



COMDTINST 3120.4A
10 Dec 2009

COMMANDANT INSTRUCTION 3120.4A

Subj: COAST GUARD STANDARD OPERATIONAL PLANNING PROCESS/GLOBAL FORCE MANAGEMENT

Ref: (a) Coast Guard Standard Operational Planning/Global Force Management Process Guide, 1 November 2009

1. **PURPOSE.** This Instruction establishes policies, procedures, roles, and responsibilities for the Coast Guard’s Standard Operational Planning Process (SOPP) and Global Force Management (GFM). The Coast Guard shall begin implementing the processes described within this Instruction to affect Fiscal Year 2011-2012 operational planning. SOPP/GFM will initially focus on apportionment of major assets such as cutters, boats, aircraft, and deployable specialized forces (DSF). It will evolve into a fully integrated Coast Guard Global Force Management System capable of managing all resources for apportionment, allocation, and assignment within the Coast Guard and amongst other Agencies and Departments. SOPP/GFM shall achieve the following objectives:
 - a. Standardize operational planning products for use by the Deputy Commandant for Operations (DCO), the Mission Support Organization, Coast Guard Force Readiness Command (FORCECOM), Area Commanders, Districts, Sectors, and other operational commands;
 - b. Establish a Coast Guard Global Force Management process and governance structure including a Global Force Management Board;
 - c. Adapt the SOPP/GFM cycle to address alignment with the DoD GFM process and account for other departmental and interagency requests for Coast Guard forces;
 - d. Translate and communicate strategic intent, through planning guidance and direction, to influence mission execution;

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- e. Measure operational mission performance that informs subsequent strategic, budgetary, readiness, and operational planning efforts; and
 - f. Incorporate risk-informed methods and processes/models at the strategic and operational levels, as they evolve in the Coast Guard, to support establishing planning priorities among missions, performance targets, and force apportionment to better understand and articulate the impacts of shifting resources from one mission to another.
2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Instruction. Internet release is authorized.
 3. DIRECTIVES AFFECTED. Coast Guard Standard Operational Planning Process, COMDTINST 3120.4 is cancelled.
 4. BACKGROUND. Since implementation in FY 2008, SOPP has enabled a systematic, standardized operational planning process that uses assessments to develop and communicate direction, priorities, and resource apportionment throughout the chain of command. The SOPP provides alignment at the Sectors, Districts, Areas, FORCECOM, Mission Support Organization, and DCO. It provides enterprise guidance, while preserving the autonomy of units to conduct operations, as events require. On-scene initiative and decision-making remain key factors in successful Coast Guard operations.
 5. APPLICABILITY AND SCOPE. Operational planning as described in this guide refers to the annual cycle of planning for routine Coast Guard operations and contingency preparedness guidance but does not specifically address strategic, budget, and crisis-action planning. However, the information generated from SOPP/GFM will serve to inform these other planning processes. This Instruction does not address emergent (current year) Requests for Forces (RFF) or Requests for Assistance (RFA). FY+1 and FY+2 RFFs and RFAs are inputs into the SOPP/GFM planning cycle and will be coordinated through the process described in this Instruction.
 6. DISCUSSION. In order to effectively implement the SOPP/GFM, standardized operational planning products have been defined to provide alignment, synchronization, and sequencing throughout the process. Likewise, a standard operational planning calendar aligns, synchronizes, and sequences the development of the core planning products in order to consider status and assessments to develop and communicate direction, priorities, and resource apportionments throughout the chain of command. Ref (a) provides graphic illustrations of the Operational Planning Calendar and Products, and their relationships to one another. Ref (a) is located on the Coast Guard Portal entitled “SOPP/GFM” and will be updated as necessary by DCO (CG-51). Enclosure (1) depicts the general sequencing of SOPP/GFM.
 7. COAST GUARD GLOBAL FORCE MANAGEMENT BOARD (GFMB).
 - a. The Coast Guard GFMB shall be comprised of the following representatives from DCO, Mission Support Organization, FORCECOM, and Area Commands:
 - (1) DCO: CG-53 (Response Policy) and CG-54 (Prevention Policy)

