U.S. Coast Guard

Policy and Planning

Establishing Intent & Translating to Action

Publication 5-0

U.S. Coast Guard
2100 Second Street SW
Washington, DC 20593

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PUBLICATION 5-0

Subj: U.S. COAST GUARD POLICY AND PLANNING MANUAL: *ESTABLISHING INTENT & TRANSLATING TO ACTION*

Since September 2001, our Service has undergone a monumental change and we have adjusted our organizational structure to be as responsive as possible to all hazards and threats. But the strength of our responsiveness does not relieve us of our duty to use our resources wisely, or to prepare for the challenges we will face in the future. To best prepare for the future, it is essential our planning efforts to lead our budget efforts in order to acquire the necessary capabilities to address future mission requirements.

It is because of those requirements that Publication 5-0, U.S. Coast Guard Policy and Planning Manual: *Establishing Intent & Translating to Action* was written. This manual will be an essential tool for the men and women serving in the U.S. Coast Guard, who are diligently striving to continue its history as an organization of excellence.

The subtitle "Establishing Intent & Translating to Action" embodies a basic premise of my tenure – Senior Leadership must clearly set and communicate the Vision. This must be done in an understandable and consistent manner across the entire organization so that all subordinate levels can sustain complementary and integrated activities to achieve organizational goals.

Coast Guard planning encompasses the full spectrum of Coast Guard operational and support activities from the strategic, operational, and tactical perspectives. This doctrinal publication codifies the best practices and establishes consistent guidance to our organization regarding policy development and planning. Consistent planning promotes coherent communications for effective mission execution encompassing both operations and support activities. Effective planning doctrine formally integrates the essential planning activities of the entire Coast Guard, including initial planning, review, and refinement of plans and policy. Planning and policy development support the continuous improvement of the organization.

The Coast Guard must maintain its unique position of performing our missions while standing alongside our partners in support of their missions. Our planning doctrine will guide those planning activities unique to the Coast Guard. It does not replace or duplicate Joint and other Agency planning guidance.

Successful mission execution, including effective leadership and stewardship, always starts with a good plan. I ask that you study this publication and embrace a consistent approach to planning so that we may better serve as stewards of both our Nation's trust and treasure.

Semper Paratus!

Thad W. Allen Admiral, U.S. Coast Guard

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FOREWORD

"Plans are nothing; planning is everything."

—Dwight D. Eisenhower

Publication 5-0 is supported by a series of supporting processes.

This publication is the keystone doctrine of the Coast Guard Policy and Planning series. It provides fundamental principles and doctrine that guide the Coast Guard in the development of policy and planning activities across the full range of Coast Guard operations and support activities. Publication 5-0 provides the overarching construct and context for policy and planning and is supported by other doctrinal publications that cover specifics for strategic, campaign, mission support, operational, contingency, logistical, and readiness planning. The intent of these documents is to assist staff officers in identifying the essential processes to properly scope and develop effective policy and planning processes and products.

Policy and planning is the process that guides employment and support of Coast Guard resources within the context of national objectives and priorities.

Effective policy and planning processes promote coherent communications for effective mission execution of both operations and support activities.

Planning harmonizes the overarching organizational objectives of the "3 R's":

- **Risk Mitigation** – Performing the essential activities to reduce the probability of an incident occurring that has detrimental impact to the public.

- **Readiness** – Ensuring forces are capable of performing operations in response to national objectives and priorities.

- **Return on Investment (ROI)** – Ensuring operational outcomes (risk mitigation) are balanced with force requirements (readiness) within constraints of available resources.

Policy and planning ensures that internal activities align with and support external partners.

Coast Guard policy and planning processes promote coherent internal communications for effective mission execution encompassing both operations and support activities. These processes augment and are compatible with Joint Doctrine for Joint Operations, and National Incident Management System (NIMS) and Incident Command Systems (ICS) processes for interagency incident response. Joint and interagency doctrine is not reiterated in Publication 5-0 and its supporting processes. Rather, joint and interagency doctrine is referenced as appropriate. It is not necessary to reiterate compatible joint or external planning and doctrine. External planning doctrine and guidance has been vetted and is sufficient for these circumstances.

Policy and planning processes are continuous across the full range of Coast Guard operations and support.

Coast Guard policy development and planning is performed at every command level and at any point before, during, or after operations and support activities. Each level needs to understand the vital role they play in the overall policy and planning process described in this publication.

Leaders will ensure their policy and planning processes are aligned with the guidance provided within this publication and will share this publication with all supporting offices/commands within their area of responsibility. The guidance provided within this publication applies to all Coast Guard offices and will assist them in establishing and communicating appropriate goals and assessing progress toward achieving those goals. Communications among all aspects of the organization will be improved through consistent and aligned planning and assessment processes. Critical capabilities and resources will be applied in a focused manner for identifying requirements and establishing priorities. Essential disciplines for documenting and sharing lessons learned in planning cycles will contribute to the knowledge and maturity of the organization. Robust planning and policy processes lay a solid foundation for superior mission performance.

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EXECUTIVE SUMMARY

Publication 5-0 is the keystone policy and planning doctrine for the Coast Guard and is intended to be the guidebook for Coast Guard personnel who conduct planning at the strategic, operational, and tactical organizational levels. It provides fundamental planning principles and doctrine that guide the Coast Guard in the planning of activities across the full range of Coast Guard operation and support missions. Planning harmonizes the overarching organizational objectives of the "3 R's":

- **Risk Mitigation** – Performing the essential activities to reduce the probability of an incident occurring that has detrimental impact on the public.

- **Readiness** – Ensuring forces are capable of performing operations in response to national objectives and priorities.

- **Return on Investment (ROI)** – Ensuring operational outcomes (risk mitigation) are balanced with force requirements (readiness) within constraints of available resources.

Purpose   Publication 5-0 is an essential component to implementing the Enterprise Leadership Architecture (ELA) in accordance with the Coast Guard's Strategic Blueprint. As a bridge between developing and communicating longer term intent and balancing the allocation of available resources, Publication 5-0 provides a structure for communicating the intent and expected organizational performance levels. The process of establishing policy and developing plans is designed to:

- Facilitate growth in a large organization such as the Coast Guard.

- Capture, retain, and communicate corporate knowledge.

- Inform budget development and decision processes, and support the implementation of sound and consistent budgeting and expenditure practices.

- Ensure the Coast Guard maintains a strong response capability and a high state of readiness to meet its multi-mission requirements.

- Establish effective performance monitoring practices, and clearly identify areas to apply long-term improvements.

- Keep the Coast Guard oriented on future objectives despite the problems and requirements of the present situation.

Policy is restrictive or prescriptive direction issued by an accountable person in authority to accomplish a planned outcome within a specific time frame.

Planning is a systematic process that facilitates decision-making by compelling decision makers to consider alternatives, examine their assumptions, develop a common understanding of the existing situation, and determine an appropriate course of action.

Plans are the results of the planning process.

Doctrine is fundamental principles and officially sanctioned beliefs guiding the Coast Guard in support of national objectives. Doctrine is authoritative but not directive, requires judgment in application, and provides decision makers and personnel a standard frame of reference.

Policy and planning fully supports the decision-making process by facilitating the development and evaluation of potential courses of action. Stronger relationships, increased communications, and transparency of information are invaluable by-products of the policy and planning process and help to improve mission success (effectiveness) and reduce mission costs (efficiency). Plans and doctrine communicate the necessary guidance resulting from policy and planning.

Planning Cycles Have Varying Update Intervals and Outlook Periods

There are multiple overarching cycles or sequences of planning processes that produce plans and lead to the formulation of policy. Each of these cycles informs other planning processes and has varying update intervals and applicable time frames or outlooks. These cycles are integrated, pursued simultaneously, and share planning products. Examples of these cycles include:

- **Strategic Planning (5–25 year outlook)** – This is the Coast Guard's formal, multiyear strategic planning cycle, carried out approximately every four years. It involves establishing mission priorities and performance targets and communicating strategic direction to stimulate other planning cycles. Each Commandant's tenure begins this process with a reassessment of the strategic context of the Coast Guard, an evaluation of new strategic priorities, a synthesis of previous strategic initiatives with the new priorities, and early implementation initiatives. Updated Commandant's Strategic Intent and the Coast Guard Strategy inform updates to strategic, campaign, and logistics plans.

- **Strategic Budget Formulation (1–15 year outlook)** – Resources and timelines necessary to achieve strategic objectives drive the development of an integrated strategic investment plan forecasting resource requirements well beyond the currently submitted five-year Future Year Homeland Security Program (FYHSP). By forecasting resource requirements well into the future, strategic plans are used to shape the development of the FYHSP.

  Budget formulation and negotiations occur on an annual basis and encompass the review and update of the FYHSP) out to seven years from the current year. Operational and support plans are updated based on anticipated resources. Budget execution updates performance targets within the identified priorities.

- **Mission Execution Planning (1–3 year outlook)** – Mission execution planning encompasses both execution of the mission and the necessary support and readiness to perform the mission. Mission execution

planning is driven by approved resource allocation and apportionment and involves adapting operational and support planning based on the resource projections and updated Strategic Guidance and Performance Assessment reports. Operational and Support Performance Assessments evaluate the achievement of performance targets and provide feedback to directly influence policy and standing plans.

Planning Addresses Organizational Seams

In every organization, broad elements tasked with specific responsibilities impact the ability of the others to complete their functional assignments. These organizational "seams" require effective *informal* communication through planning to ensure the essential alignment of objectives and goals is acknowledged and understood. Planning products address these informal communication seams, and formalizes the communication among the various functions of the organization:

- **Return on Investment,** ensuring operational outcomes (risk mitigation) are balanced with support requirements (readiness) within constraints of available resources.

- **Policy/Mission Execution,** identifying the necessary policies and plans to ensure effective mission operations and execution.

- **Policy/Mission Support,** identifying the necessary policies and plans to ensure effective mission support.

- **Intent/Action,** translating the strategic intent of the organization into actionable plans.

- **Mission Execution/Readiness,** highlighting the necessary readiness capability in order to effectively perform the mission.

- **Readiness/Mission Support,** stipulating the required readiness capability delivery necessary to meet mission requirements.

The Coast Guard Uses a Planning and Decision-Making Framework to Achieve Its Goals

Decisions, policy, and planning take place within different levels of the Coast Guard organization and follow a logical cycle. Assessment & Learning constantly interacts with the cycle to identify areas for strategic, operational, and tactical improvement through sound knowledge management and analysis. An understanding of this framework leads to planning activities and assumptions applicable to all levels of the organization:

- *Assessment and learning* enables establishment of clear goals, communication of intent, and informed execution of plans to achieve performance goals. The embedded process of Assessment & Learning is not sequential to the management steps Direction, Execution, Adaptation; it is central to and supportive of them. Assessment & Learning is composed of three elements common to the Baldrige criteria and the Commandant's Performance Excellence Criteria: Measurement,

Analysis, and Knowledge Management.

- *Direction* in the form of specific guidance and requirements is provided from a higher authority to lower authorities through policy and planning documents.

- *Execution* involves implementing the plan in accordance with the Direction provided.

- *Adaptation* requires assessing and analyzing performance against targets and reviewing direction to determine effectiveness and progress toward meeting the stated intent.

A Policy and Planning Architecture Ensures the Systematic Translation of Intent to Action

The Planning Architecture is a collection of related planning products to make Coast Guard decision-making and reporting more systematic, transparent, and results-focused across every level of the organization. Proper alignment and cooperation between operations (risk management) and support (readiness) improves mission performance and realization of organizational strategic intent. The enduring collection of planning products used in the Coast Guard comprises the following:

- **Strategic and Budgetary Planning** processes take as input external strategies, requirements, mandates, and budget forecasts. The processes to develop strategic and budgetary policy and plans are designed to maximize return on investment while balancing risk with readiness within resource constraints. Strategic and budgetary policy and plans provide sufficient guidance, direction, priorities, and performance targets to the operational and support planning processes.

- **Operational and Contingency Planning** processes reflect the operational intent communicated through Campaign Plans, Operational Policy, and Operational Doctrine. Operational and contingency planning products minimize and mitigate risk to the public. Operational plans must clearly communicate the capability necessary to achieve operational and contingency objectives. Readiness and logistics plans strive to deliver and sustain the capability necessary for operations. Operational and contingency plans inform readiness and logistics plans on necessary capability and are informed by the projected capability outlined in readiness and logistics plans. Synchronized communications between operational and readiness planning is essential to harmonize operational/ contingency priorities and requirements to available capability.

- **Readiness and Logistics Planning** processes translate the long-term strategies within logistic plans, support policy, and support doctrine intent into actionable plans within the short-term planning horizons with an objective to maximize and sustain readiness. Readiness is a measure of how well requirements are being satisfied with delivered capability. The processes to develop readiness and logistics planning products are closely related to the development of the operational and contingency

planning products. Capability needs to be sustained to meet identified operational requirements. Performance Assessment of Support activities is conducted to determine not only if readiness is being sustained but also how well or efficiently capabilities are being provided.

Supporting
Planning
Processes

Publication 5-0 supporting processes are contained in a series of supporting publications and provide a guide for the development of products across the entire planning framework. Each supporting process articulates the purpose, intent, and value added for each type of planning:

- Strategy Development (Supporting Process Publication 5-1)

- Mission Analysis and Performance Assessment (Supporting Process Publication 5-2)

- Strategic and Campaign Planning (Supporting Process Publication 5-3)

- Planning Guidance (Supporting Process Publication 5-4)

- Contingency and Readiness Planning (Supporting Process Publication 5-5)

- U.S. Coast Guard Policy and Planning Lexicon (Supporting Process Publication 5-6)

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CHAPTER ONE: INTRODUCTION

"Planning is bringing the future into the present so that you can do something about it now."

— Alan Lakein

Background

The Government Performance Results Act of 1993 (GPRA) holds all government agencies accountable for performance measured against outcome goals, not just activity. As required by GPRA, the Coast Guard must link public costs it incurs for operating expenses and capital assets to the successful achievement of identified performance targets when developing its business plans.

The Coast Guard Strategic Blueprint

The Coast Guard Strategic Blueprint describes the "current state" efforts to operate, allocate, and account for resources. It describes and identifies steps to implement the Enterprise Leadership Architecture (ELA), including the alignment and integration of the Unified Performance Logic Model (UPLM) and the Mission-Program Performance Model, with several decision-support systems.

The Coast Guard Enterprise Leadership Architecture (ELA)

The Coast Guard Enterprise Leadership Architecture (ELA) was introduced to address the GPRA performance management requirements. The ELA contains integrated systems and methodologies that are designed to make Coast Guard decision-making more systematic, transparent, and goal-focused. By analyzing the difference between current and required Authorities, Capabilities, Competencies, and Partnerships (ACCP), developing intent, and then budgeting/investing to achieve that intent, the Coast Guard intends to drive results-oriented performance. The ELA is aligned with Department of Homeland Security (DHS) budget and planning initiatives and the President's Management Agenda and is further supported by Office of Management and Budget (OMB) initiatives. An overview of the Enterprise Leadership Architecture is provided in Appendix C.

Scope and Purpose of Publication 5-0

Publication 5-0 is an essential component to implementing the ELA in accordance with the Coast Guard's Strategic Blueprint. As a bridge between developing and communicating longer-term intent and balancing the allocation of available resources, Publication 5-0 provides a structure for communicating intent and expected organizational performance levels.

