and proposed organizational charts must be included that depict all affected elements down to the lowest level of the organization under consideration. All current organizational charts must have Commandant (CG-01) approval. Organizational charts should not be developed informally within an office without going through the official approval process.
5. Billets. Any billet reprogramming needs should be justified for the proposed organization.
6. Functional Statements. A copy of the current approved functional statements must be included for each element with changes marked. Submit functional statements down to the lowest level impacted. Headquarters proposals could include Directorate, Office, Staff, and Division levels. Field proposals could include Command Staff, Divisions and Branches. Check with Commandant (CG-811) for the current approved functional statements. An electronic copy of the proposed functional statements is to be submitted upon request.
7. Billet Maps. Billet maps should clearly depict where a billet was located and where it will be assigned after the reorganization has been completed. Proposals must include a billet map that uses the electronic billet map template found on CG Central at the Commandant (CG-833) site. Early consultation with Commandant (CG-833) in developing the billet map is encouraged. Supervisory and team leader billet titles must be clearly marked.
8. Civilian Positions. If civilian positions are affected, the servicing civilian staff advisor (CSA) should review the proposal prior to submission. If changes or new civilian position descriptions (PD) are required, Commandant (CG-121) should tentatively classify the positions. Draft PDs should be submitted with the proposal.
9. Contacts. The name and telephone number of an appropriate contact person should be included.
10. Other Considerations. Proposals shall demonstrate that the following factors have been analyzed.
 - a. Organizational integrity, unity of command and span of control have been taken into account.
 - b. Sub-organizations exist only when there are a significant number of people connected to the work. At Headquarters and Headquarters units, the minimum

supervisor to employee ratio is 1:7. Generally, the supervisory to employee ratio should not exceed 1:16.

- c. The positive and negative impact of proposed changes has been assessed from both an internal and external perspective.
 - d. Other factors such as improved communications, re-delegation of authority, and revised policies will not solve the problem or achieve the desired objectives.
11. Personnel Implications. Requests for a reorganization based on "people problems" and "inadequate performance of personnel" are inappropriate and do not qualify for approval. Most reorganization efforts contain reprogrammings and personnel changes. Billet reprogrammings associated with organizational changes are approved as part of the reorganization process. Commandant (CG-81) will work closely with Commandant (CG-82), Commandant (CG-83) and Commandant (CG-1) on these issues and will coordinate with these offices on all projects that involve the redesign of an organizational component. Reprogramming initiatives or PAL changes sent separately to Commandant (CG-83) that are the result of an unapproved reorganization for the above situations will be returned to the originator.

E. Other Types of Reorganization Actions.

- 1. Unit Level Reorganizations. When a reorganization is being planned within a single non-command and control unit (not applicable to Headquarters units), a review is conducted through the reprogramming and PAL processes that are managed by Commandant (CG-83). Commandant (CG-83) will ensure coordination with Commandant (CG-81) on all issues. A separate decision memorandum may not be needed; consult with Commandant (CG-81) prior to submission.
- 2. Field Level Reorganizations with Infrastructure Changes. Some reorganizations generate infrastructure changes to Coast Guard facilities. These proposals are addressed through field planning documents such as Problem Statement, Planning Proposals or Execution Proposals. Commandant (CG-81) will ensure coordination of all reorganization and field planning processes including related reprogramming actions.

F. Headquarters Approvals. Approval authority at the Headquarters level is assigned as follows.

- 1. Commandant (CG-00). Approves all Homeports and major Coast Guard-wide changes.
- 2. Commandant (CG-01). Approves reorganizations as described below.
 - a. All Headquarters and Headquarters unit reorganizations.

- b. All reorganizations of field units involving more than one type of unit.
 - c. The establishment of new types of units or the disestablishment of existing type units.
 - d. All field organizations for Area, Districts, MLC and Sector commands.
3. Commandant (CG-8). Approves internal reorganizations of non-command and control field units affecting only one unit.
 4. Commandant (CG-81d). Approves Problem Statements. Those packages that contain reorganizations requiring Commandant (CG-8) and Commandant (CG-01) approval will be elevated to Commandant (CG-8) or Commandant (CG-01) for approval as appropriate.
 5. Commandant (CG-8). Approves Planning Proposals. Those packages that contain reorganizations requiring Commandant (CG-01) approval will be elevated to Commandant (CG-01) as appropriate.
 6. Commandant (CG-8). Approves Decision Memos for Shore Infrastructure. Those packages that contain reorganizations requiring Commandant (CG-01) approval will be elevated to Commandant (CG-01) as appropriate. Commandant (CG-01) is the approving official for reorganization actions.
- G. Guidance. Early consultation with Commandant (CG-81) in the design phase of a reorganization is highly encouraged to develop a more efficient and effective organization and generally results in a more expedient approval.

CHAPTER 11. BASE REALIGNMENT AND CLOSURE PROCESS

- A. Purpose. The purpose of this Chapter is to provide background to the Base Realignment and Closure (BRAC) process with special reference to Coast Guard field planning activities.
- B. Background.
1. BRAC Legislation. The Base Realignment and Closure Act (P.L. 100-526 – Oct 24, 1988) was the first BRAC initiative, which was developed to provide a means for the Department of Defense (DOD) to improve the effectiveness of the military base structure and to realize significant savings through realignment and closure of unnecessary or underutilized military bases. The goal of the 2005 BRAC, authorized by Public Law 107-107 (The National Defense Authorization Act of FY 2002), was transformation. This focus placed greater emphasis on implementing opportunities for greater joint activity between the services. The Congress and the President endorsed this approach because it removed some of the previous impediments to successful base closure actions. Congress has since passed the Defense Base Closure and Realignment Act of 1990 (P.L. 101-510), which governs all current and future BRAC efforts. The 1990 Act created the independent BRAC Commission and outlined procedures, roles, and timelines within which the President, the Congress, DOD, GAO, and the Commission were to operate. To date, there have been a total of five BRAC rounds (1988, 1991, 1993, 1995 and 2005).
 2. The DOD BRAC Process. The Secretary of Defense initiates a base realignment and closure process through appropriate BRAC legislation. A Commission is established and receives recommendations on base realignment or closure from the Secretary of Defense. The BRAC Commission holds public hearings on the Secretary's recommendations and then forwards a report on its findings and conclusions to the President. Once approved by the President, the report is sent to Congress. The President and Congress can only accept or reject the entire list. If Congress approves the BRAC list, the current program is implemented. If the entire list is not approved, the BRAC program will automatically terminate.
- C. Action.
1. BRAC and Its Relationship to the Coast Guard. BRAC is a DOD term and action, and the Coast Guard may be impacted indirectly. In order to accomplish its mission, Coast Guard often relies on joint basing where feasible with DOD. The closure of a DOD base where Coast Guard units are co-located may force the relocation of that unit. Relocations can be costly, time consuming and interrupt services. During the 2005 round of BRAC, a Coast Guard representative was invited to sit in on early BRAC planning meetings to mitigate potential disruptions to Coast Guard units located on DOD property. If a new round of BRAC is announced, Coast Guard will monitor the BRAC process to assess future impacts.

2. Handing BRAC Requests through the Field Planning Process. Once it is determined that a Coast Guard unit is impacted by BRAC, any request for relocation, a Title 10 transfer of property, or other related requests are forwarded to Commandant (CG-81) for processing. Commandant (CG-81) will coordinate with other Headquarters programs for review and work with Commandant (CG-43), Commandant (CG-82), Commandant (CG-83) and the affected field component to implement requests that have been approved. There is no separate planning system internal to Coast Guard for BRAC. All requests are submitted as a Planning Proposal or Decision Memo for Shore Infrastructure depending upon the urgency of the request and follow the prescribed guidelines.
3. Budget Impact. It is possible that the Coast Guard operating budget may be adversely affected in cases where responsibility must be taken for a greater share of the cost of running a DOD facility that is being closed or realigned. The adverse impact may be mitigated if relocation is made to other nearby DOD bases, or if the opportunity is available to make a transfer of property through the Title 10 program, 10 U.S.C. 2663(e) (2). The Title 10 program allows transfer of property from one service agency to another without cost. DOD is not obligated to fund Coast Guard relocations or other costs brought on by BRAC. Past practices have found, however, that negotiations articulated through Memoranda of Agreement between Coast Guard and DOD has helped to mitigate cost issues.
4. BRAC Property Notification. DOD will notify Coast Guard and other agencies of BRAC properties through their "Notification of Availability of DOD Real Property" process. This information is sometimes posted to the GSA website. DOD has an obligation to honor existing agreements with our field units through a negotiated term. When the relocation of Coast Guard units becomes necessary, the closure process should allow for an appropriate period of preparation and engagement through the chain of command. BRAC information is sent to Commandant (CG-4) and Commandant (CG-8) through Commandant (CG-00). Field offices receive BRAC information through the Commandant (CG-4) real property section. If a unit is interested in BRAC property, a request must be made to Commandant (CG-8) for a Title 10 transfer through a Planning Proposal or DMSI. Commandant (CG-4) will submit the appropriate paperwork by the DOD deadline.
5. A Typical Base Closure and Disposal Process.
 - a. Base is slated for closure.
 - b. DOD/Federal screening and community reuse planning process takes place.
 - c. Determination of surplus is made.
 - d. Public benefit screening is done.
 - e. McKinney ACT (Homeless) screening is done.