(2) Mission Support: CG-4

(3) PACAREA/FORCECOM: DOG Commander, PAC-3/FC-3, and FC-7

(4) LANTAREA: LANT- 3 and LANT-5

- b. The purpose in having the CG GFMB is to ensure the four main components of a modernized Coast Guard share in the force apportionment, allocation, and assignment decision making process. DCO will act as the agent of the CCG/VCG by providing their strategic enterprise direction and priorities to Mission Support Organization, FORCECOM, and Area Commanders. DCO will facilitate GFMB meetings to maintain an enterprise perspective and ensure that all interests (i.e. operational, training, maintenance) receive equal attention in the decision-making process. Implementation of apportionment decisions and actual scheduling of assets for Coast Guard operations is the primary responsibility of Area Commanders and FORCECOM.
- c. The CG GFMB is authorized to make force apportionment decisions, on behalf of the Coast Guard, for current year, FY+1 and FY+2 operational planning. Force apportionment issues that cannot be resolved at the GFMB will be referred to DCO, Mission Support Organization, FORCECOM, and Area Commanders for resolution. If disagreement still remains, DCO will forward the issue to the Vice Commandant for adjudication.
- d. The Coast Guard GFMB Working Group is comprised of staff-level action officers from DCO, Mission Support Organization, FORCECOM, and Area Commanders. The Working Group shall meet at the Global Force Management Workshops and as necessary to review OPARs and force apportionment issues for current year, FY+1, and FY+2 operational planning.

8. SOPP/GFM PROCEDURE.

- a. Planning Process Overview. The SOPP/GFM process will effectively translate strategic intent to mission execution through mission guidance and direction, priorities, performance targets, and resource apportionment and allocation with effective feedback, including operational status and assessment of desired outputs, outcomes, and effects. Four planning and execution stages, and two force management workshops are part of the process:

(1) Initial Planning Stage (October – January). This stage focuses on understanding past and current performance as well as key drivers and trends that may affect future performance. This forms the basis for development of guidance and direction across all missions by collecting mission-program priorities and data, soliciting operational and intelligence assessments, vetting requirements, and monitoring historical and current-year mission performance. Intelligence assessments include the National Maritime Terrorism Threat Assessment and Intelligence Preparations of the Maritime Domain (IPMDs). The primary operational planning products produced during this stage are the DCO Planning Guidance and Planning Assessments from Mission Support Organization, FORCECOM, Area Commanders, and the Districts.

(2) Out-Year Apportionment Stage (February – June). This stage focuses on the GFMB's review of current year force apportionment and the development of the Coast Guard's force

apportionment for FY+1 and FY+2. The GFMB will also begin to look at apportionment issues for out-years beyond FY+2.