Publication 5-0 Is the Keystone Policy and

Publication 5-0 is intended to be the guidebook for Coast Guard personnel who conduct planning at the strategic, operational, and tactical organizational levels. Everyone involved in the planning process – from the

Planning   Commandant who develops the strategic intent to the sailors on the deck
Document   plates who execute the plans – needs to understand the vital role they play
in the planning process defined in this publication. Publication 5-0
identifies the relationships necessary to develop and communicate strategic
intent, translate that intent into actionable plans, identify and plan resources
to realize those plans, provide direction for mission execution, and assess
performance to inform updates to plans.

A series of publications (Publication 5-1 through 5-6) provide additional
detail regarding specific types of plans and planning processes. These
supporting processes are described in Chapter 5.

Importance of   A *policy* is a prescriptive plan of action to guide decisions and achieve
Policy and   desired outcomes. Clear responsibilities and authorities are delineated
Planning   within the policy to achieve the outcomes. Coast Guard policies are
typically promulgated as Commandant Instructions that reflect decisions
and overarching guidance by senior management. Some policies may
include direction to implement a plan. There are three circumstances in
which a policy is needed:

1.   To articulate high-level direction and guidance for a subject matter
area. Policies motivated by this circumstance establish broad goals,
roles, responsibilities, authority, and scope (applicability).

2.   To implement or further clarify laws or regulations applicable to
Coast Guard personnel, commands, or activities. Policies motivated
by this circumstance establish a Coast Guard-internal requirement
conveying or amplifying the guidance from higher authority.

3.   To establish the existence of a lawful general order. Policies
motivated by this circumstance establish a clear, legal mandate that
personnel must comply with or face punitive action.

Planning provides the common, logical framework for senior management
and planning staffs to provide Assessment and Direction, oversee
Execution, and implement Adaptation. This cyclical planning process is the
means by which Coast Guard leadership coordinates activities to develop
policy and plans that are designed to achieve unity of effort toward
achieving organizational goals.

Planning at the strategic, operational, and tactical levels is the key to
implementing policy and coordinating efforts that ensure successful mission
execution and mission support. The process of establishing policy and
developing plans is designed to:

- Facilitate growth and improvement in a large organization, at all
organizational levels.

- Capture, retain, and communicate corporate knowledge.

- Inform budget development and decision processes, and support the implementation of sound and consistent budgeting and expenditure practices.

- Ensure the Coast Guard maintains a strong response capability and a high state of readiness to meet its multi-mission requirements.

- Establish effective performance monitoring practices, and clearly identify areas to apply long-term improvements.

- Keep the Coast Guard oriented on future objectives despite the problems and requirements of the present situation.

Planning is critical when situations reach a certain level of complexity. Simple problems can be remedied by creating spot solutions. Situations that are more complex require more interrelated activities and decisions. As the complexity of the situation grows, so does the number of individuals or offices involved in identifying the most effective solution, creating an increased complexity of informal communications as the number of participants increases. Planning provides the necessary framework to identify these essential informal communications and an alignment structure to facilitate those communications. Planning identifies:

- What needs to be done based on the identified target level of performance, threats, and readiness levels.

- The resources needed to achieve the desired level of performance.

- The necessary participants, partners, and stakeholders.

- The acceptable level of risk given the severity of the threat and consequences of the event.

Policy, planning, and plans are critical to the success of the Coast Guard as an organization because they reflect the establishment and articulation of intent by senior Coast Guard leadership and the subsequent planning process to translate this intent into action by the various organizational elements. All are critical to successfully achieving national, departmental, and Coast Guard strategic goals and objectives.

Policy and Planning Guiding Principles

Policies articulate and promulgate sound business decisions. Planning facilitates decision-making that enables successful mission execution. This success is aided by the effective application of the following fundamental guiding principles of policy and planning:

- **Relevance** – Policy and planned activities across the Coast Guard organizational levels must directly support objectives of higher authority and must be achievable using available resources. If a critical objective cannot be achieved, higher authority must either modify the objective or allocate additional resources.

- **Clarity** – Policy and plans should be clear and concise and written as simply as possible. Clear and concise plans are more easily understood and more likely to be successfully executed than complex plans. Common terminology is critical and must be understood at all levels.

- **Timeliness** – Policy and plans should be completed and distributed in an expeditious manner to permit subordinate commanders adequate time for their responsibilities. A good plan submitted early is better than a perfect plan submitted late.

- **Flexibility** – A good plan states all objectives and limitations and avoids unnecessarily detailed direction. This flexibility supports the philosophy adopted by the naval services of centralized planning and decentralized execution.

- **Participation** – Wide distribution and involvement in policy and planning development as early as possible facilitates planning efforts by subordinate commands. In addition, early awareness of responsibilities allows integration and coordination of participants and ensures supporting plans are complementary and relevant.

- **Economy of Resources** – Plans must provide for maximum economy in the utilization of resources. Control of scarce resources must be centralized at the lowest level at which their capabilities can be effectively directed.

- **Security** – Adequate security may be achieved through limiting distribution and practicing communications security. This principle must be balanced with the requirements for timeliness and wide distribution.

- **Coordination** – Planning must provide sufficient coordinating instructions to synchronize both simultaneous and consecutive action, ensure there is no interference with other operations, and provide support where and when needed.

Planning Intent: Risk Mitigation, Readiness, and Return on Investment

A fundamental intent of the organization is to mitigate risk as well as maximize readiness. An effective balance between risk mitigation and readiness maximizes the limited resources available for both short-term performance and long-term mission execution. Policy makers and planners must ensure capability consumed in short term operations is planned to be sustained over the longer planning horizons.

Risk Mitigation

Risk mitigation involves performing the necessary activities to reduce the probability of an incident occurring that has detrimental impact on the public. Aspects of risk mitigation that are part of any planning process include:

- **Risk Assessment(s)** – Identifying and evaluating the components of

risk (threat, vulnerability, and consequence) provides insights and guidance on establishing priorities among the activities of awareness, prevention, and protection.

- **Determining Acceptable Risk** – The results of a risk assessment provide sufficient information to planners and leaders to determine an acceptable level of risk within a resource-constrained environment.

- **Risk Informs Resource Levels** – An effective risk management plan identifies the necessary level of effort and resources to mitigate a risk by reducing the threat, vulnerability, or consequence to an acceptable level.

Readiness

Plans present the road map for mission execution and provide a systematic way to identify the requirements to meet the mission goals. Readiness is the ability for forces or assets to support identified requirements and have the capability to perform the mission.

Readiness priorities are identified within plans along with alternatives to address gaps. Complete plans provide readiness performance measures so that readiness gaps that impact the ability to execute the mission can be identified in a timely manner.

Return on Investment

Limited resources can be allocated to activities to prevent an incident from occurring at the cost of not being able to respond and minimize the impact should it occur. Plans provide leadership the necessary guidance to analyze and balance the allocation of limited resources among efforts to mitigate risk or ensure the readiness of forces to respond to an incident. This analysis is structured in terms of "return on investment" to provide a consistent comparison between the impacts of the two competing efforts.

Essential Elements of Policy and Planning

Coast Guard operations are conducted across a large area, for a wide array of military, regulatory, humanitarian, environmental, and law enforcement missions. Success of these diverse operations depends heavily on the ability to coordinate and unify multiple Coast Guard forces toward achieving specific regional and national objectives.

To successfully translate intent to action, guidance must be communicated throughout the entire chain of command. The following essential elements articulate the organization's intent, and must be universally understood. It should be noted that these elements interact dynamically. Adjustments with one element will cause the review and possible update of another.

Elements of Policy:

- Policy is restrictive or prescriptive direction issued by an accountable person in authority to accomplish a planned outcome within a specific time frame.

- Policy influences doctrine by establishing requirements that must be

retained and doctrine must not conflict with.

- Policy is based on doctrine and is established by the Commandant or another authority at any organizational level that has jurisdiction over Coast Guard activities.

- Policy comes in two types – that which can be waived by higher authority (internal Coast Guard-generated policy) and that which cannot (established by law, treaty, or Executive Order).

- Policy includes high-level descriptions of roles, responsibilities, and authorities across the enterprise focused primarily at executive leadership / program management.

- Policy that endures for an extended period of time can become doctrine.

Elements of Planning:

- Planning is a systematic process that facilitates decision-making by compelling decision makers to consider alternatives, examine their assumptions, develop a common understanding of the existing situation, and determine an appropriate course of action.

- An assessment is an important aspect of the planning process ("Plan," "Do," "Assess"). An assessment of the previously developed or executed plan serves as an input when updating or constructing new plans.

- Effective planning communicates the desired outcome so that the decisions made support the achievement of goals.

- Planning includes the fundamental elements required to successfully translate strategic goals (intent – at any level of the organization) into activities (action) and outcomes (accomplishments), including a stated level of performance.

Elements of Plans:

- Plans are the results of the planning process.

- They establish a road map to the future, with the destination, desired path, and constraints clearly identified to achieve a specific set of goals and objectives.

- Plans are a means of communicating between organizational entities or individuals who compose plans and those who implement them.

- Plans still require the need to exercise judgment and make decisions at appropriate times based on existing circumstances.

Elements of Doctrine:

- Doctrine is fundamental principles and officially sanctioned beliefs guiding the Coast Guard in support of national objectives.

- Doctrine is authoritative but not directive, requires judgment in application, and provides decision makers and personnel a standard frame of reference.

- When doctrine is updated and additional best practices incorporated, it may be necessary to revisit the policy on the topic to determine if the policy needs to be changed as well.

- Doctrine represents the fundamental and enduring principles guiding the activities of Coast Guard organizational elements and forces.

- Coast Guard Doctrine is authoritative; it shall be followed except when, in the judgment of operational commanders, exceptional circumstances dictate otherwise.

- Coast Guard Doctrine will be developed and presented in a series of capstone and keystone publications as represented in **Figure 1: Coast Guard Doctrine Pyramid.**
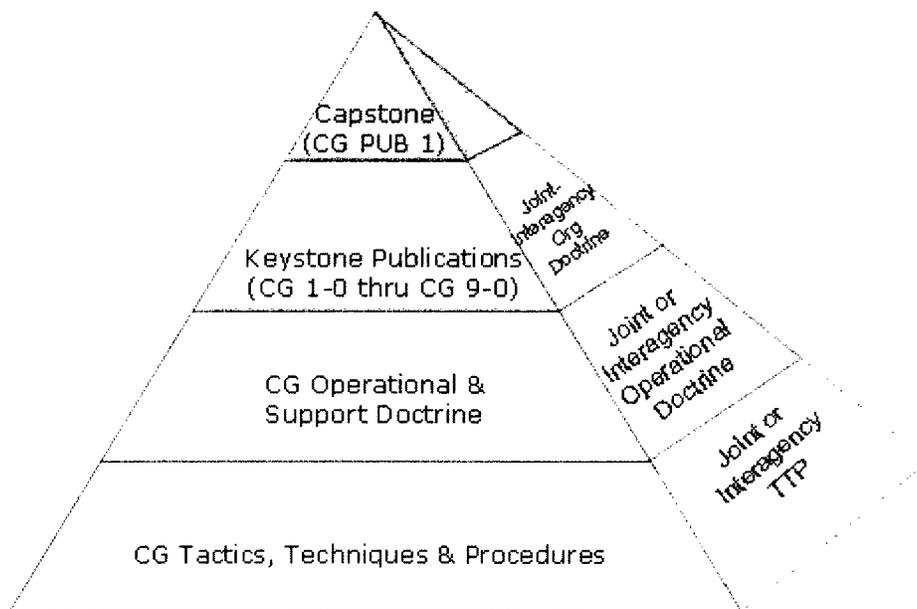
Figure 1: Coast Guard Doctrine Pyramid

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CHAPTER TWO: PURPOSE AND HORIZONS

"It is far better to foresee even without certainty than not to foresee at all."

— Henri Poincare

Policy and planning processes encourage greater participation across the organization and facilitate stronger internal and external relationships in multi-agency environments, while identifying and sustaining essential informal communications. Through more effective communications, transparency of information enhances the sharing of knowledge and fosters organizational improvement. Stronger relationships, increased communications, and transparency of information are invaluable by-products of the policy and planning process and help to improve mission success (effectiveness) and reduce mission costs (efficiency).

Policy, Planning, and Leadership

Policy and planning fully supports the decision-making process by facilitating the development and evaluation of potential courses of action. Policy making and planning are fundamental to leadership.

Successful leaders:

- Provide direction by establishing intent and articulating courses of action.

- Delineate roles, responsibilities, and traceability of authorities for achieving intent.

- Apply planning and lessons learned to solve problems.

- Use plans to ascertain their unit's situation, clearly state their intention, and anticipate the actions that will be required to achieve the desired objectives.

- Use planning to increase the scope of command and control. It can be argued that planning constitutes half of command and control, which includes influencing the conduct of current evolutions and planning future evolutions.

Policy and Planning Relationships

Coast Guard missions require working with a broad spectrum of internal entities, as well as domestic and international partners. Policy and planning helps the Service adapt in these various relationships:

Internal – The Coast Guard conducts planning to achieve its enduring roles of Maritime Safety, Security, and Stewardship. Internal planning is used when only Coast Guard resources (cutters, boats, fixed- and rotary-wing aircraft, shore facilities, and C4ISR capabilities) are used to conduct the mission.

Interagency – The Coast Guard integrates its deployable forces with other DHS resources such as Customs and Border Protection (CBP), Immigration and Customs Enforcement (ICE), and the Federal Emergency Management Agency (FEMA) in order to respond to civil disasters and other national

threats. Interagency planning takes into account the requirements and actions of these other federal, state, local, and tribal organizations.

Joint – As a military service, the Coast Guard is frequently called upon to support combatant commanders and conduct nation building as well as leveraging additional interagency resources to conduct its counter drug mission. Typically, the Coast Guard uses the Joint Operation Planning and Execution System (JOPES) to develop its Operation Plans (OPLANs) and Operations Orders (OPORDs) to effectively work with the Department of Defense (DoD) in conducting joint exercises and operations.

International – The Coast Guard serves as the nation's representative on several international committees, as well as establishing international and national standards. Policies established by the Coast Guard have global impact.

Purpose of Policy, Planning and Plans

There are six (6) major purposes associated with the development and promulgation of policy and plans:

1. **Provide for orderly and coordinated actions.** Policy and plans are specific instructions that provide direction regarding how individuals should cooperate and provide support to achieve organizational objectives.

2. **Generate and articulate expectations.** Planning helps to establish goals and identifies potential problem areas. It assists in evaluating courses of action and developing responses to contingencies that can be reasonably foreseen.

3. **Develop and share situational awareness.** The policy and plans process helps leadership formulate their intent, who then convey it to subordinates who help identify opportunities and threats in advance.

4. **Support and channel the exercise of initiative.** Planning, and the assessment included within plans, helps us recognize when expectations are not being met. It also helps us to identify the need to depart from a course of action and develop a new approach.

5. **Shape the thinking of planners and helps provide for a higher level of participation.** Planning provides a systematic and rigorous approach to solve problems. The fact-finding, networking, and resource identification/allocation functions conducted by planners promote participation throughout the command.

6. **Promote successfully training, sustaining, prevention and response.** Planning helps the Coast Guard prepare for and respond as a cohesive response organization.

Following the Coast Guard philosophy of centralized planning and decentralized mission execution, senior leadership states the mission, or the "*what,*" at the strategic and policy level, while delegating the authority to

determine the "*how*" within plans.

The basic elements of an OPLAN and OPORD (*situation, mission, execution, admin and logistics,* and *command and control*) provide the necessary guidance to achieve the proper balance between coordinating the action and allowing subordinate commanders to exercise command authority, tactical freedom, and initiative to successfully complete the assigned mission.

The function of planning was never more visible than during the mass rescue operations following Hurricane Katrina, where operational forces were essentially isolated from higher command echelons, yet the planning for the mass rescue resulted in a well-executed mission by operational forces at the tactical level.