- f. State/Local/Tribal screening is done.
- g. Disposal decision and community reuse plan is confirmed.
- h. Assignment to Depart of Health and Human Services for homeless evaluation.
- i. Public benefit conveyances are made to state and local governments.
- j. Negotiated sales made to State/Local/Tribal governments.
- k. Public sales made to the private sector.

Appendix A. GLOSSARY

Alphabetical Listing. Included below is an alphabetical listing of definitions, which may be helpful when working with this Manual.

AC&I PPR. (Synonymous with PPR.) Abbreviation for Acquisition, Construction and Improvement Project Proposal Report. Area, District, and MLC commanders and commanding officers of Headquarters units submit AC&I Project Proposal Reports after a Planning Proposal has been approved in support of capital investment projects at their shore facilities. See the Shore Facilities Project Development Manual COMDTINST M11010.14 (series).

Acquisition Support Program (GAA). A program designed to manage and control Coast Guard procurement; 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.

Active Duty Promotion List (ADPL). A list of officers of Coast Guard officers on active duty as CWO 2 and above who are not Reserve Program Administrators, Permanent Commissioned Teaching Staff, or Retired Officers recalled to active duty. The ADPL is used principally to determine precedence for promotion and is displayed in the Register of Officers.

Allotment Fund Code (AFC). A portion of the Operating Expense appropriation dedicated to a particular operating or support need; a management mechanism to aid control of planning and usage of operating funds.

Assigned Billets/Positions. Specific billets or positions at units or locations, listed by rating and pay grade (enlisted) specialty and pay grade (officer), or grade and series (civilian). These are approved and controlled by Commandant (CG-01), and are included on the Personnel Allowance List (PAL). Military personnel fill billets. Civilian personnel fill positions. In the Direct Access data structure, all billets and positions are now referred to as positions.

Billet Control Number (BCN). A unique number assigned to each billet for the purpose of identification and accounting in the Personnel Allowance List (PAL) and Personnel Assignment Management Information System (PAMIS) data bases.

Budget Year (BY). Refers to the annual budget that has been submitted to higher levels for review, authorization and appropriations action.

Command, Control and Communications (C (3)) Support Program (GAT). A program designed to provide tools to Coast Guard commanders and managers at all organizational levels to meet their organizational needs. This goal is accomplished by managing Coast Guard information resources, including data as an organizational asset, electronics, telecommunications, and IT systems and subsystems with primary focus on human, fiscal and facility resource elements.

Constant Dollar. A dollar value adjusted for changes in price. Constant dollars are derived by dividing current dollar amounts by an appropriate price index, a process generally known as deflating. The result is a constant dollar series as it would presumably exist if prices and transactions were the same in all subsequent years as in the base year (see Current Dollar).

Current Dollar. The dollar value of a good or service in terms of prices current at the time the good or service was bought. This situation is in contrast to the value of the good or service in constant dollars (see Constant Dollar).

Current Year (CY). Sometimes used to refer to the fiscal year in progress. This term is not to be confused with Current Dollars (see Current Dollars).

District Program Manager. The individual who is designated by the district commander to hold immediate responsibility for the overall management of a support program within a district.

District Support Manager. The individual who is designated by the district commander to hold immediate responsibility for the overall management of a support program within a district. The relationship to the District Program Manager is similar to that between the Operating Program Director/Manager and the Support Program Director/Manager at Headquarters.

Decision Memo for Shore Infrastructure (DMSI). A Decision Memo for Shore Infrastructure is a field planning tool that is designed to approve a shore facilities project when a decision must be made immediately in terms of funding and allocation of resources.

Engineering Logistics Center (ELC). The mission of the ELC is to manage platform and equipment configurations; develop maintenance policy, plans and associated allowance information; provide design and engineering support; manage and distribute material, direct depot-level repairs; and develop, manage and provide technical information and logistics information systems support.

Engineering Support Program (GAE). A program designed to provide support services that include engineering services. Effective support is provided in the design, construction, logistics, and maintenance and outfitting of vessels, boats, aircraft, vehicles, aids to navigation, shore facilities, machinery and utilities. See the GAE PD for further information.

Facilities Design and Construction Center (FD&CC). Two MLC commands (Atlantic and Pacific) which provide civil engineering services to Areas, Districts and Headquarters units by completing the technical portions of AC&I PPRs. FD&CCs also prepare Design Development Submittals, final designs, contracting documents and perform construction management services for AC&I and major OE shore construction.

Facility Manager. The Facility Managers develop, coordinate, administer, review and evaluate plans, policies, procedures, and performance standards for their assigned facilities, which include aircraft, boats, cutters, and command, control, and communications and human resources.

Facility Requirements. Regularly updated publications which set forth Coast Guard AC&I requirements for a particular facility, which may include Aviation, Boats, Command, Control and Communications, Cutters and Shore Facilities. These documents are based on Space Allowance Lists (SAL).

Financial Resource Management (GAF). Under the direction of the Coast Guard Chief Financial Officer (CFO), this program provides administration and oversight of financial business practices in support of Coast Guard missions. Its primary responsibilities are: 1) to provide a sound budgeting, accounting and funds management system for efficient utilization of resources; and 2) to direct fundamental improvements in the areas of safeguarding of financial resources, strengthening of financial management internal controls, and upgrading the quality of financial information used for decision making. See GAF PD for further information.

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

Full Time Equivalency (FTE). An administrative device used by the executive branch to control the size of the Federal workforce and the money expended on salaries. For civilians, one FTE represents the consumption of 1 full year of work (2080 hours). This result could be accomplished in a variety of ways, e.g., one individual working for a full year; two people each working the equivalent of a half-year, etc. For military members, one FTE represents a work year. Individuals entering or leaving the military at midyear would consume less than an entire FTE. FTE is allocated to an agency based on the number of work years required to achieve the agency's missions. The FTE ceiling for a given fiscal year is the maximum number of cumulative hours or days that can be consumed by its personnel.

Full Time Permanent (FTP). One FTP equates to one position or one billet authorized for 1 full year. Using a budgetary analogy, it may be helpful to consider FTP as a "personnel authorization" and FTE as a "personnel appropriation." Just as budget authorizations "authorize" a certain funding level, FTP authorizes a certain employment level. This definition does not mean that those employment levels will be provided; instead, it is a ceiling which cannot be exceeded. The actual spending authority is contained in appropriations and may be less than that authorized, while FTE is the actual ceiling on employee consumption.

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 Headquarters Planning Manual (M16010.1B Part A).

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 GAK PD for further information.

Integrated Support Command (ISC). ISCs provide a wide range of support services to Coast Guard commands in the fields of administration, accounting, procurement, personnel services, health care, family relations, industrial, maintenance, and many other service related areas.

Legal Support Program (GAL). A program 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 that 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.

Master Plan. The Master Plan is the primary planning document for large shore installations. It identifies proposed development projects and provides an overall framework for future development. The Master Plan is a multi-use document. For example, it may serve as a comprehensive reference tool for the day-to-day operation of the unit and simultaneously guide the decisions made by the District or Headquarters staffs. It is produced at the field level with Commandant (CG-43) assistance and it precedes the budgetary (PPBS) process. Master Plans may be the foundation for Problem Statements or other budget related resource requests. See the Shore Facilities Project Development Manual, COMDTINST M11010.14 (series).

Mid-Range. 5 Years.

Officer Billet Code (OBC). The Officer Billet Code is a system to provide program and personnel managers with descriptive information about each Coast Guard officer billet. The code includes numeric identifiers for occupational field, organizational level, job position, grade and specific billets.

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. Internal support services necessary to assure that operational services to the public are provided by Support Programs, for example, training, logistics and personnel administration. See also related support programs.

Operating Facilities (OPFAC). An OPFAC is a Coast Guard unit or facility, including assigned boats and aircraft. By definition, an OPFAC is a manned facility, thus having personnel resources allocated to accomplishing the assigned missions. OPFACs have unique identification numbers that are integrated in the assignment, pay, and logistics systems of the Coast Guard. A collective term used to describe Coast Guard units and their assigned boats and aircraft.