- (a) In early March, the GFMB Working Group will meet at the force management workshop to review the inputs (e.g. DCO Planning Guidance, Planning Assessments) from each of their commands. They will also review the FY+1 DEPORD received from the DoD GFMB meeting in mid-February (actual date may vary from year to year) and assess whether the Coast Guard will be able to provide a similar level of resource support in FY+2. The Working Group will then review other interagency requests and recommend an out-year force apportionment solution to the CG GFMB.
 - (b) In April, the GFMB will forward their out-year apportionment decision to DCO, Mission Support Organization, FORCECOM, and Area Commanders for their concurrence and subsequently inform the Leadership Council. The GFMB will also make any necessary updates to the strategic guidance outlined in the DCO Planning Guidance. When the GFMB forwards this document to the DCO for signature, it will be titled the Strategic Planning Direction (SPD). The out-year apportionment provided in the SPD will allow the Coast Guard to inform the next DoD GFMB meeting on what level of resource the Coast Guard can provide to DoD in FY+2 and provide the basis for Area Commanders' FY+1 Operational Planning Direction (OPD).
 - (c) Area and District commanders will employ guidance and apportionment provided in the SPD to develop their own operational and contingency preparedness planning direction, and force apportionment that is adaptable to the threats and risks within their AOR.
 - (d) The primary operational planning products produced during this stage are the SPD and the GFMB out-year planning decisions.
- (3) Plan Promulgation Stage (June – September). This stage focuses on promulgation of Area and District OPDs and updating of operational plans (OPLANs), to guide mission execution. This includes promulgation of guidance, priorities, and resource apportionment and allocation supported by feedback during plan promulgation. The GFMB Working Group will meet during this stage at the force management workshop to finalize FY+1 apportionment for the Area Commanders' OPD.
- (4) Operational Execution and Reporting Stage (October – September). This stage focuses on execution of OPLANs and development of performance assessments to inform the chain of command and to support OPLAN adaptation. The primary operational planning products used during this stage are the OPLANs and Operational Performance Assessment Reports (OPARs). The intent of the OPAR is for operational commanders to inform pertinent stakeholders about their resource utilization and mission performance. OPARs also identify operational gaps and provide a forecast of operational requirements for the next four quarters. Areas shall submit quarterly OPARs to DCO and Districts shall submit OPARs to their respective Area Commander.

9. SOPP/GFM PRODUCT OVERVIEW.

- a. DCO Planning Guidance. The DCO Planning Guidance initiates the FY+1 and FY+2 planning cycle and outlines:
- (1) Strategic-level policies and priorities for FY+1 and FY+2;
 - (2) Areas of operational emphasis and missions/activities that Coast Guard is willing to accept risk;
 - (3) Coast Guard resource commitments (e.g. COCOM support);
 - (4) Operating capacities of assets; and
 - (5) Contingency Preparedness Planning factors (e.g. exercise commitments).
- b. Planning Assessment. When determining the Coast Guard's force apportionment, the GFMB shall consider planning assessments from DCO, Mission Support Organization, FORCECOM, and Area Commanders:
- (1) DCO shall provide the DCO Strategic Plan and Mission Performance Plans.
 - (2) The Mission Support Organization planning assessment shall focus on scheduled maintenance of existing assets and estimates of new asset acquisitions for FY+1 and FY+2.
 - (3) FORCECOM's planning assessment shall focus on asset availabilities, training demands, and mission support requirements for FY+1 and FY+2.
 - (4) Area Commander planning assessments shall focus on changing operational risk environment and operational requirements for FY+1 and FY+2. The planning assessments should also incorporate intelligence assessments of threats, potential threats, trends, and adversary activities.
 - (5) Districts shall submit (to Area Commanders) planning assessments that focus on the changing operational and readiness environment within their area of operations. The planning assessments should also incorporate information from District and Sector IPMDs.
- c. Strategic Planning Direction (SPD). Through the SPD, the CG GFMB will document out-year force apportionment, update the strategic guidance outlined in the DCO Planning Guidance, and provide detailed guidance for operational planning and employment of operational assets for FY+1. The SPD shall be the primary mechanism for providing operational guidance and direction, priorities, and apportioning resources across all missions to Area Commanders. The SPD shall not restrict operational commanders' ability to respond to immediate operational threats. The SPD shall also outline out-year force apportionment and strategic-level priorities for FY+2.
- d. Operational Planning Direction (OPD). The OPD provides planning direction for subordinate commanders to follow when carrying out Coast Guard missions in FY+1. The OPD applies to

“routine” operations and not contingency response. It shall assist operational commanders in making resource apportionment decisions in a manner that helps the Coast Guard achieve national goals. The OPD is the primary mechanism for providing guidance and direction, priorities, and apportioning resources across all missions to subordinate commanders. Area Commanders shall issue an OPD to their District Commanders. District Commanders shall issue an OPD to their Sector/Air Station Commanders.