Planning Horizons/Cycles
Coast Guard plans that achieve the proper state of readiness while mitigating risk and ensuring a return on investments in the near term are constrained by relatively narrow and known constraints.

However, identifying and achieving a particular state of necessary readiness in the longer term is open to much broader and less certain constraints and environments. Consistent and systematic planning processes provide stable guidance into the longer term and contain specific assessment activities to adjust those plans as certainty increases and activities become immediate.

Planning and Performance Context
There are multiple cycles or sequences of planning processes that produce plans and identify areas for policy development, as shown in **Figure 2: Planning and Performance Context.** Each of these informs other planning processes and has varying update cycles and perspectives (applicable time frames or outlook).

These cycles are integrated, pursued simultaneously, and include planning products with different refresh cycles and different planning horizons. The inter-relationships between planning processes and products among the different cycles are complex.

The following sections provide additional detail for key cycles that are exercised and updated on a regular basis.
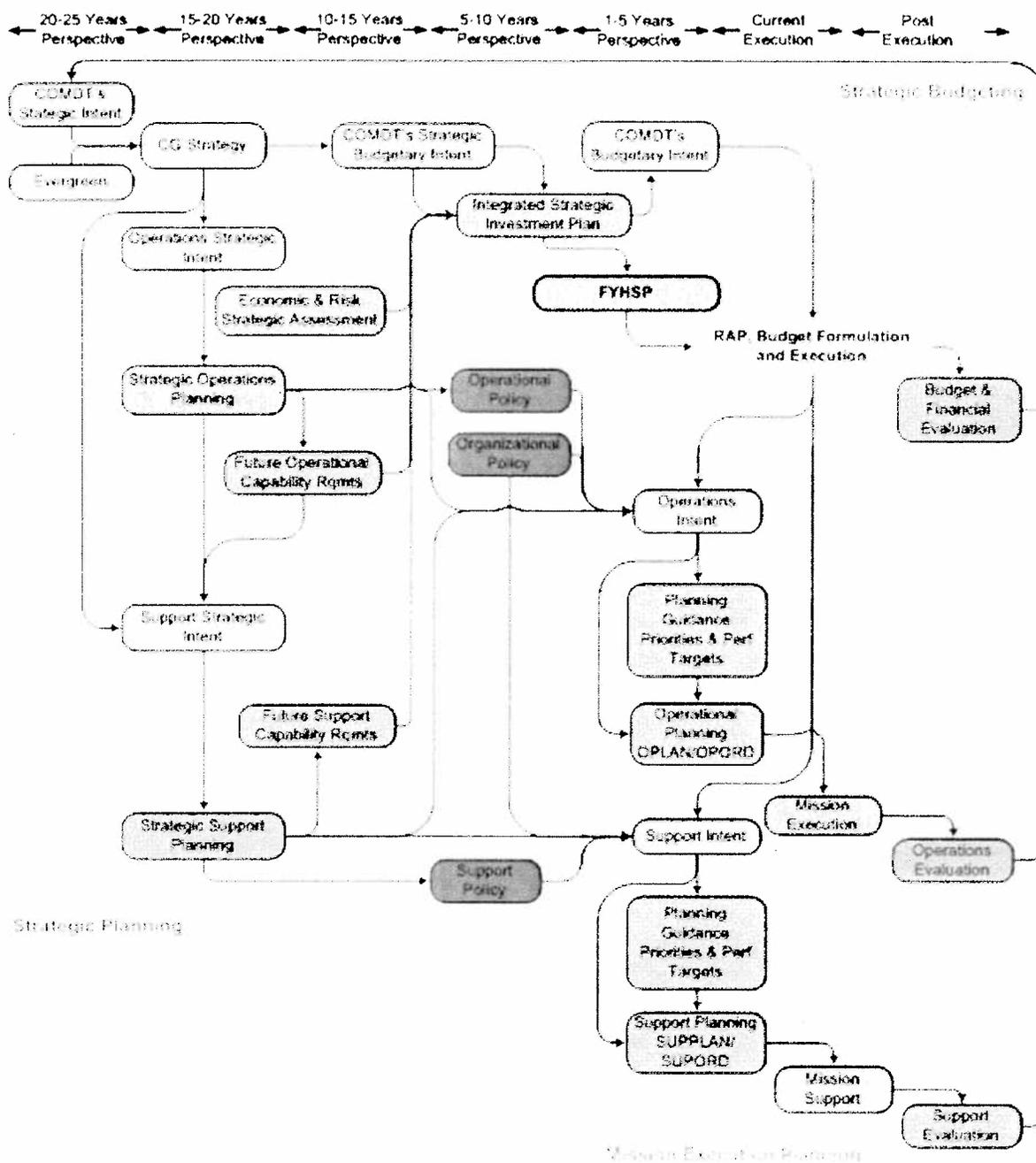
Figure 2: Planning and Performance Context

Strategic Planning (5–25 year outlook)   This is the Coast Guard's formal, multiyear strategic planning cycle, carried out approximately every four years. It involves establishing mission priorities and performance targets and communicating strategic direction to stimulate other planning cycles.

Each Commandant's tenure begins this process with a reassessment of the

strategic context of the Coast Guard, an evaluation of new strategic priorities, a synthesis of previous strategic initiatives with the new priorities, and early implementation initiatives. This process assumes few changes in strategic priorities passing from one Commandant to another. As a means to manage risk, strategic assumptions and planning factors are revisited and validated in the process of establishing new strategic priorities.

Commandant's Strategic Intent

The Coast Guard strategic cycle begins with the development of the Commandant's Strategic Intent. The Commandant's Strategic Intent is the personal statement of critical priorities and agenda items that the Commandant intends to pursue during their tenure. It is not usually intended to be a list of strategies, although its priorities certainly have strategic impact. The Commandant's Strategic Intent forms the core of the Commandant's management agenda. The sources of the Commandant's Strategic Intent include personal experiences, priorities, goals, and interests; the strategic and operational context of the Coast Guard; and broader Department of Homeland Security strategy. [1]

Updating Coast Guard Strategy

After setting the Strategic Intent, the Commandant promulgates an update to the Coast Guard Strategy through an in-depth reassessment of the strategic context of the Coast Guard, an evaluation of new strategic priorities, a synthesis of previous strategic initiatives with the new priorities, and early implementation initiatives.[1] This update incorporates an analysis of the broader strategic context. The Coast Guard Strategy communicates the guiding principles, mission priorities, service to the public, and capability development efforts for the organization from the perspective of the Commandant's vision for the organization. The Coast Guard Strategy will be used to shape long-term strategic planning efforts which, in turn, inform budgeting, management practices and policy, and serves as guidance for strategic planning efforts.

The first year of a Commandant's tenure (June to June) begins with an in-depth reassessment of the strategic context of the Coast Guard, an evaluation of new strategic priorities, a synthesis of previous strategic initiatives with the new priorities, and early implementation initiatives.

Evergreen Cycle

The Evergreen cycle of strategic renewal is a formal part of the Commandant's command cycle. Evergreen institutes a continuous process of strategic planning and strategic renewal, revisited within each Commandant's tenure. This allows the Coast Guard to maintain strategic continuity as it prepares for large changes in its operating environment. It addresses not only the crises of the moment but also the less urgent, but

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[1] Creating and Sustaining Strategic Intent in the Coast Guard – Evergreen, Version 1.0, May 2005.

potentially more important, issues over the horizon. Evergreen was meant not only to develop long-range plans or strategies but also to instill strategic context. Strategic context is a shared organizational understanding of where the Service as a whole is going and why. Execution of the Evergreen process provides a legacy and establishes the strategic context for the next Commandant to use as guidance within their tenure. An emerging doctrine of Coast Guard strategic planning, based on Evergreen, will provide the foundation for a service that acts with Strategic Intent and is truly prepared for all eventualities.[2]

Strategic Plans   Strategic plans capture mission priorities and the capabilities necessary to meet anticipated future environments and mission needs identified within the Coast Guard Strategy. Detail of these plans may highlight specific mission priorities or development of capability within platforms that are dependent on identified strategic priorities and objectives.

Campaign &   An appropriate set of campaign plans and logistics plans are also updated
Logistics Plans   during the Commandant's tenure. These strategic plans provide a 15–20 year outlook of operations based on the updated Coast Guard Strategy. In addition to the Coast Guard Strategy, campaign and logistics plans take into consideration:

- Strategic context from the Evergreen process.

- Existing strategic plans (including expected budgets and Future Year Homeland Security Program (FYHSP) submissions).

- Mandates from the Department and Presidential directives.

- Performance assessments on mission execution and support (e.g., Program Assessment Rating Tool (PART)).

- Economic and Risk Strategic Assessment.

- Emerging national, regional, and international threats, opportunities, and trends.

A primary product or output of campaign planning is a set of operational requirements that specify the resources, capabilities, and assets needed to achieve the mission-program goals and objectives of the strategy. Identified operational requirements are an essential input to the development of logistics plans, which outline the development of necessary capabilities to meet the requirements identified within the campaign plan.

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[2] Creating and Sustaining Strategic Intent in the Coast Guard – Evergreen, Version 1.0, May 2005.

Strategic Budget Formulation (1–15 year outlook)

Stewardship is exercised in developing strategic plans to maximize return on investment and ensure a proper balance between risk mitigation and readiness. Resources and timelines necessary to achieve performance objectives drives the development of an integrated strategic investment plan that forecasts resource requirements well beyond the currently submitted five-year FYHSP. By forecasting resource requirements well into the future, strategic plans are used to shape the development of the FYHSP.

A 10–15 year outlook for identifying necessary resources to meet mission priorities and requirements allows the Coast Guard to develop the momentum to change the FYHSP. This outlook drives the development of the Integrated Strategic Investment Plan that captures the long-term resource requirements derived from requirements identified within strategic plans. The Integrated Strategic Investment Plan serves as guidance for continuing the anticipated FYHSP submissions for future Commandants.

Budget Formulation

Budget formulation is driven by the five-year sliding window of the FYHSP. Strategic plans supporting budget formulation need to occur well in advance of the FYHSP submission so that planning can drive the budget.

Budget Negotiations

Budget negotiations occur on an annual basis with three budgets simultaneously negotiated or executed. A budget forecast provided through the Resource Allocation Plan adjusts the budget submitted for two years beyond the current fiscal year (FY+2). The Commandant's Budgetary Intent is updated based on the developing budget picture. The addition of budget constraints at this point in the planning process forces a review and adjustment to identified performance targets within mission execution and mission support plans, but should not impact the mission priorities established within the Commandant's Strategic Intent or other long-term strategic plans. Performance targets for mission execution and mission support plans need to be updated on an annual basis based on anticipated budget.

Budget Execution

Performance targets for mission and support plans need to be updated on an annual basis based on the developing budget picture. Operational requirements may be adjusted, which will have an impact and cause reprioritization of support plans. Modifications to mission execution and support plans must be made with a clearer budget picture. Performance targets are then adjusted and executable plans updated to reflect anticipated resource constraints.

Upon final receipt of the budget, performance targets and executable plans are once again adjusted for final budgetary constraints. These adjustments are tied to the DHS/Coast Guard budgetary decisions, driven by performance targets, and compensate for the evolving risk environments to enable optimized mission execution.

Mission   Mission execution planning encompasses both execution of the mission and
Execution   the necessary support and readiness to perform the mission. Mission
Planning   execution and mission support plans are based on anticipated resources and
(1–3 year   operating environments. Decisions made by operational and support
outlook)   commanders are based on articulated plans and guidance contained within
long-term strategic plans. Mission execution and mission support plans
forecast operations and support into the future and coincide with budget
negotiations. As the budget negotiations proceed, mission execution and
mission support plans are adjusted based on anticipated resources.

In the current fiscal year, the approved budget is used to create the spend
plan. This plan provides the details of how the current-year approved
budget is to be appropriated and used. With a finalized budget, mission
execution and mission support plans are adjusted accordingly. Constant
communications between operational and support planning activities are
essential at this stage so that operational requirements can be communicated
to mission support planning efforts. Mission support planning efforts, in
turn, identify the capability that can be delivered within identified resource
constraints so that operational planning direction can account for available
capability. Performance targets for both operations and support must be
adjusted based allocated resources and available capability.

Mission   Mission execution planning activities are described and documented in the
Execution   Standard Operational Planning Process (SOPP). The SOPP is a
Planning   standardized, cyclical process whose desired goal is near-term mission
execution by translating Strategic Intent into tactical action. This process is
the union of Coast Guard strategic and budgetary planning. Mission
Execution Planning activities include readiness, logistical planning, and
operational, contingency planning. At its core, SOPP is about
organizational assessment and learning as the Coast Guard progresses from
Direction though Execution to Adaptation.

Mission Support   Mission support planning parallels mission execution planning, and is
Planning   designed to provide and sustain the capabilities that satisfy the requirements
generated by mission execution planning. Support planning guidance is
developed and used to create support plans and support orders
(SUPPLANs/SUPORDs) that guide support performance.

Operational and   Operational and Support Performance Assessments assess the achievement
Support   of performance targets and provide feedback to directly influence policy,
Performance   plans, and orders or influence the guidance provided, which leads to
Assessments   adjustment of the operational and support policy and plans developed.

CHAPTER THREE: ALIGNMENT WITH INTENT, MISSION EXECUTION, AND MISSION SUPPORT

"The wise man bridges the gap by laying out the path by means of which he can get from where he is to where he wants to go."

— John Pierpont Morgan

In every organization, there are broad elements tasked with specific responsibilities. Each of these elements impacts the ability of the others to complete their mission assignments. Effective *informal* communications, referred to as *seams*, ensure that the essential alignment of objectives and goals is acknowledged and understood among all organizational elements.
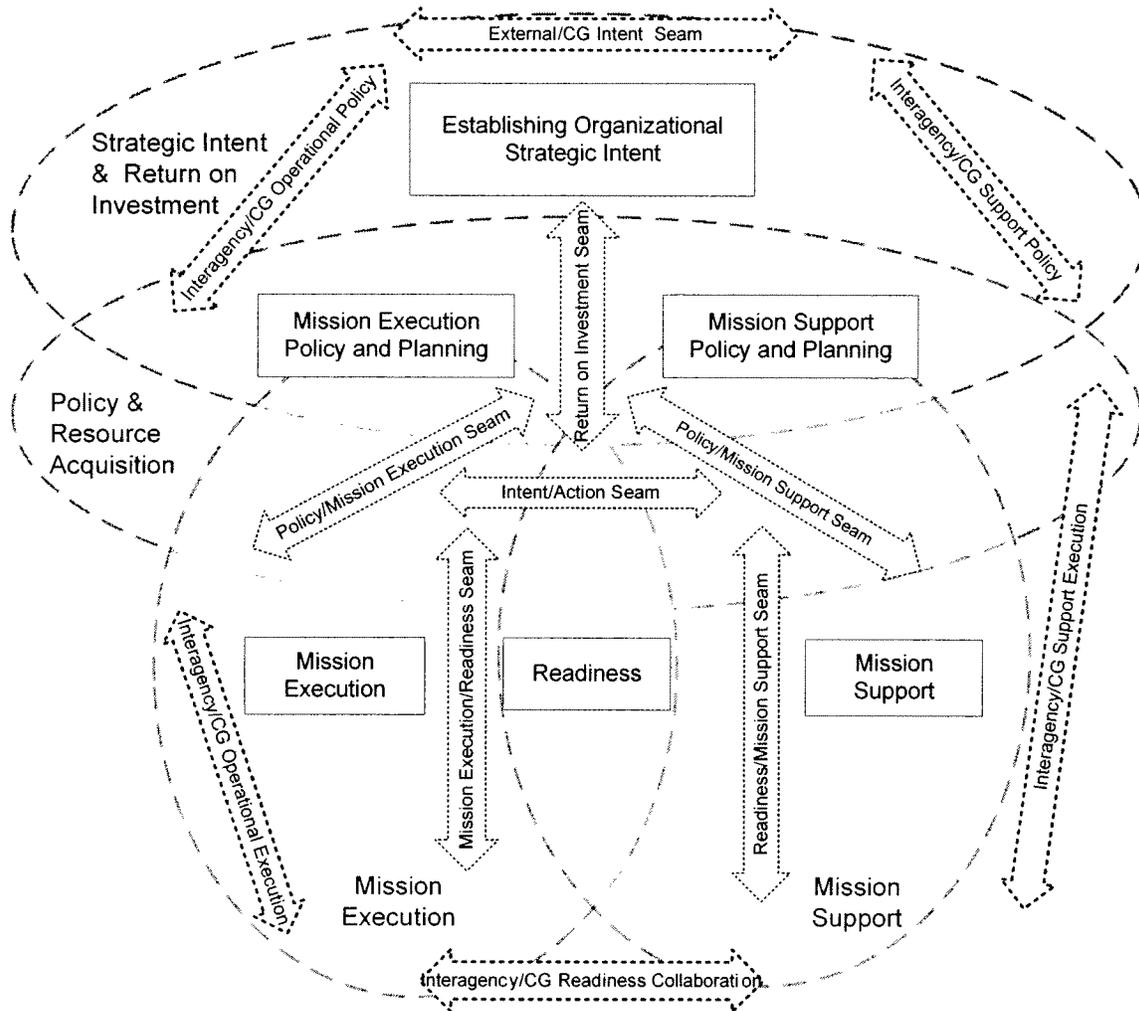
Figure 3: Organizational Roles, Functions, and Seams

Organizational Planning Roles

Four (4) organizational planning roles encompass the responsibilities to execute planning within the Coast Guard organization (shown with ovals in **Figure 3: Organizational Roles, Functions, and Seams**). Together these roles and responsibilities ensure that establishing Strategic Intent and

planning operations and support are addressed at the appropriate level.