Outcome Measure. An assessment of the results of a program activity compared to its intended purpose.

Output Measure. The tabulation, calculation, or recording of activity or effort and can be expressed in a quantitative or qualitative manner.

Personnel Allowance List (PAL). The PAL is a database listing of authorized full-time permanent civilian positions, selected reserve military billets and active duty military billets (including General Detail) that includes relevant information related to that billet (OPFAC;

position number; OBC; appropriation, program, and sponsor codes; source; special training and qualification requirements; OPM series classification codes). PAL is the personnel resource allocation tool for the Coast Guard.

Performance Goal. A target level of performance expressed as a tangible, measurable objective, against which actual achievement can be compared, including a goal expressed as a quantitative standard, value, or rate.

Performance Indicator. A particular value or characteristic used to measure output or outcome.

Personnel Hours. Synonymous with the term Staff Hours. These terms are not meant to differentiate between "line or staff" hours, but rather substitute for the term man hours.

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

Planning Factors. A component of the Planning Proposal; the basis on which a Planning Proposal is developed. Program stakeholders agree on what planning factors are appropriate for a Planning Proposal. Information distributed by Headquarters to districts and Headquarters units (which are allotment units) on which their field budget requests are based. The format for submission by program managers is prescribed at the time the call for planning factors is made.

Planning Officer. An officer reporting to the District Chief of Staff with immediate responsibility for coordinating the planning function in the district and maintaining liaison with appropriate Headquarters planning staffs. This position may also be filled by a civilian employee.

Planning Proposal (PP). A document normally from an Area, MLC, district or a Headquarters unit but which may also originate from Headquarters staff that recommends the establishment of new facilities or a change to existing plans, facilities or methods of operation. Planning Proposals normally precede the preparation of a Resource Proposal or AC&I Project Proposal Report.

Planning Proposal Review Board (PPRB). This is a review board composed of Headquarters points of contact, program managers and appropriate field personnel that reviews each Planning Proposal package and approves or disapproves the project.

Position Control Number (PCN). A unique number assigned by the Resource Director to each position for the purpose of identification and accounting in the Personnel Allowance List (PAL).

Prior Year. The fiscal year that immediately precedes the current fiscal year. (BY-1).

Problem Definition. Defining a problem establishes 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 Owner. The process owner is the person that has the responsibility for monitoring process results; has the authority or ability to effect changes; and has an understanding of the process from start to finish.

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, Environmental Compliance and Restoration, Reserve Training, Retired Pay, Research, Development, Testing and Evaluation, Medicare Eligible Retiree Healthcare Fund Contribution, Boat Safety, Oil Spill Liability Trust Fund, and Deepwater Port Liability Fund.

Program Activity. A specific activity or project as listed in the program and financing schedules of the annual budget of the United States Government.

Program Evaluation. An assessment made through objective measurement and systematic analysis of the manner and extent to which Federal programs achieve intended objectives.

Program Manager (PM). A Program Manager is the staff officer at Headquarters designated by and responsible to the Program Director for the detailed management of a Coast Guard program. There are Operating and Support Program Managers. The term Program Manager (PM) generally refers to an Operating Program Manager as compared with a Support Program Manager (SM). The position of Program Manager is different from that of Headquarters Planning Coordinator (HQPC). See definition above.

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

Public Affairs Support Program (GAB). 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 communication between the Coast Guard and external and internal interest groups. See GAB PD for further information.

Reprogramming. The act of reallocating financial or personnel resources from one use to another, which produces no net change to the overall Coast Guard appropriation on number of billets or positions. For example, the reprogramming of funds from AFC-01 to AFC-08 is neutral to the overall Operating Expenses appropriation. As another example, moving a YN2 billet from one unit to another is neutral. While most reprogrammings are not simple, they all result in no net change to Coast Guard appropriations.

Safety and Environmental Health (SEH) Program Support. Guidance and direction provided by Commandant (CG-113) 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 Safety and Environmental Health Manual, COMDTINST M5100.47 (series) 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.

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.

Staffing Standards. A staffing standard defines the quantitative and qualitative manpower required to accomplish identified workloads for a class of units, unit or activities. A staffing standard identifies the skill levels, series, rating and pay grades needed to perform Coast Guard work activity. Staffing standards, determined by studies, are contained in the Staffing Standards Manual, COMDTINST M5312.11 (series).

Sub-unit. A separately identified segment of a Coast Guard unit, managed by a supervisor. A sub-unit is designated when that segment is geographically separated from the parent unit, or the essential character and mission of that segment is uniquely different from the parent unit. The authority of a supervisor of a sub-unit and that of a commanding officer or officer-in-charge of a unit are not the same. Refer to United States Coast Guard Regulations 1992, COMDTINST M5000.3 (series) for more information. Examples of sub-units include: Marine Safety Detachments (MSD), Stations (Small), etc. The word "detachment" in the title generally connotes a sub-unit.

Support Center. A major shore unit that provides support services to several tenant operating and support activities.

Support Needs. The various services, resources, information, and developments required by Operating Programs from Support Programs for the accomplishment of goals. This definition 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 also Operating Program.

Survey and Design Funds (S&D Funds). Funds for the advance preparation of projects expected to be funded in a subsequent year's budget. These funds may be used for the acquisition of real property, for acquiring engineering information needed for design, and for the preparation of plans and specifications. Survey and design funds that are requested with each individual project are also used for project execution including building permits, land surveys, detailed facility

design and construction support services. Proper planning and design helps to ensure that AC&I projects are accurately assessed, planned and prioritized prior to seeking project appropriations. The projects supported by this request contribute to the long-range plans and support of operational units. These funds are administered by Commandant (CG-43) and allotted as needed.

Unit. A separately identified Coast Guard organizational entity, under a duly assigned commanding officer or officer-in-charge, provided with personnel and material for the performance of a prescribed mission. Examples of units include sectors, cutters, stations, marine safety offices, etc.

Unit Identification Code (UIC). A five digit code unique to each unit.

Workforce Management. The process to monitor and examine the execution of workforce plans; to evaluate the impact of external and 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 forecasts 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.

Appendix B. LIST OF ACRONYMS

Alphabetical Listing. Included below is an alphabetical listing of acronyms and their meaning, which may be helpful when working with this Manual.

AC&I	Acquisition, Construction and Improvements (i.e., capital investment)
AFC	Allotment Fund Code
AIS	Automatic Identification System
ATON	Aids to Navigation
BAH	Basic Allowance for Housing
CAMS	Capital Asset Management Strategy
CFO	Chief Financial Officer
CGA	Coast Guard Academy
CGCG	Coast Guard Cryptologic Group
CGCIS	Coast Guard Counterintelligence Service
CGES	Coast Guard Exchange System
CGIS	Coast Guard Investigative Service
CGHRMS	USCG Human Resources Management System
CGPC	USCG Personnel Command
CIO	Chief Information Officer
CMPLUS	Configuration Management Unit Level System
CONOP	Concept of Operations
COTP	Captain of the Port
CPO	Chief Petty Officer
CPRL	Contingency Personnel Requirements List
C2	Command and Control
C4ISR	Command, Control, Communications, Computers, Information, Surveillance, and Reconnaissance
DAFIS	Departmental Accounting and Financial Information System
DHS	Department of Homeland Security
DMSI	Decision Memo for Shore Infrastructure
DOD	Department of Defense
DOT	Department of Transportation
EIS	Environmental Impact Statement
ELC	Engineering Logistics Center
EP&R	DHS Directorate of Emergency Preparedness and Response
EP	Execution Proposal
EPA	Environmental Protection Agency
FEMA	Federal Emergency Management Agency

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FF21	Future Force 21
FLETC	Federal Law Enforcement Training Center
FOC	Full Operational Capability
FRP	Federal Response Plan
FY	Fiscal Year
GAA	Acquisition Support Program
GAB	Public Affairs Support Program
GAC	Contingency Preparedness Support Program
GAE	Engineering Support Program
GAF	Financial Management Support Program
GAH	Civil Rights Support Program
GAI	Investigation and Security Support Program
GAK	Health Services Support Program
GAL	Legal Support Program
GAO	General Accounting Office
GAP	Personnel Support Program
GAT	Command, Control and Communications (C (3)) Support Program
GPO	U. S. Government Printing Office
HITRON	Helicopter Interdiction Tactical Squadron
HLS	Homeland Security
HQPC	Headquarters Planning Coordinator
ICC	Intelligence Coordination Center
IDS	Integrated Deepwater System
IFB	Invitation for Bid
ILS	Integrated Logistics Support
IOC	Initial Operational Capability
ISSA	Inter-Service Support Agreement
ISSM	Integrated Systems Support Model
IT	Information Technology
JRR	Joint Ratings Review
LANTAREA	Commander, Coast Guard Atlantic Area
LORAN	Long Range Aid to Navigation
MFIC	Maritime Intelligence Fusion Center
MLC	Maintenance and Logistics Command
MOU	Memorandum of Understanding
MSST	Maritime Safety and Security Team
MSU	Mobile Support Unit
MTS	Marine Transportation System
MWR	Morale, Well-Being and Recreation