- e. Operational Performance Assessment Report (OPAR). The OPAR is a transparent feedback report that provides a summary assessment of operations, mission performance, resources expended to include capability gaps identified, and recommendations to improve operational planning and effectiveness. The OPAR provides quantitative and qualitative information on activities and operations across the AOR. Operational and tactical commanders can use this information to evaluate past mission performance and forecast future mission performance, challenges, capabilities, readiness, and preparedness issues.

10. SOPP/GFM WORKSHOPS. The purpose of the SOPP/GFM workshops is for the GFMB Working Group to review OPARs, readiness issues, current year force apportionment, FY+1 and FY+2 apportionments, and other operational planning factors. The workshops also establish clear expectations and a complete understanding of the SOPP/GFM process, products, roles, and responsibilities. Workshops will be held as outlined in the SOPP Guide.

11. ROLES AND RESPONSIBILITIES. This Instruction requires all Coast Guard organizations involved in operational planning related to guidance, prioritization, resource apportionment, monitoring, and performance assessment to employ the Coast Guard SOPP and adhere to the roles and requirements defined therein.

- a. Deputy Commandant of Operations (DCO) is responsible for:

- (1) Managing the policy and program management aspects of SOPP/GFM, and facilitating Headquarters coordination;
- (2) Developing and maintaining the DCO 5+ Year Strategic Plan and Mission Performance Plans;
- (3) Developing and promulgating the DCO Planning Guidance and subsequent Strategic Planning Direction;
- (4) Assigning members to the CG GFMB and CG GFMB Working Group;
- (5) Convening CG GFM workshops;
- (6) Maintaining and updating supporting materials including the operational planning calendar, products, and the Coast Guard Standard Operational Planning/Global Force Management Process Guide to effectively implement the requirements of this directive;
- (7) Addressing alignment of the SOPP/GFM with the DoD Global Force Management process and other departmental and interagency force management processes;

- (8) Providing Action Officer and Planner Level Coast Guard support to the DoD GFMB (CG-532); and
- (9) Facilitating the establishment of performance outcome measures for the Coast Guard.
- b. The Mission Support Organization is responsible for:
 - (1) Supporting operational planning and execution by sustaining operational capabilities and readiness;
 - (2) Developing and maintaining mission support policy, guidance, and priorities to enable and enhance operational performance;
 - (3) Providing mission support inputs to development of operational planning products and complementary support guidance;
 - (4) Performing and monitoring performance assessments for capability and readiness improvement and contributions;
 - (5) Facilitating the establishment of maintenance and readiness measures for the Coast Guard; and
 - (6) Submitting an annual planning assessment to the CG GFMB.
- c. Assistant Commandant for Resources (CG-8) is responsible for:
 - (1) Participating in the planning process and facilitating use of out-year apportionment issues to inform future resource priorities.
- d. Assistant Commandant for Intelligence and Criminal Investigations (CG-2) is responsible for:
 - (1) Developing and maintaining information and intelligence policy, guidance, and priorities to enable and enhance operational performance;
 - (2) Supporting and contributing to operational planning processes;
 - (3) Providing information and intelligence assessments and inputs to development of operational planning products; and
 - (4) Conducting and monitoring performance assessments for intelligence and information improvements and contributions.
- e. Commander, Force Readiness Command (FORCECOM) is responsible for:
 - (1) Participating actively in and contributing to operational planning processes;
 - (2) Identifying Coast Guard forces to fill out year strategic commitments;

