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U.S. Department of  
Homeland Security

United States  
Coast Guard



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# Operational Reporting



**COMDTINST M3123.13**  
**APRIL 2014**



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COMMANDANT INSTRUCTION M3123.13

Subj: OPERATIONAL REPORTING

Ref: (a) Command, Control, Communications, Computers and Information Technology (C4&IT) System Development Life Cycle (SDLC) Policy, COMDTINST 5230.66 (series)

(b) Major Systems Acquisition Manual (MSAM), COMDTINST M5000.10 (series)

(c) U.S. Coast Guard Addendum to the United States National Search and Rescue Supplement (NSS) to the International Aeronautical and Maritime Search and Rescue Manual (IAMSAR), COMDTINST M1630.2 (series)

1. PURPOSE. To provide clear definitions, policy, and processes for reporting on Coast Guard operational activities as well as for the development and oversight of reporting processes.
2. ACTION. All Coast Guard unit Commanders, Commanding Officers, Officers-In-Charge, Deputy/Assistant Commandants, Directors and Chiefs of Headquarters staff elements shall comply with the provisions of this Manual. Internet release is authorized.
3. DIRECTIVES AFFECTED. Abstract of Operations Reports, COMDTINST M3123.7J is cancelled.
4. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel. It is not intended for, nor does it impose, legally-binding requirements on any party outside the Coast Guard.
5. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

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6. **DISTRIBUTION**. No paper distribution will be made of this Manual. An electronic version will be located on the following Commandant (CG-612) web sites. Internet: <http://www.uscg.mil/directives/> , and CGPortal: <https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx>.
  7. **RECORDS MANAGEMENT CONSIDERATIONS**. This Manual has been evaluated for potential records management impacts. Development has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.
  8. **FORMS/REPORTS**. Any forms referenced in this Manual are available in USCG Electronic Forms on the Standard Workstation or on the Internet: <http://www.uscg.mil/forms/>; CG Portal <https://cgportal.uscg.mil/delivery/Satellite/CG611/FORMS>; and Intranet at <http://cgweb.comdt.uscg.mil/CGForms>.
  9. **REQUESTS FOR CHANGES**. Units and individuals may recommend changes by writing via the chain of command to: COMMANDANT (CG-DCO-81), US COAST GUARD STOP 7318, 2703 MARTIN LUTHER KING JR AVE SE, WASHINGTON DC 20593-7318.

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Vice Admiral, U.S. Coast Guard  
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## CHAPTER 1. OPERATIONAL REPORTING

A. Introduction. This chapter provides context to and scope of operational reporting and defines the Coast Guard's Official Operational Reporting Systems (OORS).

1. Today's data driven society with its demand for instant, factual information places a high expectation that the Coast Guard is providing accurate and timely operational reporting. It is imperative that operational commanders inform pertinent leadership and stakeholders in an efficient and timely manner about resource utilization and mission performance, identify operational gaps, and produce a forecast of operational requirements. To improve information accuracy, operational reporting should be conducted during an activity or event, resources permitting. Providing this information demonstrates the meaningful work of the Coast Guard and reinforces the significance of existing resources.

2. This Manual seeks to provide clear definitions, policy and process guidance for operational reporting of activities and incidents, as well as development and oversight of the reporting process. This allows for improved data collection and submission oversight, achieved in part by defining the Coast Guard's OORS. The Coast Guard's OORS includes the Abstract of Operations System (AOPS); Asset Logistics Maintenance Information System Electronic Asset Logbook (ALMIS EAL); and the Marine Information for Safety and Law Enforcement (MISLE).

B. Operational Reporting. Operational reporting provides information on resource use (aircraft, boat, cutter, or team), a case, and/or activity. The reports come in many forms, including message traffic, phone conversations, email, and entries into the AOPS, ALMIS EAL, and MISLE.

C. Official Operational Reporting Systems (OORS). AOPS, ALMIS EAL, and MISLE are hereby designated as the Coast Guard's OORS.