NAF	Nonappropriated Funds
ODU	Operational Dress Uniform
OE	Operating Expense
OHS	White House Office of Homeland Security
OMB	Office of Management and Budget
PAA	Personnel Allowance Amendment
PACAREA	Commander, Coast Guard Pacific Area
PAL	Personnel Allowance List
PCN	Position Control Number - Civilian equivalent of a BCN
PCS	Permanent Change of Station
PIF	Productivity Improvement Fund
PP	Planning Proposal
PPR	Project Proposal Report
PPRB	Planning Proposal Review Board
PS	Problem Statement
PSS	Port Safety and Security Operating Program
PSU	Port Security Unit
R&D	Research and Development
RDC	Research and Development Center
RDT&E	Research, Development, Test and Evaluation
REC	Regional Examination Center
RFP	Request for Proposal
RFQ	Request for Quotations
RP	Resource Proposal
RPAL	Reserve Personnel Allowance List
RT	Reserve Training
SAFR	Small Arms Firing Range
SAM	Shore Asset Management
SAR	Search and Rescue Operating Program
SD	Support Program Director
SEH	Safety and Environmental Health
SFCAM	Shore Facility Capital Asset Management
SFRL	Shore Facility Requirements List
SOH	Safety and Occupational Health
SRA	Short Range Aids to Navigation Operating Program
T&E	Testing and Evaluation
TAD	Temporary Assigned Duty
TSC	Transportation Systems Center
UPH	Unaccompanied Personnel Housing
USCG	United States Coast Guard

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UTS Unit Travel System

Appendix C. PROBLEM STATEMENT FORMAT

1. Project Title: Problem Statement Title. ‘Problem Statement for _____’
2. SFRL Number: Give number as appropriate.
3. Benefiting Unit: List all units that will benefit from the project.
4. Host Unit: Name and OPFAC of the host command of the property.
5. Funding Source: Give the source of funding for the proposed project.
6. HQ Program Manager: Give office symbol as appropriate.
7. Problem Statement:
 - a. Current State: In this section describe the existing situation at the benefiting unit. Provide as much detail as is needed to support the Problem Statement package.
 - b. Desired State: Describe the objective of the project and what the completed project will accomplish.
8. How Problem was Identified/Background: Describe the existing situation and explain how any deficiencies adversely impact upon the Coast Guard mission.
9. Significant Issues: Discuss any major issues that might be associated with the project. Significant issues might include why the location or size of a facility must be taken into account in evaluating alternatives.
10. Status Quo and Preferred Alternatives:
 - a. Status Quo: The status quo situation must be described.
 - b. Preferred Alternative: Describe the preferred alternative.
11. Checklist of Constraints, Impacts and Environmental Concerns:

<u>Issue</u>	<u>Yes, No, N/A</u>	<u>Remarks</u>
Real Property		
Personnel Change		
Efficiency		
Safety		

Appendix C To COMDTINST M11000.17

<u>Issue</u>	<u>Yes, No, N/A</u>	<u>Remarks</u>
Housing Threatened/Endangered Species Site Contamination Historicity Community Interface Coastal Zone Management		
12. Planning Proposal Waiver Requested: For Title 10 Transfers Only	Yes or No	
13. Participants: Include names and phone numbers of key individuals who provided assistance of background material in preparing the Problem Statement.		
Originator:	Name, title, phone number and email address of originator. Anyone identifying a problem or need may submit a Problem Statement through their chain of command. The originator shall coordinate with District Planner, District Program Manager, and Headquarters Planning Coordinator for initial comment and support as appropriate.	
Submitted By:	Comment, recommendation, signature, title and date of the submitter from District, MLC(s), HQ Unit (CO).	
14.	Comment, recommendation, date and signature of the Area and MLC Commanders or their designated representatives as appropriate.	

Appendix D. PLANNING PROPOSAL FORMAT

A. Purpose. An outline of a Planning Proposal format is given below. A current, previously submitted Planning Proposal may also be used as a frame of reference.

1. Title and Identifying Information: Include the words 'Planning Proposal' in the project title.

a. United States Coast Guard
Planning Proposal
Title of Planning Proposal
SFRL#:

b. Issuing Office, Points of Contact and Signatures. The format for issuing office, contact information and signatures is given below.

TO: Commandant (CG-81)

FROM: Commander, Coast Guard District or
Commanding Officer, HQ Unit

Benefiting Unit: Give appropriate information on the unit involved.

Points of Contact:

District Planning Officer: Name Phone Email

Planner: Name Phone Email

Participants:

Unit Participants: Name Phone Email

HQ Planning Coordinators: Name Phone Email

District Program Managers: Name Phone Email

State Historic Preservation Officer: Name Phone Email

NEPA Contacts: Name Phone Email

Others: Name Phone Email

Signatures:

Planner

Date

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_____	_____
Benefiting Unit	Date
_____	_____
District Planning Officer (HQ Unit Planning Officer)	Date
_____	_____
District Commander (HQ Unit Commanding Officer)	Date
_____	_____
Maintenance Logistics Command (s)	Date
_____	_____
Area Commander	Date

B. Executive Summary.

1. Objective. The executive summary should be written after the Planning Proposal has been completed. The purpose and goals should be summarized on one or two pages. The free flowing format of the Planning Proposal is designed to allow for as much or as little information as appropriate to document the problem and the recommended solution.
2. Introduction. Explain what is included in the Planning Proposal, the objectives and why it is justified.
3. Purpose. Determine if we should: 1) purchase; 2) build or rehabilitate and include a discussion of AC&I funding requirements; 3) reorganize; or (4) Lease.
4. Analysis/Results. Include a statement of project needs and a summary of alternatives.
5. Impact of Denial. Assess the impact to the Coast Guard if the proposal is not approved.
6. Conclusion. Summarize why a need for the project has been demonstrated and discuss which alternative has been selected.
7. Recommendation. Discuss what resources are required in terms of facilities, personnel, equipment, telecommunications, cutters or aircraft. Provide a summary of funds required, AC&I costs plus total NPV, and an execution plan with a funding scheme.

C. Table of Contents. A correctly formatted table of contents should include:

1. Title and Page Numbers.
 - a. Introduction.
 - (1) Purpose.
 - (2) Methodology/Certification that Planning Proposal was developed in accordance with the Field Planning Manual.
 - (3) Problem Description (See original Problem Statement; if there is no approved Problem Statement, provide a Problem Statement as background information). The Problem Statement is the first step in the field planning process, but does not have to be completed prior to the preparation of a Decision Memo for Shore Infrastructure. A Problem Statement does not have to be completed prior to the submission of a Planning Proposal if the issues to be addressed are of an urgent nature and if senior management at Headquarters has approved a Problem Statement waiver.

- b. Background. This section should include a discussion of Missions/Functions, Planning Factors/Premises/Assumptions, Mission Requirements, Resource Assessment of Existing Facilities, Gap Analysis/Need Identification.
 - c. Analysis of Alternatives. Include a discussion of Non-Viable Alternatives.
 - d. Summary.
 - e. Alternative 1 Status Quo. This section should include a Description, Cost Analysis, Personnel Summary, Facility Summary, Economic Analysis, Environmental Analysis, and Summary.
 - f. Alternative 2: Describe as necessary.
 - g. Alternative 3: Describe as necessary.
 - h. Other Alternatives: Discuss other alternatives as required.
 - i. Summary of Alternatives.
 - j. Recommendation of best alternative.
 - k. Execution Strategy.
 - l. References.
 - m. Appendices. The appendices should include a NEPA Document (ROD/EIS, FONSI/EA, or CED/Checklist), a list of tables, a list of drawings, a list of figures, and a list of photographs.
- D. Detailed Outline of Planning Proposal. A Planning Proposal should contain the following sections.
- 1. Cover Sheet.
 - 2. Executive Summary.
 - 3. Table of Contents.
 - 4. Introduction. Provide a description of the facility and its mission and an explanation of what the project will accomplish.
 - a. Purpose. Briefly describe the objective of the proposal and how the facility will benefit from the project.