- (3) Apportioning Coast Guard assets to meet Areas' capability requirements for the current FY, FY+1, and FY+2;
 - (4) Maintaining readiness of Deployable Specialized Forces and Maritime Patrol Forces;
 - (5) Maintaining effective liaison and relationships with Base Support Units;
 - (6) Maintaining effective liaison and providing capability and readiness inputs to Area Commanders;
 - (7) Co-executing the GFM Workshops with Areas;
 - (8) Submitting an annual planning assessment to the CG GFMB; and
 - (9) Coordinating and considering planning inputs and operational impacts from major cutters.
- f. Area Commanders are responsible for:
- (1) Executing the operational planning process and facilitating command coordination (planning staffs);
 - (2) Developing command-tailored mission-program direction, priorities, and resource apportionment;
 - (3) Executing OPLANs consistent with provided operational guidance and application of on-scene initiative;
 - (4) Developing and promulgating an Operational Planning Direction (OPD) for District Commanders;
 - (5) Consolidating and reporting, to appropriate stakeholders, operational status for monitoring and measuring mission execution and operational assessments for adaptation of OPLANs to close performance gaps;
 - (6) Maintaining effective liaison and relationships with the Department of Homeland Security (DHS), Department of Defense (DoD), and interagency counterparts in order to ensure OPLANs and force requests are consistent with broader operational partnerships;
 - (7) Maintaining effective liaison and soliciting capability and readiness inputs from FORCECOM;
 - (8) Producing an IPMD that analyzes and assesses threats, potential threats, trends, and adversary activities to exploit the maritime domain;
 - (9) Co-executing the GFM Workshops with FORCECOM;
 - (10) Consolidating and reporting operational status and assessments in support of operational planning;

- (11) Establishing performance output measures for Districts to report in quarterly OPARs;
- (12) Submitting an annual planning assessment to CG GFMB; and
- (13) Submitting quarterly OPARs to DCO.

g. District Commanders are responsible for:

- (1) Participating actively in and contributing to operational planning processes;
- (2) Maintaining effective liaison and relationships with DHS, DoD, and interagency and regional counterparts;
- (3) Maintaining effective liaison and soliciting capability and readiness inputs from FORCECOM and Base Support Commands;
- (4) Coordinating with Sector Commanders and Maritime Intelligence Fusion Centers to produce IPMDs that analyze and assess threats, potential threats, trends, and adversary activities to exploit the maritime domain;
- (5) Developing and promulgating an Operational Planning Direction for Sector Commanders;
- (6) Consolidating and reporting operational status and assessments in support of operational planning;
- (7) Submitting an annual planning assessment to Area Commanders; and
- (8) Submitting quarterly OPARs to Area Commanders.

h. Sector and other Tactical Commanders are additionally responsible for:

- (1) Maintaining effective liaison and relationships with DHS, DoD, interagency, and local counterparts;
- (2) Maintaining effective liaison and soliciting capability and readiness inputs from Base Support Units;
- (3) Maintaining effective liaison and soliciting intelligence and information assessments from local interagency partners;
- (4) Reporting operational status and assessments in support of operational planning; and
- (5) Providing Districts input to planning assessments and OPARs.

12. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATION. Environmental considerations under the National Environmental Policy Act of 1969 (NEPA) were examined in the development of COMDTINST 3120.4A and the SOPP/GFM Process Guide. This action is preparation of a guidance document that implements, without substantive change, the applicable Commandant Instruction and

clearly does not have environmental impacts. It is categorically excluded from further NEPA analysis and documentation requirements under current USCG Categorical Exclusion (33), in accordance with COMDTINST M16475.1D, Figure 2-1. An Environmental Checklist or Categorical Exclusion Determination is not required.

13. FORMS/REPORTS. Applicable forms and reports described in the Coast Guard Standard Operational Planning/Global Force Management Process Guide are located on the Coast Guard Portal entitled "SOPP/GFM."

Sally Brice-O'Hara /s/
Rear Admiral, U.S. Coast Guard
Deputy Commandant for Operations

Encl: (1) Coast Guard SOPP Flow and Out-Year Apportionment Diagrams

Coast Guard SOPP/GFM Flow and Out-Year Apportionment Diagrams