1. Abstract of Operations System. The AOPS is one of two authoritative sources for current and historical mission employment of all Coast Guard resources, including boats, cutters, fixed-wing air assets, rotary-wing air assets, vehicles, and personnel teams. Currently AOPS is migrating to ALMIS EAL.

2. Asset Logistics Maintenance Information System Electronic Asset Logbook. The ALMIS EAL is the second of two authoritative sources for current and historical mission employment of all Coast Guard resources, including boats, cutters, fixed-

wing air assets, rotary-wing air assets, vehicles, and personnel teams. This system will be the primary OORS for mission employment of Coast Guard resources once AOPS migration is complete. Like the current AOPS to ALMIS EAL migration, ALMIS EAL will eventually transition to the Coast Guard Logistics Information Management System (CG-LIMS) as part of the CG Modernization.

3. Marine Information for Safety and Law Enforcement. MISLE is the Coast Guard's operational activity case management system and represents the authoritative source for all operational activities and the outcomes of those activities. MISLE is also the notification system to report and communicate information on specific operational cases/activities and their outcomes. MISLE was designed to integrate distinct processes across the Coast Guard missions and includes a set of core components that support prevention, response and enforcement processes. For example, conducting a vessel inspection and processing an enforcement action are separate business processes, but the results of an inspection might dictate whether an enforcement action is taken. MISLE can link these processes together using various external systems, including Vessel Documentation System, Vessel Identification System, Ship Arrival Notification System, National Response Center, and the Coast Guard Marine Information Exchange.

D. Principle Operational Reporting Issues to be Addressed. Gaps in the current operational reporting system governance structure, including the diffusion of ownership among OORS, often have detrimental effects on data quality.

1. This Manual attempts to remedy the data quality issues by providing:
  - a. Standardized business processes for all OORS including minimum quality assurance roles, responsibilities, and procedures in alignment with References (a) and (b);
  - b. Standardized approach to defining and recording resource utilization and employment; and
  - c. Clear certification, ownership, and change procedures for AOPS and ALMIS EAL employment categories and MISLE activities and notifications.

## CHAPTER 2. QUALITY ASSURANCE OVERSIGHT AND STANDARDS

### A. Quality Assurance Purpose and Definitions.

1. Purpose. This chapter provides standards for oversight of operational reporting as well as standards for implementing quality assurance mechanisms across reporting systems.
2. Definition of Quality Assurance. Quality assurance is a system of processes and activities to achieve a desired outcome. In terms of operational reporting, effective quality assurance provides a mechanism for detecting and correcting erroneous reporting system inputs as early in the lifecycle of the data as possible.

### B. Quality Assurance Oversight Roles and Responsibilities.

1. Chief Financial Officer (CFO). The Coast Guard Chief Financial Officer is responsible for establishing financial systems and processes. To the maximum extent possible, financial systems and processes shall use existing operational data systems. Financial systems and processes might require more detailed event-driven operational data and reporting to meet financial requirements. This Manual does not preclude those requirements.
2. Deputy Commandant for Mission Support (DCMS). Deputy Commandant for Mission Support is responsible for all facets of life-cycle management for Coast Guard assets from acquisition through decommissioning. This includes ships, planes, buildings and information technology. People are the Coast Guard's largest and most valuable asset, and the DCMS organization is responsible for the processes that grow and sustain them for their time in Coast Guard service as well as through retirement. Under DCMS, the Chief Information Officer (CIO) of the CG serves as the Assistant Commandant for Command, Control, Communications, Computers and Information Technology (C4&IT). In this capacity, Commandant (CG-6) designs, develops, deploys, and maintains C4&IT solutions for the entire Coast Guard to enable mission execution.
3. Deputy Commandant for Operations (DCO). Deputy Commandant for Operations develops and oversees execution of operational planning, policy, and strategic-level international engagement. The Assistant Commandant for Capabilities, Commandant (CG-7), serves as DCO's lead for all CIO issues including ensuring the provision and maintenance of accurate, current, and

comprehensive information to the Enterprise Architecture and C4IT Strategic Plan. This Manual shall not preclude event-driven requirements or additional reporting requirements that may arise.