- b. **Methodology.** Describe the methodology that was used to identify and define the basis for making modifications to the existing facilities. Provide certification that the Planning Proposal was developed in accordance with the Field Planning Manual.
 - c. **Problem Description.** Define in detail what is wrong with the facility in its present configuration. This phase of the process will center on developing baseline data to assess the extent to which a shore facilities project should be pursued. The data gathering and analysis process should look at what information is relevant, collecting data and confirming baselines and patterns, determining the most influential contributing factors, and using data to show the depth of the initiative. The project team should be in a position to prove that a proposal is worthy of funding. The original Problem Statement should be included in the Planning Proposal. If a Problem Statement was not completed and approved, a Problem Statement should be prepared as supporting information. Developing the Problem Statement is a procedure for discovering what impact a proposal might have on the Coast Guard, on its people, and on its operations. The Problem Statement will confirm if a project is worth pursuing, should identify all aspects of the project, and should confirm if the right people are on the project team. The Problem Description could include the NEPA Need statement, where the single fundamental need for action is identified. Once identification is made, the broad array of initial alternative solutions to a problem can be limited or narrowed to only those that fulfill the basic Need or Problem. The latter become the Final Array of Viable Alternatives.
5. **Background.** Describe the background to the problem. How did the present situation evolve? What is the funding and resource history of the facility? Has the unit mission changed?
- a. **Missions/Functions of the Benefiting Unit.** Describe the assigned missions and functions of the unit. Provide information on the scope and nature of the mission with regard to theatre of operations. Briefly describe why the Coast Guard is or will be required or obligated to perform the mission. Include information on any applicable statutes, regulations, and policies, e.g., NTP, Executive Business Plan, and Memoranda of Agreement. Provide an overview of the entire unit and how the proposal relates to the rest of the unit.
 - b. **Planning Factors, Premises and Assumptions.** The premises and assumptions upon which the Planning Proposal is based should be fully described in the document. Planning guidance or other supporting factors that have been obtained from the coordinating program may also be included. All program coordinators should be in agreement as to which supporting factors are germane to the proposal. Incorrect assumptions could lead to inappropriate solutions.

- c. Mission Requirements. This part of the assessment considers the minimum resources you need to do your assigned mission in terms of people, facilities, funding, boats, aircraft, and any reorganization requirements. Use these elements as appropriate. All of these elements are tools that can be used in analyzing resource and mission requirements.
 - (1) Introduction. Describe the mission of the unit, why the unit exists, and what changes have occurred to the unit during its life.
 - (2) Analysis of Operational and Support Data. This data consists of:
 - (a) Casualty Reports, SAR Statistics.
 - (b) Operational & Support Plans.
 - (c) Operational Trends Assessment.
 - (d) Risk Assessment.
 - (e) Mission Requirements Planning.
 - (f) Change in Mission.
 - (g) Command or Congressional Prerogative.
 - (h) Strategic Agenda.
 - (3) Analysis of Facility Requirements Data. This data consists of:
 - (a) Catastrophic Failure.
 - (b) Facility Master Plan.
 - (c) Systematic Inspection of Existing Shore Plant.
 - (d) Space Utilization Assessments.
 - (4) Analysis of Future Requirements Data. This data consists of:
 - (a) Projected future mission and effectiveness goals.
 - (b) Requirement for future mission or reasons for changes to current mission.
 - (c) Statutes.
 - (d) Regulations.

- (e) Policies (e.g., NTP, National Drug Control Strategy, Strategic Agenda, pending treaties or agreements, etc.)
 - (f) Historical Trends.
 - (g) Technology.
 - (h) Demographics.
 - (i) Others.
- (5) Conclusions. What resources are required to accomplish the mission? The basis for these resources, which include personnel, facilities, funds, etc., should include the data listed above, Coast Guard standards, or other accepted standards as available. A general description of the requirements as applied to mission fulfillment may also be discussed. A description of the capabilities needed for mission fulfillment might include:
- (a) Equipment (For example, aircraft and boats.)
 - (b) Buildings.
 - (c) Land.
 - (d) Computer Hardware/Software.
 - (e) Authorized Billets and Positions.
 - (f) Resource Hours.
 - (g) Customers.
 - (h) Funding.
 - (i) Other.
- d. Resource Assessment of Existing Facilities.
- (1) Introduction. Background should be provided on existing assets and how these assets were developed. Provide any information that will describe their existing condition.
 - (2) Analysis. Evaluate existing operational and support resources. Conduct an assessment of existing operational and support concepts, organization and requirements, identify and verify planning factors and mandatory compliance criteria.

- (3) Evaluate existing operational and support resources. Conduct an inspection and evaluation of existing facility assets, identify and verify planning factors and mandatory compliance criteria. Provide documentation sufficient to describe and verify that an inspection and evaluation of all relevant existing facilities was conducted.
 - (4) Conclusion. Documentation should describe relevant dimensions of the existing situation, including: existing physical condition, functional adequacy, compliance with applicable safety and siting criteria and the potential for alternative use and disposal. Provide a description of all relevant planning factors and mandatory compliance criteria, including sufficient evidence that all planning criteria were discussed with the relevant Headquarters Planning Coordinators (HQPC) during the creation of the Planning Proposal.
- e. Gap Analysis and Need Identification.
- (1) Introduction. Provide an indicator of how the need compares with what presently exists. If it is overwhelming, or needs clarification, provide a detailed background in this section.
 - (2) Analysis. Compare required assets with existing assets. Compare the difference between requirements and existing assets for both facilities and resources. Determine deficiencies or excess assets. Explain inconsistencies between requirements and existing assets. Use mission performance measures and gap analysis to complete the analysis. Describe how well the current mission is being executed and evaluate gaps in effectiveness in terms of performance, customer response, costs, excess or deficient capability, and any other measurement factor.
 - (3) Conclusion and Justification. The concluding section should consist of a statement of the need or problem, including sufficient background documentation to convey the complexity of the situation, and any related issues, needs and problems. The justification must include not only deficiencies in facilities, but also deficiencies in operational and support issues as well as in personnel and funding. The proposal should be justified in terms of Coast Guard policies and standards which are not being met and/or the ability to accomplish the assigned mission. Documentation should provide sufficient evidence of a quantifiable and qualitative differential between current performance and the approved and desired level of performance.
6. Development of Alternative Solutions. This phase of analysis will select from an array of potentially viable alternative solutions an alternative that will solve all or part of the problem, produce benefits that will repay the time, cost, and effort invested in the project, and obtain support for successful implementation. An alternative will be chosen based upon making a review of all promising solutions, will help program

managers focus on the selection of the most promising solution, and will provide a foundation from which to develop an implementation plan.

- a. **Assessment of Potential Alternatives.** Team members should brainstorm a list of possible project alternatives that include Status Quo, Change or End Mission, Relocate Mission, Change Organization, Change Policy, Change Personnel, Contract Out, Repair, Renovate, Relocate, Lease, Acquire through purchase, transfer, or exchange, Build New, or other solutions. The analysis of alternatives should cover all possible options, including the status quo no change alternative, and should quantify the advantages and disadvantages of each option. The environmental impact of each alternative should be assessed. Alternatives should be developed based on established criteria to ensure an equitable comparison of all options. For example, the Planning Proposal might discuss the requirements for additional space and propose leasing, new construction, and the use of existing space owned by another government agency as possible alternatives.
- b. **Size and Cost Estimates.** It is essential that square foot estimates be calculated as closely as possible, since variations later in the process may cause an alternate solution to become the preferred alternative. The Shore Facilities Standards Manual COMDTINST M11012.9 (Series) should be used for preliminary sizing. In addition, the cost estimates for the alternative solutions should include all costs associated with the proposed alternative solution, e.g. the cost of any anticipated new environmental solutions, etc. to ensure that an appropriate comparison of alternatives has been made. Contingency factors that identify possible unknown costs associated with each alternative should be included with each estimate.

7. Summary of Viable Alternatives:

TABLE D-1 PLANNING PROPOSAL
SUMMARY OF VIABLE ALTERNATIVES
PROPOSAL TITLE

Table D-1 Planning Proposal of Viable Alternatives

COMPARISON OF ALTERNATIVES ENVIRONMENTAL DESCRIPTION RANK*	RESOURCES REQUIRED IN THE FY <u>XX</u> BUDGET			DISCOUNTED NET TOTAL LIFE CYCLE COST
		PERSONNEL		
	COST (000's)	Number of Active Duty Staff	Number of Civilian Staff	
1. STATUS QUO Summarize alternatives from the Alternative Development pages				
2. 1 ST PREFERRED List the most preferred alternative here.				
3. 2 ND PREFERRED List the second preferred alternative here.				
4. 3 RD PREFERRED 3rd Preferred				

*Rank the alternatives with respect to environmental impact, with "1" having the least impact. Alternatives with the highest impact will have the highest rank. Include the environmental impact of programmatic change where applicable. Two or more alternatives may have the same rank.