Strategic Intent and Return on Investment

Strategic Intent and Return on Investment:

- Identify and communicate the value of the organization, its operations, and the necessary support.

- Develop and oversee operational policy, planning, and international affairs at the strategic level.

- Establish and maintain relations with the DoD and other agencies at the national level.

- Ensure strategic alignment among the Coast Guard's eleven (11) mission-programs to maximize mission execution consistent with national priorities and mission support capabilities.

Policy and Resource Acquisition

Policy and Resource Acquisition:

- Develops essential policy and guidance governing the operations and support activities of the organization.

- Identifies organizational requirements and effective processes to maintain readiness and satisfy requirements.

- Develops resource acquisition and sustainment strategies.

- Develops supporting policy to facilitate operations.

Mission Execution

Mission Execution:

- Manages operational control of all Coast Guard units to execute missions and incident responses consistent with policy and mission planning guidance.

- Allocates or maintains tactical control of forces. Identifies mission execution requirements.

- Monitors operational performance and provides assessments to the strategic level for analysis.

Mission Support

Mission Support:

- Unifies and standardizes Coast Guard support systems across all units and all missions.

- Maintains the current and future readiness posture. In conjunction with Force Standards, Mission Performance Standards, and Coast Guard Strategic Objectives, monitors the operating capability and capacity requirements and communicates associated gaps to the strategic level.

- Systematically assesses the alignment of operational mission

requirements with the capabilities and limitations of the operational assets and the mission support system.

Organizational Planning Functions

Across each of the four roles, specific functions are performed to ensure that organizational planning flows from Strategic Intent to Action (shown with rectangles in **Figure 3: Organizational Roles, Functions, and Seams**). Communication among these functions covers both aspects of mission execution: operations and support.

Establishing Organizational Strategic Intent

As discussed in the previous chapters, the Commandant and Senior Leadership establish organizational Strategic Intent for the Coast Guard.

Development of Strategic Intent identifies and communicates the relationships between performance goals, the outcomes to achieve them, the resources needed to carry out the necessary activities, and the articulation of priorities. The guidance and direction communicated to subordinate Commands identifies the essential performance targets, taking into consideration the established priorities and the available resources.

Mission Execution Policy and Planning

Organizational Strategic Intent communicates the appropriate priorities for both mission execution and mission support. Mission execution policy and planning is carried out within operational components of Coast Guard Headquarters. Those Headquarters offices involved with mission execution policy and planning are responsible for:

- Developing and maintaining mission-program policy, guidance, and priorities.

- Setting mission performance targets.

- Assessing and analyzing operational performance within and across missions to identify performance gaps.

- Evaluating policy and plans to reduce gaps.

- Developing partnerships necessary to achieve mission outcomes.

- Maintaining a broad perspective and insight into international relationships with regard to the operational environment and challenges.

- Negotiating international treaties, conventions, and agreements necessary to achieve mission outcomes.

Mission Support Policy and Planning

Mission Support Policy and Planning is carried out within the support and capability development components of Coast Guard Headquarters. To ensure the proper return on the organization's investment, communications among Strategic Intent, Mission Execution, and Mission Support Policy

and Planning is essential.

Mission Support Policy and Planning is tasked with:

- Developing and maintaining support policy, guidance, and priorities to meet both operational and support requirements that enhance performance.

- Setting support performance targets.

- Approving and advocating an optimal portfolio of sustained readiness for mission execution (considering influencing factors – cost, benefit, political reality, risk).

- Actively supporting and contributing to operational planning processes to elicit requirements.

- Providing support inputs to the development of operational planning products and complementary support guidance.

- Assessing and analyzing support performance within and across missions to identify performance gaps and improve support policy and plans.

Mission Execution

Mission Execution translates the strategic guidance, priorities, and direction into actionable plans to achieve the desired performance targets. This is done through the execution of higher level direction and policy coupled with the development of policy and planning consistent with local conditions. Maintaining relationships with established partners is necessary to continue operations. Operational field commands are responsible for mission execution, including:

- Preparing, directing, and controlling operations, including developing, implementing, executing, and assessing operational and contingency plans.

- Prioritizing and directing use of assigned people and assets to accomplish missions.

- Maintaining the agility and responsiveness to effectively and efficiently meet emergent operational needs.

- Clearly defining and communicating responsibilities in each echelon in the chain of command for mission execution.

- Facilitating the flow of operational information, intelligence, and orders across the strategic, operational, and tactical levels of mission execution, including external partners.

- Incorporating lessons learned from exercises and operations into the operational planning cycle.

- Providing broad perspective and actionable assessments on the Coast

Guard operational environment and challenges back up the chain of command.

Mission Support   Support field commands ensure the Coast Guard is fully prepared to carry out mission execution by providing necessary readiness. This is done through the delivery of mission-ready platforms provisioned with capable, trained, and interoperable forces guided by tactics, techniques, and procedures; deliberate plans; and effective information management systems. Elements of planning that enable mission support include:

- Developing plans to improve and sustain operational and support readiness.

- Identifying, analyzing, and assessing readiness to meet mission requirements.

- Directing resources to address readiness gaps.

- Predicting platform and personnel degradation.

- Enforcing configuration control, standard procedures, and compliance measures to sustain readiness.

- Providing input to higher command levels on future capability needs.

Readiness   Coast Guard operational forces must continue to be responsive to mission execution, the support systems responsive to operators, and the organization responsive to the needs of the nation. Operational forces are aligned into "strategic tridents" that consist of shore-based, multi-mission forces assigned to Sectors and Districts; extended-range mobile assets; and deployable specialized forces. The strategic trident is an important first step in maximizing the Coast Guard's readiness, providing a layered security posture in the maritime domain to address existing and emerging transnational threats and hazards.

Readiness planning encompasses the plans and processes necessary to provide a force package with the capability to satisfy requirements. This includes overseeing the preparedness cycle (assessments, plans, training, resources, exercises, after-action, and remedial actions).

Effective communications with Mission Execution and Mission Support are essential to ensure that Strategic Intent can be attained through readiness and achieved through performance.

Elements of planning that enable readiness include:

- Managing all mission-related operational system requirements that influence readiness.

- Supporting operational and contingency planning development in order to properly plan and resource field mission requirements.

- Establishing targets for readiness, and analyzing targets to identify

readiness deficiencies.

- Evaluating whether units, platforms, and personnel have adequate training to meet mission execution requirements.

- Reviewing tactics, techniques, and procedures to improve operations.

- Assessing current and future impact on unit or fleet readiness by analyzing mishaps and trends.

- Communicating with supported commanders to resolve conflicts and resource constraints.

Performance is Aligned through Organizational Roles

The Organizational Roles reinforce the vertical alignment of the entire Coast Guard. Mission Support, Readiness, and Mission Execution are not independent entities; they are linked together to enable translating Strategic Intent to action. Mission Support produces Readiness to enable Mission Execution, which yields performance and delivers on Strategic Intent. The organization is only as effective as the weakest link in this chain.

Within the Mission Execution role, we can illustrate how capabilities (readiness) provide the input to performing Operational Activity, which produces outputs. These outputs help drive or influence the Coast Guard's strategic outcomes, which can be redefined as benefits provided to the public.

Within the Mission Support role, both operational and support requirements and the capability to sustain the support are provided.

It is important that the plans developed retain this consist approach to providing traceability from mission support to Strategic Intent through readiness and mission execution.

Organizational Seams

Organizations have requirements to communicate internally among the various functions as well as responsibilities to communicate externally with partners. The Strategic Intent is then communicated internally to the roles responsible for mission execution and support and externally to mission partners.

As depicted in **Figure 3: Organizational Roles, Functions, and Seams,** the organization's interactions occur across various functions within roles of the organization. These interactions are shown as "seams." The seams highlight areas of required communications and acknowledgment of common objectives, and indicate an area where responsibilities need to be negotiated to ensure intent is developed, communicated, and translated into action. Cross-organizational trade-off decisions are necessary at these seams to move the organization toward its Service-wide goals.

When there is clear understanding of the roles involved and the required communication paths, stovepipes are removed and the organization moves

forward as a whole. A successful organization recognizes these seams and develops necessary planning products to effectively communicate among the various organizational functions.

Planning products address the seams and formalize communications among the various functions of the organization. A comprehensive and consistent approach to Service-wide planning aligns competing requirements. With effective communications, more consistent and effective plans are developed across the organization that support one another rather than compete or overlap. The Coast Guard has a host of mature planning processes that address these seams, as shown in **Table** 1: Planning Products Address Internal Seams.

Table 1: Planning Products Address Internal Seams

Seam	Planning Products
Return on Investment ensures that the operational outcomes (risk mitigation) are balanced with support requirements (readiness) within constraints of available resources.	Strategic Intent; Evergreen; Coast Guard Strategy; Strategic Budgetary Intent; Integrated Strategic Investment Plan; Economic and Strategic Risk Assessments; Future Operational Capability Requirements; Future Support Capability Requirements; Missions/Operations Analysis
Policy/Mission Execution identifies the necessary policies and plans to ensure effective mission operations and execution.	Operational Policy; Strategic Operational Plans; Operational Doctrine; Operational Assessments and Evaluations
Policy/Mission Support identifies the necessary policies and plans to ensure effective mission support.	Support Policy; Strategic Support Plans; Readiness Plans; Logistics Plans; Support Doctrine; Support Evaluations
Intent/Action translates the Strategic Intent of the organization into actionable plans.	Planning Guidance, Priorities, and Performance Targets (Operational and Support); Organizational Doctrine
Mission Execution/Readiness highlights the necessary readiness capability in order to effectively perform the mission.	Mission Execution Policy; Tactical Assessments; Operational Plans, Contingency Plans
Readiness/Mission Support stipulates the required readiness capability delivery necessary to meet mission requirements.	Capability Sustainment Plans; Strategic, Operational, and Tactical Exercises; Readiness Evaluations; Support Plans; Capability Requirements

External Seams There are also external touch-points where intent needs to be identified and translated into action. External communication products address these seams. **Table 2: Planning Products Address External Seams** lists the planning products associated with external seams.

Table 2: Planning Products Address External Seams

Seam	Planning Products
External/CG Intent	National/Departmental Strategy and Policy
Interagency/CG Operational Policy	Memorandums of Understanding, Contingency Plans, Strategic International Engagement
Interagency/CG Support Policy	Memorandums of Understanding
Interagency/CG Operational Execution	Memorandums of Understanding; Contingency Plans, Operational International Engagement Policy
Interagency/CG Support Execution	Memorandums of Understanding; Contingency Plans
Interagency/CG Readiness Collaboration	Memorandums of Understanding; Preparedness Plans; Contingency Plans

CHAPTER FOUR: PROCESSES AND ARCHITECTURE

"Reduce your plan to writing. The moment you complete this, you will have definitely given concrete form to the intangible desire."

— Napoleon Hill

Decisions, policy, and planning processes translate intent into action. These processes take place within different levels of the Coast Guard organization and follow a logical cycle. Assessment & Learning constantly interacts with the cycle of "Direction," "Execution," and "Adaptation." Effective Assessment & Learning processes identify areas for strategic, operational, and tactical improvement through sound knowledge management and analysis. An understanding of the Coast Guard Planning and Decision-Making Framework leads to policy and planning processes and assumptions applicable to all levels of the organization.
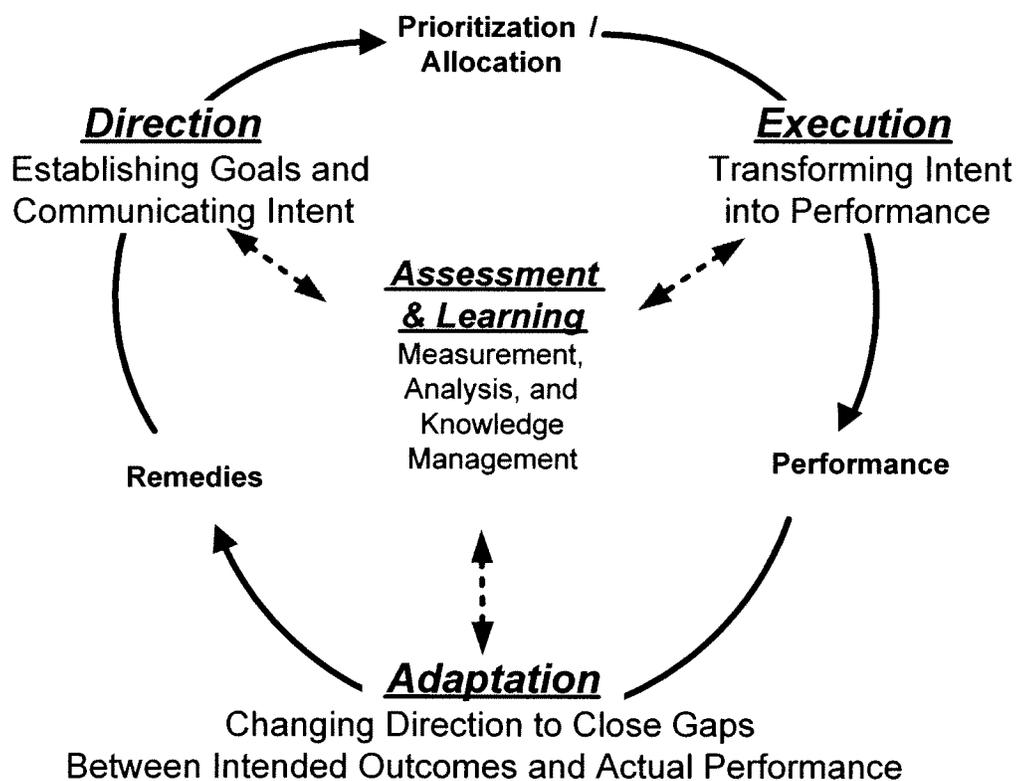
Figure 4: Coast Guard Policy, Planning and Decision-Making Framework

The Coast Guard Planning and Decision-Making Framework	**Figure 4: Coast Guard Policy, Planning and Decision-Making Framework** illustrates the cycle of establishing policy and plans and adapting execution as necessary based on experienced conditions. Gaps in performance are analyzed and recommendations communicated back up the chain to adjust and update policy and planning direction. A necessary component of the cycle is Assessment & Learning – comprising Measurement, Analysis, and Knowledge Management – to capture and provide consistent information at each phase.