4. Area Commanders. Area Commanders are the Commandant's first line of defense in supporting implementation of this Manual. They ensure the accurate reporting of operations and activities of their units and also serve as critical advisors to the Commandant on issues or requirements specific to the unique operations areas they command.
5. Operational Control Hierarchy.
  - a. Field Personnel. Any field personnel responsible for an operational report shall document the activity, employment, or status change in the relevant OORS within 24 hours of the change, or within 24 hours after connectivity is re-established, unless a different time frame is set by policy.
  - b. Unit Command. Commanding officers and officers in charge shall review all accrued operational reports for accuracy, and shall certify them per section C of this Chapter. Conduct certification at least semi-monthly prior to the 1<sup>st</sup> and 15<sup>th</sup> of each month, or more frequently as policy dictates.
  - c. Tactical Control (TACON). Tactical Control units shall provide clear and direct guidance to Unit Commands on their mission and supply any additional guidance in accordance with this Manual. TACON units shall review all operational reports for accuracy, in accordance with applicable user guides, within 30 days of the reported activity or resource use and notify unit commands of any discrepancies.
  - d. Operational Control (OPCON). Operational Control units shall hold subordinate units accountable for complying with TACON guidance related to operational reports. When TACON is a non-Coast Guard command, OPCON shall assume TACON responsibilities listed in the above paragraph as they relate to operational reporting.
6. System Development Life Cycle (SDLC) Roles and Responsibilities. The following SDLC roles and responsibilities are designated IAW references (a) and (b).

a. Abstract of Operations System (AOPS).

- (1) Sponsor. The Office of C4 & Sensors Capabilities, Commandant (CG-761), is the Sponsor of AOPS until its anticipated decommissioning. Resource use capturing will shift to ALMIS EAL at that time. The Sponsor articulates organizational goals, validates requirements, acquires the necessary resources for the system, serves as an advocate for end users' concerns, and ensures that the users' needs are being addressed. They also develop and update associated system policy, doctrine, and user training requirements.
- (2) Asset Manager (AM). The Operations Systems Management Division, Commandant (CG-633), is the Asset Manager for AOPS and shall guide, oversee, and monitor compliance with C4&IT policies and practices.
- (3) Project Manager (PM). The Operations Systems Management Division, Commandant (CG-633), is the Project Manager for AOPS. The PM ensures that performance and life cycle management measures are assigned to the system; that plans for funding and resource estimates are realistic, adequate, and have been considered throughout all phases of the SDLC; manages the project throughout the SDLC and coordinates with other Commandant (CG-6) and Sponsor offices to ensure that the project delivers the requested C4&IT system; and ensures that the C4&IT system, upon deployment, is fully supported and documented, and complies with all appropriate policies and practices.
- (4) Employment Category Managers (ECM). AOPS employment categories and subcategories are created to manage and record Coast Guard resource use. Appendix B of this Manual contains all approved types of employment and specifies the manager responsible for that particular category. ECMs ensure data being logged in each category are required and definitions are current.
- (5) System Development Agency and System Support Agency. The Operations Systems Center (OSC), Martinsburg, WV is the System Development Agency (SDA) and System Support Agency (SSA) for AOPS. The OSC performs, or has the responsibility for, design, development, implementation, and support of C4&IT systems, as well as acquisition of products or services. SDA and SSA also ensure C4&IT systems are built to improve mission performance and sustain availability

with the lowest total ownership cost, taking into account the supportability requirements and costs associated with sustaining enterprise systems.

b. Asset Logistics Maintenance Information System Electronic Asset Logbook (ALMIS EAL).