8. Alternative Development. All promising alternatives are developed and analyzed, including the status quo option.

- a. Status Quo. The status quo no change option is described.
- b. Introduction.

- c. **Alternative Description.** Describe in detail each alternative and how it will or will not meet the mission requirements of the unit. Briefly describe the scope of the alternative in terms of space requirements, personnel, and so on. Provide background for each alternative and include drawings, photos, details, etc. Describe the methodology used in the analysis of each alternative to demonstrate that an objective, professional, comprehensive, detailed and systematic problem solving process was used in the analysis of each option.

- d. **Alternative Analysis.** An assessment of each alternative includes a cost analysis, the source of costs being used, conclusions and justification for use in the supporting economic analysis, and a life cycle cost analysis. The environmental impact of each alternative should also be assessed.

TABLE D-2 PLANNING PROPOSAL
ECONOMIC ANALYSIS OF ALTERNATIVES
PROPOSAL TITLE - ALTERNATIVE TITLE - ALTERNATIVE NO.

Table D-2: Planning Proposal Economic Analysis Of Alternatives

PROJECT DISCOUNTED YEAR COST	ITEM ESTIMATED COSTS GIVEN IN FY <u>xx</u> DOLLARS(Budget Year)	ESTIMATED COSTS		DISCOUNT FACTOR
		ONE-TIME	RECURRING	
	<p>List identifiable costs separately, e.g., construction, maintenance, utilities, BAQ, rations, and personnel changes as applicable.</p> <p>Use cumulative discount factors from Appendix C, page 2 of NAVFAC P-442 (June 1986) for recurring costs except utilities.</p> <p>Reflect and discount terminal values where applicable. Refer to Chapter 7 of this Manual and to NAVFAC P-442.</p>		<p>Personnel costs should be based on Standard Personnel Costs (SPCs).</p>	

Emphasis should be placed on developing proposals and alternatives which minimize follow-on OE costs where possible. Labor saving devices such as optimal siting, security equipment and low maintenance designs should be considered early in the planning stage to maximize potential OE savings.

9. Discounted Net Life Cycle Cost/Basis of Cost Estimate. Indicate assumptions in the discount rate, differential inflation rate if any, source of cost data, or other considerations that will influence the analysis. Explain how cost estimates were adjusted upward to the requested budget year dollars. Note that economic lives of alternatives must be equal or other forms of comparison must be used and explained. See Chapter 7 of this Manual and NAVFAC P-422.

10. Personnel Analysis (If personnel are involved). Using the standard Personnel Analysis format, identify all personnel included with the status quo alternative. All other alternatives should include only the variances from the status quo.

**TABLE D-3 PLANNING PROPOSAL
HUMAN RESOURCES
PROPOSAL TITLE - ALTERNATIVE TITLE - ALTERNATIVE NO.**

ENLISTED PERSONNEL REQUIREMENTS:

Table D-3: Planning Proposal Enlisted Personnel Requirements

RATING	E-4	E-5	E-6	E-7	E-8	E-9	NON-RATED	E-2	E-3
AET							SN		
AMT							FN		
AST									
BM									
DC									
EM									
ET									
FS									
GM									
HS									
IS									
IT									
IV									
MK									
MST									
Musician									
OS									
PS									
PA									
SK									
YN									

11. Billets. Enter the number of each type of billet required. Asterisk (*) billets that are in command positions, e.g. Officer in Charge, XPO, etc., are indicated in this space. Indicate the basis upon which these billets are requested; include what workload analysis was conducted for justification.

TABLE D-4 OFFICER PERSONNEL REQUIREMENTS:

Table D-4: Planning Proposal Officer Personnel Requirements

Officer	O-1	O-2	O-3	O-4	O-5	O-6	Warrant	W-2	W-3	W-4
AVIATION							AVI			
C4IT							ELC			
ENGINEERING							ENG			
FINANCE							INF			
HUMAN RESOURCES							PERS			
INTELLIGENCE							ISS			
LEGAL							F&S			
MANAGEMENT										
MEDICAL							MED			
OPERATIONS AFLOAT							BOSN			
							ISM			
OPERATIONS ASHORE – PREVENTION							MSS/PSS			
OPERATIONS ASHORE – RESPONSE							OSS			
RESERVE PROGRAMS							WEPS			
							MAT			

TABLE D-5 CIVILIAN PERSONNEL REQUIREMENTS:

Table D-5: Planning Proposal Civilian Personnel Requirements

TITLE	SERIES	GS/GM/WG	LEVEL	NUMBER
Program Analyst, etc.	345	GS	12	1

12. National Environmental Policy Act Compliance.

- a. Environmental Resources. Discuss the presence or absence of the various types of resources, their quality and management considerations. Identification of these resources and their management responsibilities is important in developing facility management and growth plans, as well as in anticipating specific project needs. Since the entities with the statutory responsibility for expertise and review for these resources are not Coast Guard, review of the Planning Proposal outside of the Coast Guard is necessary. The responsibility of the Coast Guard to evaluate the effects of its actions on environmental resources is defined and

prescribed in the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).

- b. **Historical and Archaeological Considerations.** Describe the location and type of the resources in this category. For both land and marine archeological sites, the probability of finding sites at the facility must be determined, sites located and their potential for eligibility for listing on the National Register of Historic Places (NRHP) must be confirmed. The actual eligibility of the archeological resources should be assigned as a requirement for specific projects due to the usually large cost involved. For architectural features, the eligibility of the structures and/or districts for the NRHP is more readily identified and should be determined in the Planning Proposal. Since there is an age criterion for architectural resources, the potential for future eligible features should also be identified. Nomination of all eligible resources to the NRHP should be completed as a part of the Planning Proposal preparation. Coordination with the State Historic Preservation Officer is necessary to complete these determinations. Identify points of contact at the appropriate Advisory Council on Historic Preservation and State Historic Preservation Office. Provide addresses and evidence of concurrence from these points of contact in the findings. Coast Guard responsibilities to identify historic properties, to assess the effects of Coast Guard actions on historic properties, treatment of adverse effects and nomination of eligible historic properties to the National Register of Historic Places are defined and prescribed in the National Historic Preservation Act. See National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
- c. **Wetlands.** Describe the location, size and type of wetlands on or adjacent to the facility. Determine the need to maintain or preserve the wetland areas. Identify appropriate points of contact at the state level and with the U. S. Army Corps of Engineers, the Environmental Protection Agency and the U. S. Fish and Wildlife Service. Provide addresses, permit requirements, and evidence of concurrence from these points of contact in the determinations. Coast Guard responsibilities to identify wetland areas, to assess the effects of Coast Guard actions on wetlands, to mitigate adverse effects and apply for permission to perform actions in wetlands are defined and prescribed in the Clean Water Act. Refer to Preservation of the Nation's Wetlands, COMDTINST 16475.2 (series) and National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
- d. **Wildlife Management and Endangered Species.** Describe the location, size, type, and value of these areas. While wildlife management is not a Coast Guard mission or a statutory requirement, areas that are set aside for future development or set aside for other purposes such as wetlands and flood plains can also be managed for wildlife at low cost and provide recreational benefits for Coast Guard personnel. Critical habitats of endangered species that are located on Coast

Guard property or in the immediate vicinity should be identified in the Planning Proposal, along with appropriate development concerns. Identify the appropriate points of contact at the state level and at the U.S. Fish and Wildlife Service. Provide addresses, management requirements, and evidence of concurrence from these points of contact in the identification of impacted areas and in management plans. Coast Guard responsibilities to protect endangered species and their critical habitat are defined and prescribed in the Endangered Species Act. Certain other responsibilities are contained in the Fish and Wildlife Coordination Act. Refer to National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).