Assessment &   Assessment & Learning enables the establishment of clear goals,
Learning   communication of Strategic Intent, and informed development and
                   execution of policy and plans to achieve performance goals. It also helps
                   organizations quickly adapt to new information and imperatives. The
                   embedded process of Assessment & Learning is not sequential to the
                   management steps – Direction, Execution, Adaptation – it is central to and
                   supportive of them.

                   Assessment & Learning is composed of three elements common to the
                   Baldrige Criteria and the Commandant's Performance Excellence Criteria:

                   • **Measurement** – Measurement provides numerical facts and data to
                     quantify input, output, and performance dimensions of processes,
                     products, services, and the overall organizational outcomes.

                   • **Analysis** – Analysis uses numerical facts and data, including cause-
                     and-effect relationships, as information that informs decision-making
                     and the attainment of strategic objectives. Individual facts and data do
                     not by themselves provide an effective basis for actions or
                     prioritization. A full understanding of the relationships uncovered
                     through analysis provides the necessary information for decision-
                     making.

                   • **Knowledge Management** – Knowledge Management involves
                     identifying, capturing, evaluating, retrieving, and sharing all of an
                     organization's information assets to build and grow ideas,
                     understanding, memory, insights, cognitive and technical skills, and
                     capabilities. These assets may include databases, documents, policies,
                     procedures and previously implied expertise or experiences of
                     individual workers that was not captured. Knowledge Management
                     also encompasses management strategies, methods, technology for
                     leveraging intellectual capital, and expertise to achieve gains in human
                     performance and competitiveness.

Direction   Direction, in the form of specific guidance and requirements, is provided
                   from a higher authority to lower authorities through policy and planning
                   documents. The higher authority uses the Assessment & Learning core
                   processes to inform policy, guidance, priority, and resource allocation
                   development during the Direction phase. Goals and objectives articulate
                   the priorities of the organization. Policy is restrictive or prescriptive
                   direction. These, along with performance targets, are established and
                   communicated within the plan.

                   An analysis is conducted during this phase to determine the necessary
                   allocation of resources in order to achieve the goals and objectives. The
                   results of the analysis within constrained resources may also inform a
                   necessary adjustment to performance targets.

Execution   Execution involves implementing the plan in accordance with the Direction
                       provided. To satisfy the priorities and performance targets communicated
                       through Direction, each unit executes activities, monitors activities, and
                       reports status. For higher-level commands, an element of Execution
                       includes developing policy and plans and articulating intent, priorities,
                       performance targets, and actions to subordinate units. Execution interacts
                       with Assessment & Learning through monitoring and reporting
                       performance of the plans developed and Direction received.

Adaptation   Adaptation requires assessing and analyzing performance against targets
                       and reviewing Direction to determine effectiveness and progress toward
                       meeting the stated intent. Lessons learned from the analysis are retained as
                       enterprise knowledge and shared across the organization. The impact of
                       changing requirements and resource constraints is communicated and
                       remedies recommended. Policy and plans are reviewed and refreshed as
                       necessary, and direction is re-communicated with the intent of closing
                       performance gaps.
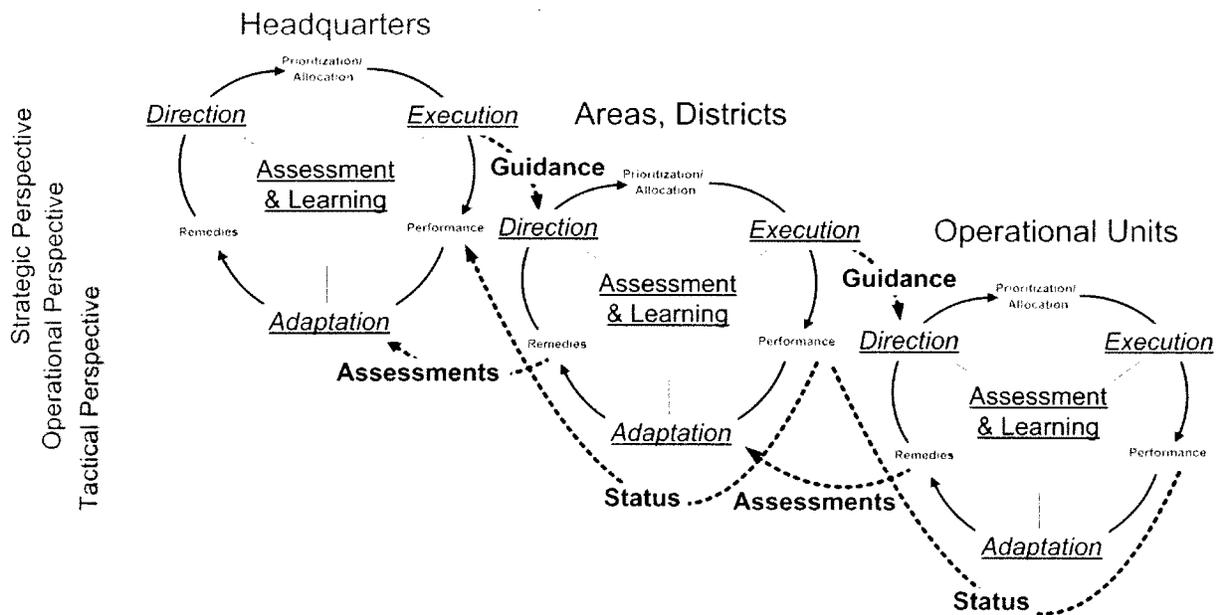
Figure 5: Policy and Planning Process Perspective and Flow

**Applying the   The Planning and Decision-Making Framework applies similarly at all
Framework to   organizational levels of the Coast Guard – strategic, operational, and
All Levels of the   tactical – as shown in Figure 5: Policy and Planning Process
Organization**   Perspective and Flow. Planning processes within each level connect with
                        the cyclical process of the adjacent levels. Consistent policy and planning
                        systems enable effective and aligned communication of Direction,

Execution, and Adaptation across all organizational levels. Each organization applies the process within the context of their authorities and responsibilities and interacts with other levels of the organization.

- **Guidance** – Consistency and alignment with common objectives articulated in higher level policy and plans moves down from strategic to tactical command levels. The lower level command has a responsibility to follow the guidance provided as well as to continue alignment with national strategies, departmental direction, policy, and Coast Guard strategy.

- **Status** – Performance or attainment of specified performance targets is communicated to the next higher level. Subordinate units must monitor the individual unit performance and provide input to ascertain if organizational performance targets are met. These measures feed the assessment process at all levels of the organization.

- **Assessment** – The assessment provides feedback on how internal planning and decisions should be modified and communicated through an updated plan. Knowledge and lessons learned should remain visible and be shared by all levels of the organization.

- The entire process supports the knowledge-driven effort to maximize readiness, minimize risk, and pursue stewardship.

Planning Assumptions

In the process of establishing plans, assumptions are necessary to address gaps in factual knowledge. Assumptions must be logical and realistic in order to be useful. Senior commanders typically provide assumptions to subordinate commanders in the form of planning guidance. As the planning process continues, assumptions should be periodically reviewed for continued applicability and consistency.

The following examples of planning assumptions are established by the Commandant:

- The Coast Guard will continue to meet normal mission requirements and respond to requests for assistance from DoD and other federal agencies.

- The National Response Framework will be activated for natural disasters, technological emergencies, and other incidents requiring federal assistance under the Stafford Act.

- Coast Guard Reserve and Auxiliary forces will be used to the maximum extent possible.

- DoD augmentation to support Coast Guard domestic force protection requirements is not anticipated.

- During wartime, targeted operations and personnel tempo may increase up to 125 percent of normal, peacetime levels to meet planning

requirements.

- It should be noted that this is not an all-inclusive list. Assumptions may well change with each strategy cycle.
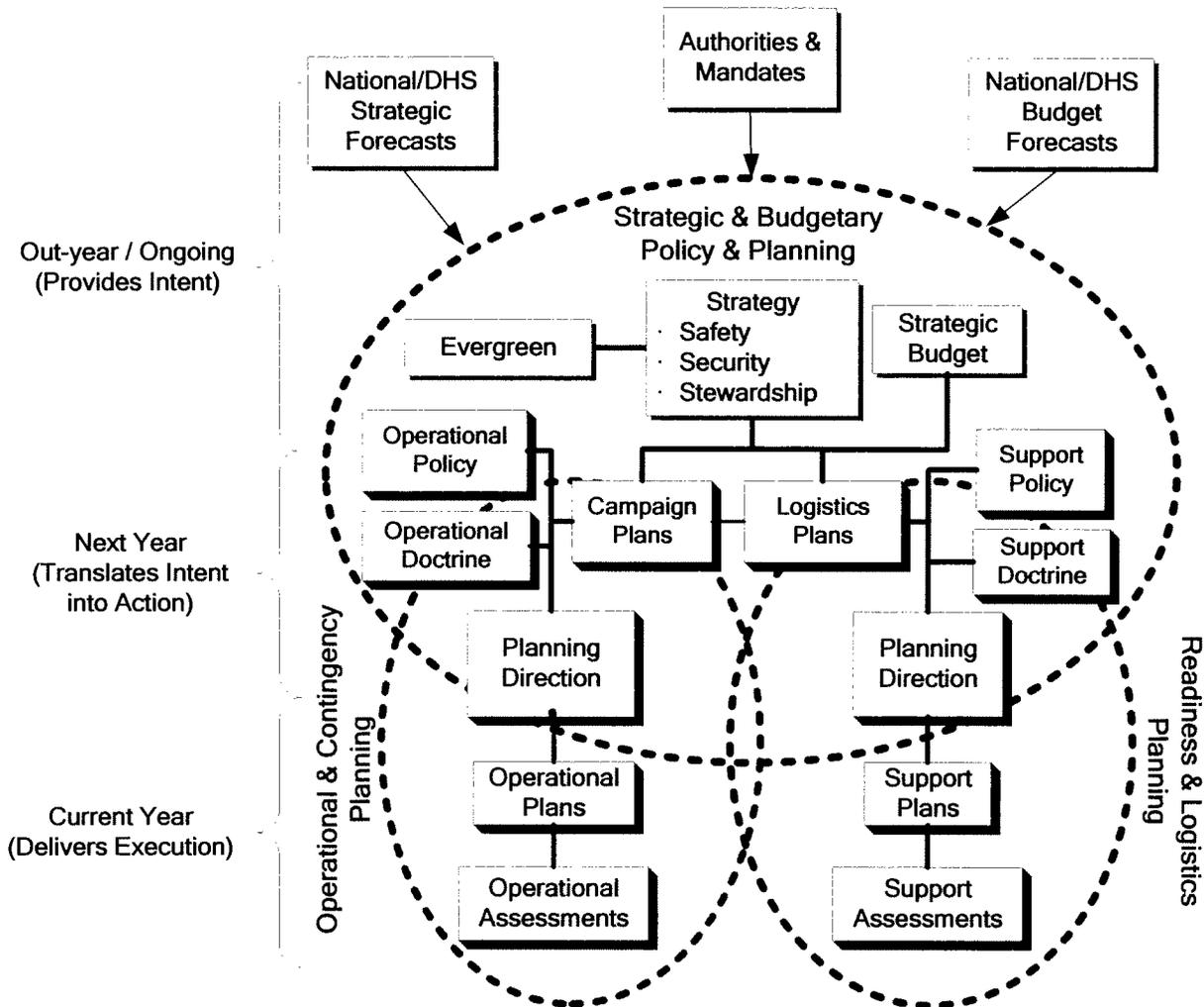
Figure 6: Policy and Planning Architecture

Policy and Planning Architecture

The Policy and Planning Architecture is a collection of related policy and planning *products* to make Coast Guard decision-making and reporting more systematic, transparent, and results-focused across every level of the organization. These products are organized into one of three areas: Strategic and Budgetary Policy and Planning, Operational and Contingency Planning, and Readiness and Logistics Planning. The organizational planning *roles* described in Chapter 3 are associated with each of these areas to produce alignment with products produced. Proper alignment and cooperation between operations (risk management) and support (readiness) improve mission performance and the realization of organizational strategic intent.

These three groups of policy and planning products are reflected in the planning

processed illustrated by dotted ovals in **Figure 6: Policy and Planning Architecture** and reflect the necessary integration among the areas of strategy, operations, and support processes:

1. **Strategic and Budgetary Policy and Planning** processes take as input external strategies, requirements, mandates, and budget forecasts. The processes to develop strategic and budgetary policy and plans are designed to maximize return on investment while balancing risk with readiness within resource constraints. Strategic and budgetary policy and plans provide sufficient guidance, direction, priorities, and performance targets to the operational and support planning processes. Operational and support policy and doctrine are coupled in the development of long-term campaign and logistic plans. Clear policy, doctrine, and long-term plans guide the development of more tactical operational and support planning products.

2. **Operational and Contingency Policy and Planning** processes reflect the operational intent communicated through campaign plans, operational policy, and operational doctrine. Operational and contingency planning products minimize and mitigate risk to the public. Operational plans must clearly communicate the capability necessary to achieve operational and contingency objectives. Readiness and logistics plans strive to deliver and sustain the capability necessary for operations. Operational and contingency plans inform readiness and logistics plans on necessary capability and are informed by the projected capability outlined in readiness and logistics plans. Synchronized communications between operational and readiness planning is essential to harmonize operational/contingency priorities and requirements to available capability.

3. **Readiness and Logistics Planning** processes translate the long-term strategies within logistic plans, support policy, and support doctrine intent into actionable plans within the short-term planning horizons with an objective to maximize and sustain readiness. Readiness is a measure of how well requirements are being satisfied with delivered capability. The processes to develop readiness and logistics planning products are closely related to the development of the operational and contingency planning products. The necessary capability identified in operational and contingency plans must be sustained to meet identified operational requirements. Support Performance Assessment is conducted to determine not only if readiness is being sustained but also how well or efficiently capabilities are being provided.

A listing of key planning products associated with each of the three policy and planning processes is presented and described in **Appendix B.** Many of these key planning products are described in more detail in the references presented in **Appendix A.**

Planning Processes

The policy, strategic plans, and doctrine developed for both operations and support provide the necessary guidance for development of operational and support plans.

Policy and Doctrine Influence Planning Processes

Policy and doctrine influence the planning process. Guidelines for the appropriate use of policy and doctrine within plans includes:

- Plans reflect how to employ policy and apply doctrine. Policy and Doctrine are used as fundamental building blocks referenced to address the plan's specific intent or purpose.

- Policy or doctrine is referenced within a plan to avoid conflicting or overlapping policy and doctrine over time. When referencing policy or doctrine within a plan, provide specific reference to the applicable sections of the policy or doctrine.

- With appropriate reference to common policy and doctrine, plans become much smaller and are much easier to socialize because of a common understanding and re-use of the underlying policy and doctrine.