- e. Wild, Scenic and Recreational Rivers. Discuss the presence or absence, of Federal or state designated rivers on or adjacent to the facility. Determine whether the facility is in the protected corridor associated with the designation. Identify the management requirements associated with the corridor and their influence on the management of the facility. Identify the appropriate points of contact at the state level and at the National Park Service. Provide addresses and evidence of concurrence from these points of contact in the facility management plans. Coast Guard responsibilities to protect wild, scenic and recreational rivers are defined and prescribed in the Wild and Scenic Rivers Act. Refer to National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
- f. Watershed Protection. Discuss the presence or absence of state or local watershed protection programs on or in the vicinity of the facility. Identify the management requirements associated with the watershed and their influence on the management of the facility. Identify the appropriate points of contact at the state and local level. Provide addresses and evidence of concurrence from these points of contact in the facility management plans. Coast Guard responsibilities to protect watersheds are often defined and prescribed in local ordinances. Additional responsibilities are also contained in the Safe Drinking Water Act. Refer to National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
- g. Coastal Barriers. Determine if the facility is located on or adjacent to a federally designated coastal barrier. Identify the management requirements associated with the coastal barrier. Identify the appropriate points of contact at the state level and at the U. S. Fish and Wildlife Service. Provide addresses and evidence of concurrence from these points of contact in the facility management plans. Coast Guard responsibilities to manage its facilities on coastal barriers are defined and prescribed in the Coastal Barrier Resources Act. Refer to National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
- h. Coastal Zone. Determine if the facility is located in a coastal zone. Coast Guard actions must be consistent with state coastal zone management programs to the

maximum extent practicable. Identify state points of contact. Provide addresses and evidence of concurrence from these points of contact in the facility management plans. Coast Guard responsibilities to manage its facilities in the coastal zone are defined and prescribed in the Coastal Zone Management Act. Refer to the Coastal Zone Management, Federal Consistency Procedures, COMDTINST 16004.2 (series) and National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Contact Commandant (CG-443) for guidance.

- i. Slopes and Soils. An assessment of the general geology of the installation is to be included in the environmental documentation. The Soil Conservation Service and US Geological Survey publish geological and soils information which could be useful in this section. Previous construction projects at the installation can also be a useful source of information. Discuss elevation extremes on the installation, identifying areas with slopes greater than 10 %, 5-10 %, and less than 5 %. Include topographic maps of the installation. Discuss any re-grading and contouring that may be planned.
- j. Storm Water Management. Identify all streams, channels, storm water sewer pipes, inlets and outlets, ponds, etc., which could handle storm water on the installation. Identify existing or potential problem areas and proposed corrective measures. Summarize state and local storm water management requirements for new construction to the extent that these requirements effect existing or potential facility operations and development. Identify state and local points of contact. Coast Guard responsibilities to manage storm water can be found in local laws and ordinances or in state laws developed in accordance with Federal requirements defined and prescribed in the Clean Water Act or the Safe Drinking Water Act. Refer to National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
- k. Vegetation and Landscaping. Discuss types of tree growth, and identify densely forested areas, wetland areas, grasslands, etc. Discuss tree, shrub, grass, flower and other planting plans.
- l. Building Constraints. Provide an assessment of all known development constraints which may exist at the installation, including flood zone, wetlands, excessive slopes, construction setbacks, airfield safety and noise, etc. A land use plan showing prime buildable areas as well as land use constraints should be included.

13. Hazardous and Toxic Waste.

- a. Hazardous Waste and Petroleum Contamination. Identify known sites of hazardous waste contamination, their current state of remediation and projected schedule for clean up when necessary. If the facility has not been surveyed for

possible contamination, identify areas where the potential for contamination exists based on a history of use of the facility. It is not necessary to remove contamination as a part of the master plan effort. Identify points of contact at the Federal and state level. Provide addresses and evidence of concurrence from these points of contact in the contamination survey. Identification of contaminated and potentially contaminated areas is important in formulating facility management and development plans, as well as in accounting for potential high cost items in future project cost estimates. Coast Guard responsibilities to identify and remove contamination are defined and prescribed in the Resource Conservation and Recovery Act and the Comprehensive Environmental Response, Compensation and Liabilities Act. Refer to the Hazardous Waste Management Manual, COMDTINST M16478.1 (series) and the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).

- b. Asbestos. Describe the results of asbestos surveys and current level of asbestos use at the facility. If there has not been a thorough asbestos survey of the facility, perform one as a part of the master plan. Identify points of contact at the Federal and state level. Provide addresses and evidence of concurrence from these points of contact in the contamination survey. Coast Guard responsibilities to manage asbestos are defined and prescribed in the Toxic Substances Control Act and the Clean Air Act. Refer to Asbestos Exposure Control Manual, COMDTINST M6260.16 (series).
- c. Polychlorinated Biphenyls (PCBs). Describe results of PCB surveys and current levels of PCB use at the facility. If there has not been a thorough PCB survey of the facility, perform one as a part of the master plan. Identify points of contact at the Federal and state level. Provide addresses and evidence of concurrence from these points of contact in the contamination survey. Coast Guard responsibilities to manage PCBs are defined and prescribed in the Toxic Substances Control Act. Refer to Handling and Disposal of Polychlorinated Biphenyls, COMDTINST M16478.2 (series).
- d. Air Quality Standards. Summarize Federal, state and local air quality management requirements for the location of the facility to the extent that these standards effect existing or potential facility operations and development. Identify points of contact at the Federal, state and local level. Coast Guard responsibilities to comply with local and Federal requirements are defined and prescribed in the Clean Air Act. Refer to National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
- e. Noise Control Standards. Summarize state and local noise control requirements for the vicinity of the facility to the extent that these standards effect potential facility operations and development. Identify points of contact at the Federal, state and local level. Coast Guard responsibilities to comply with local and

Federal requirements are defined and prescribed in the Noise Control Act. Refer to National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).

- f. Sewage Discharge or Pretreatment Standards. Summarize state and local sewage discharge requirements for the facility to the extent that they effect existing or potential facility operations and development. Identify points of contact at the state and local level. Coast Guard responsibilities to comply with local and Federal requirements are defined and prescribed in the Clean Water Act. Refer to Hazardous Waste Management Manual, M16478.1 (series).
- g. Hazardous Waste Management. Describe hazardous waste management considerations to the extent that they impact upon overall facility layout, transportation systems or the siting of specific buildings within the facility. Coast Guard responsibilities to manage hazardous wastes are defined and prescribed in the Resource Conservation and Recovery Act. Refer to Hazardous Waste Management Manual, COMDTINST M16478.1 (series).

14. Real Property Analysis.

- a. Land Use. Discuss the existing and proposed land uses in the surrounding communities, i.e., high density residential, industrial, and commercial, etc. Provide an existing and proposed land use map of the area adjacent to the installation. Discuss any existing and proposed encroachments from local interests which affect the installation. The local Planning Commissions and/or Dept. of Public Works could be possible sources of the required information.
- b. Encroachments. Provide a general discussion of encroachments being experienced by the installation, for example easements, building activity, and so on.
- c. Climate. Provide a general description of the climate of the area. Indicate monthly averages, maximums and minimums for temperature, rainfall, snowfall, ice thickness, wind and other climatic variables which may impact upon the installation. A single table including all the information would be appropriate. The local U.S. Weather Service office would be an excellent source for the required information.
- d. Hydrology. Discuss the monthly and historical averages, maximums and minimums tidal and river water surfaces elevations. The National Oceanic and Atmospheric Administration (NOAA) and the U.S. Army Corps of Engineers would be excellent sources for the required information.
- e. Socio-economics and Environmental Justice. Discuss the makeup of the local population including numbers, age, education, and employment by population centers. Identify top employers in the area and discuss the Coast Guard's

employer ranking, i.e., top ten, major, minor, insignificant, in the area. Sources for this information would include the U.S. Census Bureau, local Chambers of Commerce, local planning commissions, local master plans, and/or other local government offices. It may be necessary to assess the social and economic impact of proposed actions in terms of environmental justice considerations.

- f. Transportation. Provide a discussion of all major transportation systems in the area; including roads, rail, airports, buses and shipping. The discussion should address the existing and proposed systems within the next ten years. Sources for this information could be state and/or local transportation departments, local public works departments, and local master plans. Provide maps showing the locations of the transportation systems.
- g. Utilities. Include discussion on electrical, telephone, water and sewer utilities being provided to the installation by the local communities. Include maps showing the general location of existing and proposed utilities. Information sources could include local public works departments, water and sewer commissions, and electric companies.
- h. Emergency Services. Identify local fire, police and ambulance services which are available to the installation, its personnel and their families.
- i. Schools. Identify local public and private schools within the surrounding community, which may be available to installation personnel and their families. Be sure to include vocational schools, colleges, universities and other educational programs. The NEPA documentation may need to identify the impact of bringing new families to a small community or the impact of moving families from a small community.
- j. Medical Services. Identify nearby hospitals and medical clinics which may be available to installation personnel and their families.
- k. Housing. Provide a brief discussion of the rental housing market and the availability of family housing at other federal installations in the area.
- l. Other Federal Facilities. Identify and discuss all significant federal installations and/or activities in the area. In particular, discuss those facilities which are or could be available for use by the Coast Guard.
- m. Community Concerns. Identify and discuss any issues which the adjacent communities may have regarding the existing and/or proposed installation activities.
- n. Other Services. This section is used to identify community services being provided to the installation and/or their families which have not been covered under previous headings in this section, i.e. daycare, etc.