- Any policy or doctrine developed for a specific plan must be scoped to that specific plan to avoid conflicting or overlapping policy or doctrine. Policy or doctrine developed to support a specific plan that has enduring or cross-planning applicability should be considered for inclusion in reference set of policy and doctrine.

The interaction between policy, plans and doctrine are shown in **Figure 7: Policy, Plans, and Doctrine Relationships.** The direction provided by policy, plans, and doctrine is updated based on continuous assessment. While policy may constrain doctrine and strategic planning efforts, policy is also informed by assessment of those plans and by emerging best practices reflected in doctrine review.
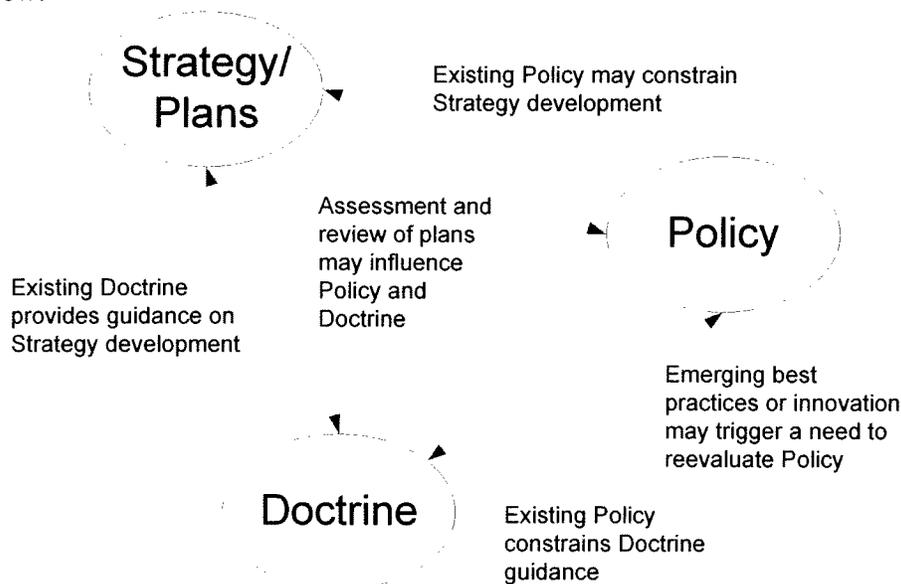
Figure 7: Policy, Plans, and Doctrine Relationships

Standard Planning Processes Ensure Consistency and Enhance Performance

The processes of developing operational and readiness plans include assessment and analysis of both past and desired performance. The process of providing high-level guidance to develop plans, deliver mission execution, and then assess the execution of those plans completes the Intent to Action cycle.

The purpose of the Coast Guard Standard Operational Planning Process (SOPP) is to ensure effective translation of Strategic Intent to mission outcomes. This will be accomplished through mission guidance, priorities, and resource apportionment, with constructive feedback distributed through the chain of command to support Coast Guard operations across all missions. The Coast Guard SOPP is based on the Coast Guard Planning and Decision-Making Framework and serves as a bridge between Coast Guard strategic long-range planning and budgetary processes and the operational commanders' needs. The SOPP considers status and assessments to develop and communicate guidance and direction, priorities, and resource apportionment throughout the chain of command. The SOPP effort establishes a systematic, standard planning process that adds value to the development of Coast Guard planning in all other areas.

In a similar manner to operational planning and execution, actionable Planning Direction is developed from the long-term logistics plans and guidance provided in support doctrine. Planning Direction is adjusted as the budget is negotiated. Performance targets and priorities are communicated through the chain-of-command where more specific support plans are developed based on localized situations and the developing budget picture. Strong communications with the SOPP are necessary to ensure the proper capabilities are ready and identified requirements are met in support of campaign plans.

Operational and Support Performance Assessment

After operational and support plans are exercised, Operational and Support Performance Assessment provides a summary of operations, mission performance, resources expended to include capability gaps identified, and recommendations to improve planning and effectiveness. These evaluations provide transparency of mission performance, resource employment, and an assessment of capability for leadership and planners for self-improvement. The assessments provide feedback to operational and support plans as well as the doctrine provided to establish those plans. Performance targets may need to be adjusted based on evolving situations. The assessments can be used to evaluate past mission performance and forecast future performance, challenges, capabilities, and readiness issues. Assessments will also influence adjustments to doctrine and policy resulting in a more enduring improvement to performance.

Coast Guard Involvement in Other Agency Planning

The Coast Guard interacts and interoperates with domestic, interagency, joint, and international partners. Because of this, the Coast Guard is in the unique position to fulfill its statutory requirements as well as support and meet the operational requirements of other agencies. Coast Guard policy and plans guide Coast Guard operations. Other agencies will promulgate policy and plans that

the Coast Guard will follow during joint operations. Typically, this direction is limited to operations of Coast Guard forces assigned to the mission. Coast Guard policy and plans must be clear on when to follow which direction.

The forces, units, and systems of the Coast Guard and its domestic, interagency, joint, and international partners must operate together effectively. This effectiveness is achieved largely through interoperability. This includes development and use of compatible doctrine, development and use of interoperable operation plans (OPLANs); and development and use of interoperable communications and information systems.

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CHAPTER FIVE: SUPPORTING PUBLICATIONS

"Long-range planning works best in the short term"

— Doug Evelyn
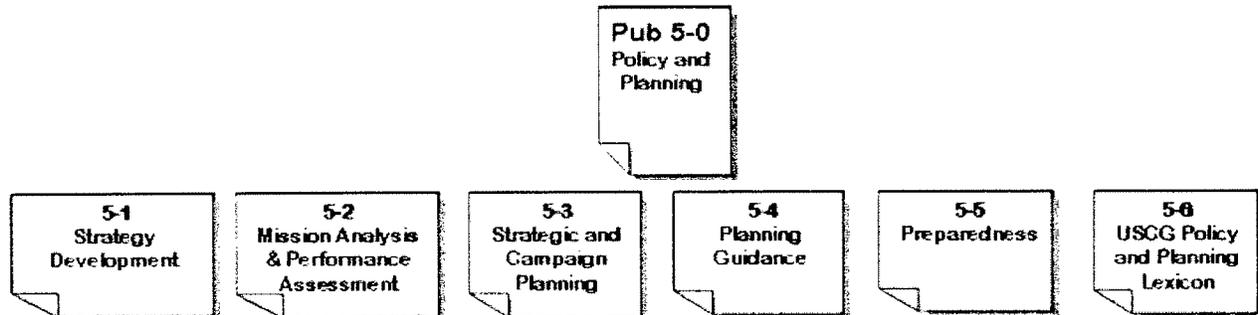
Figure 8: Publication 5-0 Supporting Processes

Publication 5-0 supporting processes, shown in **Figure 8: Publication 5-0 Supporting Processes,** provide a guide for the development of products across the entire planning framework. All aspects of planning, from identifying and establishing Strategic Intent to the necessary response to a changing situation, are addressed within the framework. Each supporting process articulates the purpose, intent, and value added for each type of planning. Planning products developed across the entire set of Coast Guard Doctrine will follow these processes to ensure consistency and visibility of planning and assessment across all mission execution and support activities.

Strategy Development (5-1)

Strategy Development (5-1) describes the continuous and systematic process by which our leadership defines its long-range objectives, identifies quantifiable goals, develops strategies and activities to reach these objectives and goals, and allocates resources to carry out identified strategies. During the process, an assessment of the organization's current position is conducted. Goals and strategies are developed to transition the organization from where it currently is to its future state. Performance plans are established to monitor the progress on achieving strategic goals.

A regular strategic review cycle is exercised to institutionalize strategic thinking and update the service's strategic intent in response to evolving policy and world events. Strategy Development (5-1) provides guidance on:

- The purpose and intent of strategic planning.

- The importance of strategy development.

- Identified critical elements/processes to conduct when developing strategic plans.

- Expected results and follow-on activities for an effective strategic planning program.

- The Evergreen Process is a continuous strategic cycle designed to

institutionalize strategic thinking in the Coast Guard and update the Coast Guard's strategic intent in response to evolving policy, operating environments, and evolving global considerations. The Evergreen Process:

- Is scenario-based planning.

- Establishes strategies for resource prioritization and allocation.

- Defines critical contingency strategies with trigger events.

- Informs budgeting, management, and education.

- Provides a long-term, consistent framework for developing strategic intent.

Strategy Development (5-1) Inputs

The inputs to Strategy Development (5-1) and its supporting planning products include:

- National Strategy for Maritime Security

- DHS Strategic Plan

- Coast Guard Strategic Blueprint

- Commandant's Intent

- Budget in Brief and Performance Report

- Federal and agency mandates

Strategy Development (5-1) Outputs

Strategy Development (5-1) processes produce the following outputs:

- Identified Strategic Goals and performance targets

- Mission priorities

- Updated Strategic Development processes (Evergreen Process)

- Updated communication pieces for Coast Guard intent and current situation (e.g., Coast Guard Strategy for Maritime Safety, Security, and Stewardship)

Mission Analysis and Performance Assessment (5-2)

Mission Analysis and Performance Assessment (5-2) is a continuous, iterative analysis of cross-programmatic assigned mission responsibilities, operations, performance targets, and resource allocations. Performance assessments monitor relationships among inputs, activities, strategies, outputs and outcomes while mission analysis determines effectiveness and efficiency, deficiencies and capabilities. Essential elements of Mission Analysis and Performance Assessment include:

- Validating public needs and demands.

- Examining alternative methods of service delivery.

- Delineating the functional mission requirements and objectives consistent with current program descriptions and directions.

- Baselining current mission performance and asset capabilities.

- Projecting future demand for mission performance 5, 10, and 20 years into the future.

- Describing methodologies for developing recommendations and anticipating opportunities to improve performance.

Mission Analysis and Performance Assessment (5-2) Inputs

Inputs supporting Mission Analysis and Performance Assessment (5-2) include:

- Budget in Brief and Performance Report

- Coast Guard Strategy

- Performance Targets

- GPRA Performance Plans

- Mission studies

- Campaign and Logistics Plans

Mission Analysis and Performance Assessment (5-2) Outputs

Operations and Support are both reflected within the products of Mission Analysis and Performance Assessment (5-2). The primary products are:

Mission Analysis Reports are customer-focused acquisition planning documents that provide sufficient information to document a deficiency in mission performance capability. They review the mission(s) performed and provide an estimate of required capabilities to effectively carry out responsibilities. Mission Analysis Reports serve as the basis for development of a major acquisition Mission Needs Statement.

Mission Needs Statements provide a description of the Coast Guard's ability to effectively prosecute its missions and identify shortfalls. They outline what is required to respond to any changes in mission emphasis and effort. Mission Needs Statements are reviewed to ensure alignment with the major system being acquired and DHS's mission, vision, and strategic goals.

Strategic and Campaign Planning (5-3)

Strategic and Campaign Planning (5-3) provides overarching guidance and principles that focus on translating national and Coast Guard strategy into synchronized operational and support planning activities. Effective campaign plans provide planners and executors with the necessary references, strategic intent, objectives and desired performance levels with a 15–20 year outlook.

Strategic and Campaign Planning (5-3) provides insights including:

- How to effectively identify supporting strategic intent for operations and support.

- How to formulate effective direction in the execution of operations and support.

Strategic and Campaign Planning (5-3) Inputs

Inputs into Strategic and Campaign Planning (5-3) processes include:

- Strategic context from the Evergreen process.

- Mandates from the Department and Presidential directives.

- Economic and Risk Strategic Assessment.

- Emerging national, regional, and international threats, opportunities, and trends.

- Mission goals, objectives, and performance targets.

Strategic and Campaign Planning (5-3) Outputs

Strategic and campaign plans communicate required activities to translate identified strategic intent into action. Strategic plans cover overall and ongoing Coast Guard activities. Campaign plans are more specific in nature and are developed for operations where known conditions impact the degree to which performance targets will be met. In addition to strategic and campaign plans, by-products of the Strategic and Campaign Planning (5-3) processes include:

- Updates to the Integrated Strategic Investment Plan.

- Operational and support capability requirements.

- Context for developing operational and support strategic guidance.

Planning Guidance (5-4)

Planning Guidance (5-4) provides mission guidance, priorities, and resource allocation to subordinate commands to support development of plans scoped to a particular portion of the organization. Development of Planning Guidance requires identifying standard core planning policy, processes, and products that are aligned and sequenced both vertically and horizontally. This ensures that goals, objectives, standards, and performance targets are communicated effectively throughout the entire chain of command and that status and assessments are communicated and processed back up the chain.

Effective planning guidance:

- Communicates organizational intent and assists all levels of the organization in exercising judgment in the planning and execution of all mission and support activities.

- Assists all levels of the organization in correctly identifying and

communicating strategic intent.

- Establishes consistent processes for developing plans aligned with organizational strategic intent.

- Assist subordinate commanders in making resource apportionment decisions in a manner that helps the Coast Guard achieve strategic goals.

- Enforces appropriate monitoring and assessment of progress toward attaining strategic goals.

Planning Guidance (5-4) Inputs

The inputs into developing Planning Guidance (5-4) include:

- Policy and Doctrine

- Strategic, Campaign, and Logistic Plans

- Operational and Support Assessments

- Performance Assessment Reports

- After-Action Reports

- Planning Assessments

Planning Guidance (5-4) Outputs

The primary purpose of Planning Guidance (5-4) is to provide Planning Direction for subordinate commanders to use in combination with strategic intent to develop operational and support plans and orders. Support plans and orders identify methods for identifying and developing capabilities to conduct operational missions and sustain support delivery. Operational plans and orders help formulate "routine" or continuous operations and identify the need to develop appropriate contingency plans.

Other outputs to Planning Guidance (5-4) processes include:

- Strategic and Operational Planning Direction

- Resource Apportionment

- Operational and Support Plans

- Operational and Support Tasking

Preparedness (5-5)

Preparedness (5-5) processes develop common strategies and identify methodologies for assigning resources to prevent, respond to, and recover from anticipated emergency operations and catastrophic events. Preparedness addresses all aspects of the contingency preparedness cycle: Stakeholder outreach and engagement; plans and policy; capabilities; team training and exercises; and evaluations and assessments.

Readiness Planning articulates methodologies to sustain and develop organizational authorities, capabilities, competencies, and partnerships in

support of Strategic Intent.

Preparedness (5-5) Inputs

The inputs to Preparedness (5-5) and its supporting planning products include:

- Policies governing contingency

- Organizational Requirements

- Strategic Plans

- Related Doctrine

- Exercise results and After Action Reports

Preparedness (5-5) Outputs

The primary products of Preparedness (5-5) are contingency plans and support plans (workforce, platforms, facilities; and C4&IT) that address the five stages of the preparedness cycle. Tactics, Techniques, and Procedures are outputs from Contingency and Readiness Planning (5-5) processes as well and specifically include :

- Area Contingency Plans

- Information Resource Management Plan

- Shore Facilities Management Plan

- Human Resource Management Plan

U.S. Coast Guard Policy and Planning Lexicon (5-6)

The U.S. Coast Guard Planning Lexicon (5-6) establishes standard Coast Guard terminology and enforces consistent meaning and scope of those terms. The terms in the lexicon, together with their acronyms and definitions, constitute approved terminology for general use by all organizational elements of the Coast Guard.

The Coast Guard expects these terms/acronyms/definitions to change over time. Therefore, the lexicon outlines roles and responsibilities governing the management practices and procedures to develop, delete, and modify the terms, acronyms, and definitions within the lexicon.

U.S. Coast Guard Policy and Planning Lexicon (5-6) Inputs

The Policy and Planning Lexicon will be continually updated based on emerging external and internal policy and doctrine development. A configuration control process will review the need for and consistent definition of new terms. Sources of terms include:

- Departmental Policy and Doctrine

- Joint Planning, Policy and Doctrine Documents

- Federal Mandates (OMB, Presidential Directives, etc.)

- Evolving Coast Guard Policy and Doctrine

U.S. Coast
Guard Policy
and Planning
Lexicon (5-6)
Outputs

A consistent, up-to-date lexicon of abbreviations and terminology to use in
the development of Coast Guard policy and planning documents will be
maintained within this publication.

APPENDICES:

APPENDIX A.   GLOSSARY

A listing of acronyms used in this publication and their definitions is contained in **Appendix A.1: Acronyms.** Terms and definitions used within the scope of this document are provided in **Appendix A.2: Glossary.** A full listing of all terminology is contained in a separate document – Pub 5-6: U.S. Coast Guard Planning Lexicon. A list of references used in the development of this publication is provided in **Appendix A.3: References.**

A.1   Acronyms

Acronym	**Definition**
ACCP	Authorities, Capabilities, Competencies, and Partnerships
AOR	Area of Responsibility
C4ISR	Command, Control, Communications, Computers, Intelligence, Sensors, and Reconnaissance
CBP	Customs and Border Protection
CFR	U.S. Code of Federal Regulations
CGMS	Coast Guard Maritime Strategy
DHS	Department of Homeland Security
DoD	Department of Defense
ELA	Enterprise Leadership Architecture
FEMA	Federal Emergency Management Agency
FYHSP	Future Year Homeland Security Program
GAO	Government Accountability Office
GPRA	Government Performance Results Act of 1993
ICE	Immigration and Customs Enforcement
ICS	Incident Command System
JOPES	Joint Operation Planning and Execution System
NIMS	National Incident Management System

Acronym	**Definition**
OMB	Office of Management and Budget
OPLAN	Operations Plan
OPORD	Operations Order
PART	Program Assessment Rating Tool
ROI	Return on Investment
SOPP	Standard Operational Planning Process
SUPORD	Support Order
SUPPLAN	Support Plan
UPLM	Unified Performance Logic Mode

A.2   Terms

Term	Definition
Activity	A unit of work with a beginning and an end that leads to an output. (Outputs of activities influence outcomes.)
Area Contingency Plan	The plan prepared by the Area Committee which, when implemented, shall be adequate to describe the operational and physical measures, exercises, command and control structure, and other elements to be taken at all MARSEC levels, and in response to transportation security incidents and other events. It must be consistent with the National Maritime Transportation Security Plan and the National Transportation Security Plan (33 CFR 103.500).
Campaign Plan	A long term perspective (15-20 year outlook) aimed at articulating and accomplishing strategic and operational objectives. Campaign Plans includes approaches, concept of operations, and implementation actions to phase in capability and operational execution.
Campaign Planning	A systematic process of defining a strategy or direction accomplished by assessing progress towards meeting strategic goals, (e.g., effectiveness, efficiency, quality) considering alternatives, examining assumptions, developing a common understanding of the current and projected situation, and determining an appropriate course of action to achieve performance targets.
Capability	The ability of a resource to be used to execute a specified course of action to complete an activity.
Command and Control (C2)	The exercise of authority and direction by a properly designated commander over assigned and attached resources in the accomplishment of the mission. Command and control functions are performed through an arrangement of personnel, equipment, communications, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling resources and operations in the accomplishment of the mission.
Contingency Planning	A deliberate planning process that prepares for a contingency with the intent of preventing, protecting against, responding to, and recovering from negative impacts imposed by a contingency.
Department of Homeland Security (DHS) Strategic Plan	Outlines the approach to implement the National Strategy to secure the United States from terrorist threats and attacks, and prepare our country by building up capacity to respond if either occurs. It provides the frame of reference in which we will set priorities and focus our operations.

Term	**Definition**
Doctrine	Fundamental principles and officially sanctioned beliefs guiding the Coast Guard in support of national objectives. Doctrine is authoritative but not directive, requires judgment in application, and provides decision makers and personnel a standard frame of reference.
Enterprise Leadership Architecture (ELA)	Describes the integrated systems and methodologies used to identify and describe how to make Coast Guard decision-making and reporting more systematic, transparent, aligned, and results-focused at every level of command.
Exercise	A military maneuver or simulated operation involving planning, preparation, and execution of a contingency or proposed plan.
Forces	Single or multiple platforms, people, and/or equipment.
Goals	The broad purposes toward which activities, processes, and systems are directed. Goals can serve many purposes, including clarifying strategic objectives and action plans to indicate how success will be measured; fostering teamwork by focusing on a common end; encouraging "out-of-the-box" thinking to achieve a stretch goal; and providing a basis for measuring and accelerating progress.
Guiding Principles	Overarching considerations that apply to the full spectrum of strategic and supporting objectives and standard ties to the Coast Guard's world of work and desired end state.
Incident Command System (ICS)	A standardized on-scene emergency management construct specifically designed to provide the combination of facilities, equipment, personnel, procedures, and communications operating with a common organizational structure, to aid in the management of resources during incidents.
Intelligence	The product resulting from the collection, processing, integration, analysis, evaluation, and interpretation of available information of potential value.
Joint	Connotes activities, operations, organizations, etc., in which elements of two or more Military Departments participate.

Term	Definition
Joint Operation Planning	Planning activities of associated joint military operations by combatant commanders and their subordinate joint force commanders in response to contingencies and crises. Joint operation planning includes planning for the mobilization, deployment, employment, sustainment, redeployment, and demobilization of joint forces.
Joint Operation Planning and Execution System (JOPES)	A system of joint policies, procedures, and reporting structures, supported by communications and computer systems, that is used by the joint planning and execution community to monitor, plan, and execute mobilization, deployment, employment, sustainment, redeployment, and demobilization activities associated with joint operations.
Joint Operations	A general term to describe military actions conducted by joint forces, or by Service forces in relationships (e.g., support, coordinating authority), which, of themselves, do not establish joint forces.
Logistics	Encompasses all the activities associated with design and development, acquisition, storage, movement, distribution, maintenance, evacuation, and disposition of materiel; movement, evacuation, and hospitalization of personnel; acquisition or construction, maintenance, operation, and disposition of facilities; and acquisition or furnishing of services. The overall objective of logistics is to provide the right capability in the right place, at the right time, at the right cost.
Mission	A broad statement describing the Coast Guard's roles and responsibilities and the desired long-term end state. Typically, an enduring statement of purpose for the organization as defined by statute or executive directive.
Mission Execution	Mission Execution encompasses both operations and support activities and is the Full Spectrum of Intent to Action that yields Coast Guard Service Delivery.
	• Intent guides Performance, focuses Operations, defines Readiness, and requires Support.
	• Support produces Readiness, enables Operations, yields Performance, and delivers Intent.
	• Effective Resource Management is threaded throughout.
Mission Outcomes	The public benefits the Coast Guard seeks to achieve or influence through mission execution.

Term	Definition
Mission-Program	One of the 11 legislatively mandated missions defined in Section 888 of the Homeland Security Act of 2002.
Mission Requirements	Operations necessary to achieve mission outcomes.
Objective	The clearly defined, decisive, and attainable goal toward which every operation is directed. Objectives are time-phased, measurable accomplishments required to implement a strategy or achieve a goal and identify resource requirements.
Operation	(1) A military action or the carrying out of a strategic, operational, tactical, service, training, or administrative military mission. (2) The process of carrying on combat, including movement, supply, attack, defense, and maneuvers needed to gain the objectives of any battle or campaign.
Operations Plan (OPLAN)	A complete and detailed plan for the conduct of military operations containing a full description of the concept of operations, all annexes applicable to the plan, and time-phased force and deployment data. It identifies the specific forces, functional support, and resources required to execute the plan. OPLANS provide standard operating guidance that directs subordinate commanders in the methods and means to comply with an approved course of action that has enduring applicability over time.
Operational Commander	The officer vested with authority, either directly or by delegation, to perform those functions of command over subordinate forces involving the composition of subordinate forces, the assignment of tasks, the designation of objectives, and the authoritative direction necessary to accomplish the mission.
Operational Control	Command authority that may be exercised by commanders at any echelon at or below the level of combatant command. Operational control is inherent in combatant command (command authority) and may be delegated within the command. The authority to perform those functions of command over subordinate forces involving organizing and employing commands and forces, assigning tasks, designating objectives, and giving authoritative direction necessary to accomplish the mission. Includes authoritative direction over all aspects of military operations and joint training necessary to accomplish missions assigned to the command. Normally provides full authority to organize commands and forces and to employ those forces as the commander in operational control considers necessary to accomplish assigned missions. It does not, in and of itself, include authoritative direction for logistics or matters of administration, discipline, internal organization, or unit training.

Term	Definition
Operational Order (OPORD)	A directive issued by a commander to subordinate commanders for the purpose of coordinating execution of an operation. An OPORD is generally focused on a subset of missions and/or the AOR and is limited in time and scope. It describes how response operations will be conducted based on available resources.
Outcomes	The positive benefits that an organization seeks to achieve or influence through operational or support activities.
Output	The product or service, expressed as a noun, that is the immediate result of an activity. Outputs can be tangible or intangible and are process oriented or a means to an end. Outputs influence outcomes.
Performance Goal	A target level of performance over time expressed as a tangible, measurable objective, against which actual achievement can be compared. A performance goal comprises a performance measure with targets and time frames.
Performance Plan	Explains to interested parties how the Coast Guard intends to translate the resources it has, and those it is requesting, into performance outcomes for the specific budget year concerned. Establishes measurable operational performance goals aligned with our strategic goals. Submission required by the Government Performance Results Act (GPRA).
Planning	The continuous process of assessing the future, setting goals and objectives, developing courses of action to reach them, identifying resource requirements, evaluating performance, and modifying the courses of action as required.
Planning & Decision-Making Framework	Integrates Assessment & Learning within the planning cycle and provides a common approach for all types of Coast Guard planning. Direction, Execution, and Adaptation are sequential steps in this cycle.
Planning Assessment	Provides the subordinate commanders' view of the impact of proposed direction on their ability to meet performance goals within the subordinate's AOR and can be used to recommend changes to the proposed direction.
Platform	A specific asset such as an aircraft, cutter, boat, or separately identified organizational entity provided with resources for the performance of a prescribed mission.
Policy	Policy is restrictive or prescriptive direction issued by an accountable person in authority to accomplish a planned outcome within a specific time frame.

Term	Definition
Process	Typically involves linked activities with the purpose of producing a product or service for a customer (user) within or outside the organization. Generally, processes involve combinations of people, machines, tools, techniques, and materials in a systematic series of steps or actions. Process may prescribe what must be done, possibly including a preferred or expected sequence. In knowledge work such as strategic planning, research, development, and analysis, process implies general understandings regarding competent performance such as timing, options to be included, evaluation, and reporting. Sequences might arise as part of these understandings.
Program	A system of projects, services, and/or resources that provides policy and guidance in support of internal or external customers. A major ongoing endeavor that fulfills statutory or executive requirements and which is defined in terms of the principal actions required to achieve a significant end objective
Program Assessment Rating Tool (PART)	The PART was developed to assess and improve program performance so that the federal government can achieve better results. A PART review helps identify a program's strengths and weaknesses to inform funding and management decisions aimed at making the program more effective and efficient. The PART therefore looks at all factors that affect and reflect program performance including program purpose and design; performance measurement, evaluations, and strategic planning; program management; and program results. Because the PART includes a consistent series of analytical questions, it allows programs to show improvements over time, and allows comparisons between similar programs.
Readiness	The state of match between validated requirements and implementing capabilities (authorities, physical capabilities, competencies, and partnerships). Readiness levels are monitored by the current status less the consumption rate plus the replenishment rate.
Return on Investment (ROI)	Ensuring operational outcomes (risk mitigation) are balanced with force requirements (readiness) within constraints of available resources.
Risk	An expected loss over time. The likelihood of injury, harm, damage, or loss multiplied by its potential magnitude. Risk is calculated as the product of Threat, Vulnerability, and Consequence.

Term	Definition
Risk Management	The systematic process of developing, evaluating, ranking, and selecting potential interventions to reduce risk and most efficiently achieve our goals. The process of executing interventions (Coast Guard activities) to minimize the likelihood and/or the consequences of adverse events to most efficiently and effectively achieve our goals.
Risk Mitigation	Performing the essential activities to reduce the probability of an incident occurring that has detrimental impact on the public.
Role	Overarching characterization of the functions and activities an organization performs to achieve its strategic goals.
Standard Operational Planning Process (SOPP)	Effective translation of strategic intent to mission outcomes through mission guidance, priorities, and resource allocation with constructive feedback distributed throughout the chain of command to support Coast Guard operations across all missions.
Strategic Goal	The Coast Guard's broad, overarching goals as specified in the U.S. Coast Guard Strategy for Maritime Safety, Security, and Stewardship, which describes what the Coast Guard intends to achieve or influence as an organization.
Strategic Plan	The Coast Guard's Strategic Plan is contained in the U.S. Coast Guard Strategy for Maritime Safety, Security, and Stewardship. This document establishes the Coast Guard's mission, vision, and strategic goals, as well as strategies for achieving the goals. It provides focus and alignment for the development of subordinate plans.
Strategic Planning	The continuous and systematic process by which Coast Guard leadership makes decisions about what it hopes to accomplish in the future, defines its long-range objectives, identifies quantifiable goals, develops strategies and activities to reach these objectives and goals, and allocates resources to carry out the strategies.
Unified Performance Logic Model (UPLM)	A "Cognitive Mapping" tool that captures the relationships between capabilities, requirements, activities, outputs and goals/outcomes achieved. The model clarifies the relationship between operational performance (risk management) and support (readiness management). It has both descriptive and prescriptive applications to facilitate and support causal analysis, organizational and performance metrics alignment, and a standardized, disciplined planning and management lexicon.

Term	Definition
Unity of Effort	Encompasses the concept that all parties to a mission should be focused upon the same agreed-to objectives and should work together to achieve them.
Vision	The desired future state of an organization. Vision describes where the organization is headed, what it intends to be, or how it wishes to be perceived. It is normally articulated in a Vision Statement that is recognized by the entire organization. It aligns an organization so that everyone can work in the same direction.

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APPENDIX B. PLANNING PRODUCTS

Planning Products

Table B-1: Key Planning Products provides key products associated with each of the three processes of the Planning Architecture discussed in **Chapter Four: Planning Processes and Taxonomy of Plans** and shown in **Figure 6: Policy and Planning Architecture.**

Table B-1: Key Planning Products

Planning Process	Planning Products	Supporting Product	Description
	Evergreen	Evergreen Process	Evergreen institutes a continuous process of strategic planning and strategic renewal, based upon the calendar of each Commandant's tenure. This allows the Coast Guard to maintain strategic continuity as it prepares for large changes in its operating environment. It addresses not only the crises of the moment but also the less urgent, but potentially more important, issues over the horizon.
		Commandant's Strategic Intent	The personal statement of critical priorities and agenda items that the Commandant intends to pursue during their tenure.
Strategic & Budgetary Planning	Strategy	The Coast Guard Strategy for Maritime Safety, Security, and Stewardship	This document provides the framework and strategic intent to guide Coast Guard actions to achieve the Coast Guard vision to remain always ready for all hazards and all threats. It is built on the foundation of the Evergreen strategic planning process and is fully aligned with the National Strategy for Maritime Security and the goals and priorities of the DHS.
	Strategic Budget	Budget in Brief;	This document presents an overview of the budget and how it will serve to meet Coast Guard enterprise-wide goals and objectives as defined in the Coast Guard Strategy for Maritime Safety, Security, and Stewardship.
		Integrated Strategic Investment Plan	The Integrated Strategic Investment Plan captures the long-term resource requirements derived from requirements identified within strategic plans. The Integrated Strategic Investment Plan serves as guidance for continuing the anticipated FYHSP submissions for future Commandants.