- o. Navigable Waters. Discuss the proximity to and intended or actual Coast Guard use of the navigable waters, as well as the other uses of the channel. This is helpful in justifying waterfront and/or channel improvements. Identify the appropriate U. S. Army Corps of Engineers point of contact and permit requirements. Coast Guard responsibilities to identify navigable waters, to assess the effects of Coast Guard actions on navigable waters, and to mitigate adverse effects and apply for permission to perform actions in navigable waters are defined and proscribed in the Rivers and Harbors Act of 1899. Refer to COMDTINST M16475.1 (series).
 - p. Recreational Opportunities. Discuss recreational opportunities in the vicinity of the facility to include public and major private development. This is helpful in justifying new or modified recreational facilities.
 - q. Provisions for Public Access. Discuss public access policy at the facility. This is necessary to develop the site plan for the facility in terms of facility zoning, building arrangements and provisions for public exhibits, buildings, parking, etc.
 - r. Permanent transfer. Provide an assessment for the options of fee simple acquisitions and for easements as appropriate.
 - s. Non-permanent transfer. Provide an assessment for the options for leasing, for obtaining a license and for permits as appropriate.
15. Safety Analysis. Discuss any safety, risk management and environmental health considerations that are a major contributor to the justification of this project. Provide results of other surveys that involve:
- a. Airfields/Helicopter Pads.
 - b. Electromagnetic Fields.
 - c. Ordnance.
 - d. Radon.
 - e. Asbestos.
 - f. PCBs.
 - g. OSHA.
 - h. Fire Prevention and Safety.

16. Military Readiness Analysis. The Area will make a subjective rating of the impact that the Planning Proposal will have on national defense. If the Planning Proposal has any national defense impact, choose one of the following ratings: highly negative, negative, minimal, positive, and highly positive. Negative impacts degrade the contribution of the Coast Guard to the defense of the United States and/or impair the ability of the unit to perform its current contingency or mobilization duties. Positive impacts have the opposite effect. Do not evaluate below the Commander, Coast Guard Forces (CCGF) level. Districts must evaluate the impact at district and CCGF level. Areas must evaluate at area and district level. Give the rating for each affected operational commander. For example, moving resources from a CCGF in one district to a CCGF in another district could have a negative impact at the losing district and CCGF, a positive impact at the gaining district and CCGF, and minimal impact at the area.
17. Reserve Impact Analysis. Indicate if the proposal will affect the Reserve Training Program. Consideration for office, training and storage space as well as for adequate berthing for reservists commuting long distances for drills and augmentation should be considered during shore facility construction or renovation. Refer to the Shore Facilities Standards Manual (SFSM), COMDTINST M11012.9 (series).
18. C⁴I Analysis. Describe the information systems involved with this alternative. Indicate any Command, Control, and Communications and Information resource management impacts. Refer to the instruction on Planning Approval for Automated Information Systems (AIS), COMDTINST 5231.2 (series), and the instruction on Information Resource Management, COMDTINST 5230.41 (series).
19. Security Analysis. Review any security implications of the proposal. Refer to COMDTINST M5530.1 (series) Physical Security Program Manual, COMDTINST M5510.23 (series) Classified Information Management Program Manual, COMDTINST M5510.24 (series) Operations Security Program Manual, and COMDTINST M5510.12 (Series) Military Personnel Security Program Manual.
20. Intangibles Benefit Analysis. Describe the benefits which are not able to be quantified such as cost savings, and so on. If at all possible, quantify this information into the Life Cycle Cost Analysis to allow better cost comparisons.
21. Conclusion. Discuss resource changes, benefits and expected impacts and provide a summary of alternatives.

**TABLE D-6 PLANNING PROPOSAL
ALTERNATIVE SUMMARY
PROPOSAL TITLE - ALTERNATIVE TITLE - ALTERNATIVE NO.**

DESCRIPTION OF ALTERNATIVES: Indicate the alternative number at the heading for the table. Alternative "1" should always be the status quo. Alternative "2" should be the preferred alternative, alternative "3" the next, and so on. To achieve affordable practical solutions, most complete alternatives should consider the full scope of requirements that will make the alternative workable. Operational needs and supporting requirements in terms of personnel, AC&I funding, etc., must be considered in developing alternatives.

Table D-6: Planning Proposal Alternate Summary

NET RESOURCE CHANGES REQUIRED (000's) (All estimates given in FY-Dollars) Show estimate in requested budget year, fill in year	FIRST YEAR COSTS	ANNUAL COSTS	OTHER MID LIFE DISCOUNTED COSTS	COST		
AC&I						
CGES	Taken From Economic Analysis					
OE (Less Personnel)						
PERSONNEL NUMBER FOR: Show # (OFF+WO+ENL+CIV) of personnel Show the costs of personnel here						
NET TOTAL DISCOUNTED LIFE CYCLE COST (Total of above - less any terminal value)						

Benefits Expected. The benefits of each alternative must be related to criteria and program comments and quantified whenever possible.

Impact on Coast Guard People. Summarize the impacts on Coast Guard personnel, including workload, living conditions, working conditions, morale, personnel retention, etc.

Impact on Supporting Activities. Summarize the impacts on Coast Guard supporting activities including R&D, Training, engineering, supply, contracting, energy consumption, C4I, etc.

Reason this Alternative is not preferred. State concisely why this alternative is or is not as preferred as others under consideration. Where this is the preferred alternative so state and briefly explain why.

Assess the remaining alternatives.

22. Recommendation of Best or Preferred Alternative. The recommendation of the preferred alternative solution should normally be based on the results of the economic analysis that is conducted of all alternatives. Where a preferred solution other than the most economic solution is selected, its selection must be justified based on the intangible benefits associated with the alternative. If the approved alternative in the Planning Proposal involves the construction and/or renovation of a shore facility, a Project Proposal Report (PPR) is required to analyze engineering alternatives. The PPR must be based on the operational assumptions and premises approved in the Planning Proposal, and will define the entry document for budget preparation. Resource Proposals (RP) must be based on the approved PPR. Include in this assessment:
 - a. Criteria used for best alternative selection and ensure that economic analysis is a major consideration.
 - b. Actual analysis of alternatives.
 - c. Conclusion.
23. Resource Changes. Summarize what resources are needed for this alternative in terms of funding, personnel, equipment, facilities.
24. Benefits/Impacts Expected. Explain the benefits and impacts of selecting one alternative over another. Provide any special benefits not already documented.
25. Conduct Analysis. Compare the recommended solution with the original planning factors, mandatory compliance requirements and all other planning assumptions involved in the decision. Provide sufficient evidence of relevant complexity to demonstrate that the recommended solution has been integrated with the original planning factors, mandatory compliance requirements and all other planning assumptions involved in this decision.
26. Recommended Alternative. What are the positive and/or negative impacts of the recommended solution on existing and future conditions? Provide a sensitivity analysis, clearly indicate the comparative advantages and disadvantages of each alternative, discuss the impacts that each alternative will have and the existing conditions or situation and trends, and discuss the benefits of each alternative. Explain why one alternative is preferred over the others. What assumptions were used and what methodology or decision making analysis was employed? What criteria were used to compare the alternatives? Provide evidence that the planning

- factors and conditions in effect at the commencement of the planning effort and used throughout are still valid at the time of submission.
27. Execution Strategy. The execution phase reported here is to present a plan for implementing the solution. The plan will include necessary modifications to or development of standard operating procedures (SOP) and an action plan for putting the solution into operation.
 28. Strategy for Accomplishment. Develop a strategy which describes in detail specific and coordinated actions necessary to acquire the recommended operational or support resources being requested. The implementation plan should at a minimum include the following: a multi-fiscal year schedule of recommended actions prioritized in phases with an estimate of all resources necessary to accomplish the proposed implementation. For example, the resources might include cost estimates, personnel, telecommunications, land and facilities.
 29. Other Execution Information. Other project management tools should be developed to facilitate project activities and include:
 - a. Timeline.
 - b. A List of Responsible Parties and Responsibilities Assigned.
 - c. Required Resources.
 - d. Other Coordinated Steps, such as OFCO, RP, PPR, MAR, and Other execution details.
- E. References. A list of references and bibliography of sources should be provided.
- F. Appendices. A list of appendices should be provided when necessary and might include a list of tables, a list of drawings, a list of figures, and a list of photographs.