Planning Process	Planning Products	Supporting Product	Description
		Resource Allocation Plan	A plan submitted to DHS that describes how resources (in terms of funding, assets, and/or effort) are distributed to achieve Coast Guard goals.
Strategic & Budgetary Planning	Strategic Budget	Performance Plan	Explains to the Administration and Congress how the Coast Guard intends to translate the resources it has, and those it is requesting, into performance outcomes for the specific budget year concerned. Establishes measurable operational performance goals aligned with our strategic goals. Submission required by the Government Performance Results Act (GPRA). GPRA requires that each agency: • Establish an annual performance plan that covers each investment activity identified in its budget and establishes performance goals to define the performance level of activities. • Express such goals in an objective, quantifiable, and measurable form. • Establish performance measures or indicators to be used in measuring or assessing the relevant service levels, outcomes or outputs and comparing actual investment results with the established performance goals. • Describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet performance goals. • Describe the means to be used to verify and validate measured values. • Provide a basis for comparing actual investment results with the established performance goal.
	Campaign Plans	Campaign Plan	A long term perspective (15-20 year outlook) aimed at articulating and accomplishing strategic and operational objectives. Campaign Plans includes approaches, concept of operations, and implementation actions to phase in capability and operational execution.
		Capabilities Plan	Comprehensive plans for the Coast Guard's major capital assets: workforce, systems, and information (includes research and development). Includes the Agency Capital Plan, 5 Year IT Plan, etc.
	Logistic Plans	Capital Investment Plan	All capital requirements for new aircraft, boats, cutters, shore facilities, and C3/IRM systems are prioritized in the Capital Investment Plan. This 1-page spreadsheet is for DHS and OMB stages.
Operational & Contingency Planning	Planning Direction	Planning Direction	Strategic Planning Direction (Headquarters) and Operational Planning Direction (Areas and Districts) are provided to subordinate commanders to follow in carrying out Coast Guard missions.
		Resource Apportionment	Resource Apportionment provides detailed guidance for operational planning and employment policy of operational assets for use by subordinate commanders.

Planning Products

Planning Process	Planning Products	Supporting Product	Description
		Contingency Plan	A plan for major contingencies that can reasonably be anticipated.
	Operational Plans	Continuity of Operations Plan (COOP)	The capability of a Coast Guard Component to continue mission-essential functions without unacceptable interruption. COOP planning includes preparatory measures, response actions, and restoration activities planned or taken to ensure continuation of these functions to maintain military effectiveness, readiness, and survivability.
Operational & Contingency Planning (cont.)		Operational Plans	OPLANS provide standard operating guidance that directs subordinate commanders regarding the methods and means to comply with OPORDS and approved courses of action.
		Planning Assessment	Planning Assessments inform and influence the Planning Direction by providing the subordinate commanders' view of the impact of proposed direction on their ability to meet performance goals within their AOR.
	Operational Assessments	After-Action Report	After-Action Reports are post-operation reporting of activity, accomplishments, problem areas, and recommendations.
		Operational Performance Assessment Report	Operational Performance Assessment Reports are a summary assessment of operations and mission performance, evaluation of attainment of planned objectives, and recommendations to improve operational planning and effectiveness.
	Planning Direction	Planning Direction	Strategic Planning Direction and Support Planning Direction are provided to subordinate commanders.
		Resource Apportionment	Resource Apportionment provides detailed guidance for support planning and employment policy of support assets for use by subordinate commanders.
		Support Plans	Support Plans provide standard support guidance that directs subordinate commanders in the methods and means to comply with an approved course of action.
Readiness & Logistics Planning		Planning Assessment	Planning Assessments inform and influence the Planning Direction by providing the subordinate commanders' view of the impact of proposed direction on their ability to meet performance goals within their AOR.
	Support Assessments	After-Action Report	After-Action Reports are post-operation reporting of activity, accomplishments, problem areas, and recommendations.
		Support Performance Assessment Report	Support Performance Assessment Reports are a summary assessment of support, evaluation of attainment of planned objectives, and recommendations to improve support planning and effectiveness.

Planning Products

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APPENDIX C. THE ENTERPRISE LEADERSHIP ARCHITECTURE SUMMARY

Enterprise Leadership Architecture (ELA) is a broad-scope doctrinal-type description of the Coast Guard's future strategic decision-making framework. The ELA integrates the Mission-Program Performance Model with several decision support systems and planning at all organizational levels of the Coast Guard. The ELA enables the transparent allocation/ reallocation of resources within the Coast Guard's fiscal base as required to improve performance against stated goals. More importantly, since Coast Guard commanders and commanding officers are already making risk- and readiness-based decisions on the basis of proven experience, the ELA will enable them to more systematically evaluate decision information and more objectively communicate and justify decisions. The ELA also supports annual budget development and prioritization and the report and account for public resources consumed in the performance of public services.

The Coast Guard Enterprise Leadership Architecture (ELA) was created in response to Congressional and GAO-expressed concerns that the Coast Guard needed a mission balancing strategy, particularly to ensure that non-homeland security missions were not overlooked or underemphasized in the post-9/11 environment. The ELA describes "current state" efforts to operate, allocate, and account for resources and it identifies and describes the next steps to make Coast Guard decision-making more systematic, transparent, and goal-focused across the enterprise. The integrated systems and methodologies that accomplish this purpose are known collectively as the Enterprise Leadership Architecture (ELA).

Central components of the ELA include:

- **Mission-Program Performance Model**

- **Decision Support Systems (systematic and integrated)**

- **Planning**

Planning balances mission-program performance across missions and strategic goals. Decision Support Systems inform the Mission-Program Performance Model and support data collection and analysis to improve measurement of efficiency, effectiveness and cost-effectiveness. The Mission-Program Performance Model relates activities to outcomes.

Purposes of these three components include strategic planning, budgeting, performance measurement, analysis, learning, and information sharing.

The ELA supports decision-making at every level of the organization—Strategic, Operational and Tactical. At the Headquarters level, the ELA informs strategy development and budgeting. At the Operational and Tactical levels, it identifies the readiness of units and supports the allocation of resources to address instances of high threat and reduce public risk.
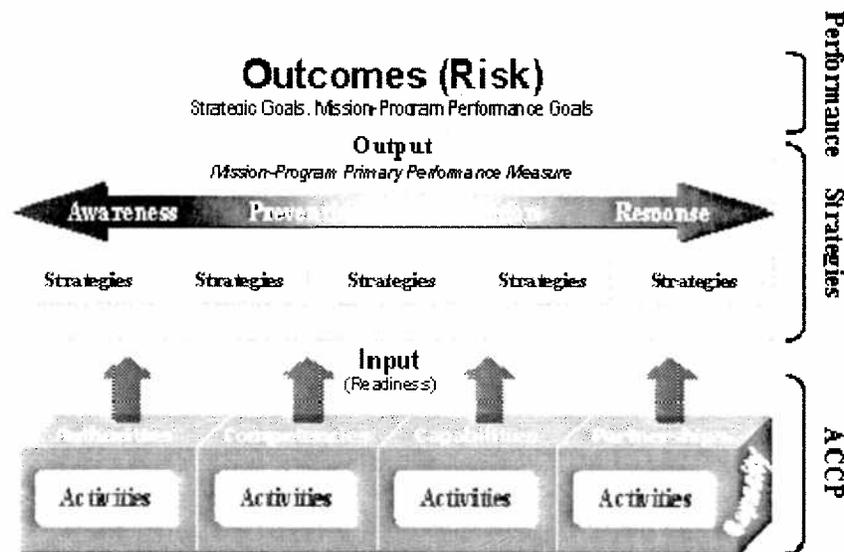
Figure C-1: The Mission-Program Performance Model

The Mission-Program Performance Model provides an executive view of the relationship between inputs, outputs and outcomes. The model is based upon a complex effort to build a Unified Performance Logic Model (UPLM) that identifies and aligns Coast Guard work activities, outputs (products and services), outcomes, and goals. The model gives transparency to relationships and identity to readiness and risk-mitigation (mission-program) activities and strategies. It considers how strategies influence the Service's long-term performance results in the eleven mission-programs and five Coast Guard strategic goals.

The top of the model considers how Coast Guard outputs, activities and strategies relate to readiness, resources, and the Service's strategic goals. Accomplishing Coast Guard goals effectively reduces public risk in the maritime domain.

The middle section of the Mission-Program Performance Model addresses the strategies particular to each U.S. Coast Guard mission-program as they align to the Department of Homeland Security's strategic goals and respective objectives. Mission-program strategies reflect response to past results, leading indicators of future changes and an understanding of the cause-effect relationship between resources, activities, and outcomes. Deliberate strategy development is vital to attain desired performance outcomes in each mission-program.

The bottom section of the model includes the four elements of readiness as the model's input categories: Authorities, Capabilities, Competencies, and Partnerships (ACCP). ACCP captures the full spectrum of Coast Guard performance readiness. They are interdependent and a shortfall in any one diminishes organizational readiness to meet mission-program performance needs. Together, these four elements of readiness enable the Coast Guard to do the work (perform activities) that reduces maritime risk, with an eye to achieving Coast Guard Strategic Goals.

Decision Support Systems are data collection, analysis, and reporting systems that enable more systematic, transparent, and goal- and strategy-focused leadership and management of the Coast Guard. Many components currently used in corporate and public governance are being developed for Coast Guard use. The following eight decision support systems are integrated systems that enable systematic, transparent, and goal-focused leadership in the Coast Guard.

Activity Based Costing (ABC) measures the costs of work activities and the products and services that satisfy customers, influence outcomes and achieve goals. ABC makes the full costs of activities, products, and services transparent; and enables better-informed decision-making on the basis of efficiency (e.g. cost/unit, cycle time) and cost-effectiveness (return on investment). The purpose of applying activity-based costing and management tools jointly with risk-based decision-making is to show the relationship between changes in activities (and resources) affect changes in risk over time.

Mission Cost Model (MCM) is used to account for and report annual costs incurred by each mission area. It is an asset-based (cutter, aircraft, small boat) model that collects quarterly mission-hour data, multiplies it by standard costs, and assigns the total costs to missions, programs and, ultimately, strategic goals. With addition and integration of activity based costing information, the MCM will become more systematic at accruing measured costs and thereby increase the accuracy, timeliness, and relevance of cost information.

Unified Performance Logic Model (UPLM) clarifies the relationship between operational performance (risk management) and support (readiness management). It demonstrates alignment between Coast Guard work activities, outputs (products and services) that are produced, and the goals, or purposes, for which the work is performed. The UPLM shows how activities convert resources into readiness (ACCP) and how readiness is consumed to influence public outcomes across the performance spectrum (awareness, prevention, protection, response, and recovery).

Risk-Based Management System will provide risk information to the Mission-Program Performance Model, allowing decision makers a better understanding of high risk areas within each strategic goal and mission program, leading to better resource prioritization and allocation decisions. Risk and resource information will inform decision-makers and support planning, budgeting, and management of the Coast Guard's fiscal base in the context of long-term strategies and goals.

Readiness Management System (RMS) will provide data to allow greater understanding of readiness in Competencies (people, training) and Capabilities (equipment, supply, and infrastructure). The ACCP portion of the Mission-Program Performance Model, is also the readiness portion of the UPLM. RMS will inform this portion of the model and enable the Coast Guard to improve the way it measures, monitors, and manages readiness.

Mission-Oriented Information Systems Architecture (MOIS) is a strategic resource that will define the agency's missions, the information used in carrying out the missions, and the technology and systems necessary to support the missions. MOIS is a fundamental resource for agency planning. It will help determine if new IT projects support agency goals and missions. MOIS will also assist in prioritizing Coast Guard investments tied to the development of new information technology (IT) systems and the replacement and support of existing IT systems.

Coast Guard Modeling and Simulation capability supports budget justification, force structure, doctrine development, and analytic studies. Modeling and simulation in all mission-program areas will improve parametric analysis of Coast Guard operational and support dynamics. Modeling and simulation will assist in problem identification before problems occur, solution design before they are needed, and the effects of decisions before they are made.

Deepwater Maritime Operational Effectiveness Simulation (DMOES) is a multi-mission discrete event simulation that simulates the core functionality of Coast Guard maritime operations,

including a set of mission demands, environment, assets and facilities, applied decision logic, and decisions developed through the use of scripts and data objects. It is designed to support performance assessment and alternatives analysis.

Planning is the process of drawing a map to the future, with the destination, desired path, and constraints clearly identified. A completed plan is the map and communication piece that connects today with an envisioned future. Planning is key to the ELA and includes Long-Term Planning (Strategic Planning), Capital Planning (Budget Formulation), and Current Planning (Mission Execution).

Strategic Planning (5–25 year outlook). The Coast Guard's Long Term Strategic Planning effort, called the Evergreen Project, is a scenario-based effort to envision the future and systematically prepare for it. Coast Guard leaders visualized a 2025 "future-world" and developed 5 scenarios that are plausible extensions, or outcomes, of globally significant trends in demographics, resource utilization and management, technology, knowledge generation and distribution, economic integration, global instability and conflict, and the challenges of governance. The Evergreen Project is an integral part of the Coast Guard's ELA. It represents a comprehensive approach to creating "continuous strategic renewal" within the Coast Guard.

Strategic Budget Formulation (1–15 year outlook). Capital asset planning applies to human resources, operating assets, shore facilities, and equipment. Successful capital asset planning ensures that an asset is necessary, defines what it will do, describes how it will be acquired, defines life-cycle costs, and confirms that the asset is fulfilling the need for which it was acquired and determines when the asset is no longer desired. The ultimate goal of capital planning is to achieve the maximum return on investment. The Capital Investment Plan is a five-year strategic look at capital planning; it identifies capital investment strategies that are intended to achieve Coast Guard near-term performance goals and long-term strategic goals (outcomes).

The following Coast Guard initiatives are examples of capital asset planning:

- **Future Force.** Combination of initiatives to improve the Coast Guard's Human Resource System's ability to more accurately provide people to operate Coast Guard systems, and to improve the organization's ability to supply the required people.

- **Shore Facility Capital Asset Management (SFCAM).** A top-down initiative that integrates planning, investing, using, and divesting decisions to better align shore facilities with missions.

- **The Integrated Deepwater System (IDS) Program.** A major systems performance-based acquisition designed to recapitalize the Coast Guard's aviation and major cutter fleet with a system of systems.

- **Rescue 21.** An initiative to reduce Coast Guard response time by providing effective communications for maritime distress and on Coast Guard working channels for rescue coordination efforts.

Mission Execution Planning (1–3 year outlook). The current planning and budgeting processes are almost exclusively focused on the small portion of the budget that grows incrementally each year (or the "increment"). Upgraded processes are being developed that will focus on managing the Coast Guard's fiscal "base" as specifically provided for in the President's Management

Agenda (focus on the "base" not the "increment"). Decision making as depicted in the Mission-Program model, will be facilitated by the following elements:

- Unified Performance Logic Model (UPLM)

- Performance Measurement

- Risk Management System and Readiness Management System

- Activity Based Costing

- Department of Homeland Security (DHS) Future Year Homeland Security Program (FYHSP) Planning and Budgeting

The Coast Guard's planning processes, and the plans generated, will continue to be improved to more clearly communicate and increasingly influence budgeting, operating, and investment decisions in the strategic, operational, and capital planning time frames.

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