- (1) Sponsor. The Office of Aeronautical Engineering, Commandant (CG-41), is the program sponsor for ALMIS EAL until its planned transition to CG-LIMS. The Sponsor articulates organizational goals, validates requirements, acquires the necessary resources for the system, serves as an advocate for end users' concerns, and ensures that the users' needs are being addressed. They also develop and update associated system policy, doctrine, and user training requirements.
- (2) Asset Manager (AM). The Office of Enterprise Applications Management, Financial Systems Management Division, Commandant (CG-632), shall guide, oversee, and monitor ALMIS compliance with C4&IT policies and practices.
- (3) Project Manager (PM). The Information Systems Division, Aviation Logistics Center (ALC-ISD) is the Project Manager for ALMIS EAL. The PM ensures that performance and life cycle management measures are assigned to the system; that plans for funding and resource estimates are realistic, adequate, and have been considered throughout all phases of the SDLC; manages the project throughout the SDLC and coordinates with other Commandant (CG-6) and Sponsor offices to ensure that the project delivers the requested C4&IT system; and ensures that the C4&IT system, upon deployment, is fully supported and documented, and complies with all appropriate policies and practices.
- (4) Employment Category Managers (ECM). ALMIS EAL employment categories and subcategories are created to manage and record Coast Guard resource use. Appendix B of this Manual contains all approved types of employment and specifies the manager responsible for that particular category. ECMs ensure that the data being logged in each category are required and definitions are current.
- (5) System Development Agency and System Support Agency. ALC-ISD is the SDA and SSA for ALMIS. ALC performs, or has the responsibility for, design, development, implementation, and support of ALMIS as well as acquisition of products or services for this system. This role is fulfilled

using C4&IT design, implementation, support, or acquisition capability. SDA and SSA also ensure C4&IT systems are built to improve mission performance and sustain availability with the lowest total ownership cost, taking into account the supportability requirements and costs associated with sustaining enterprise systems.

c. Marine Information for Safety & Law Enforcement (MISLE).

- (1) Sponsor. The Office of C4 & Sensors Capabilities, Commandant (CG-761), is the Sponsor for MISLE. The sponsor maintains all business requirements and co-chairs the Configuration Control Board (CCB) to review all requested enhancements to MISLE. Prior to making an implementation decision, the Sponsor reviews relevant policy, definitions, and any justification submitted by designated representative associated with a request. The Sponsor is also an advocate for end users' concerns and develops and updates associated system policy, doctrine, and user training requirements.
- (2) Asset Manager (AM). The Operations Systems Management Division, Commandant (CG-633), is the Asset Manager for MISLE and is responsible for ensuring the SDLC is applied to the development and enhancement of MISLE. The Asset Manager serves on the MISLE Configuration Control Board (MCCB) and keeps the sponsor and designated office representative informed of impacts that enhancements to MISLE could have before any enhancement approvals are granted.
- (3) Project Manager (PM). The Operations Systems Management Division, Commandant (CG-633), is the Project Manager for MISLE. The PM ensures that performance and life cycle management measures are assigned to the system; that plans for funding and resource estimates are realistic, adequate, and have been considered throughout all phases of the SDLC; manages the project throughout the SDLC and coordinates with other Commandant (CG-6) and Sponsor offices to ensure that the project delivers the requested C4&IT system; and ensures that the C4&IT system, upon deployment, is fully supported and documented, and complies with all appropriate policies and practices.
- (4) Notification and Activity Managers (NAM). MISLE activities or cases are created to manage and record operations for incident and activity types. Appendix C of this Manual contains a list of all eligible incident

notification and activity types, the requirements for proper use of each category, and the lead office, designated as the Notification and Activity Manager (NAM) for a particular field. The goal of appointing a NAM is to ensure that consolidated policy, business rules, and definitions are maintained and incorporated into the relevant training documents.

- (5) System Development Agency and System Support Agency. Operations Systems Center (OSC) is the SDA and SSA for MISLE and is responsible for operating and maintaining the system. Their responsibilities include implementing all enhancements that are approved by MCCB, protecting data from loss by conducting regular backups of the central database, and ensuring maximum security and availability of the system to end users. SDA and SSA also ensure C4&IT systems are built to improve mission performance and sustain availability with the lowest total ownership cost, taking into account the supportability requirements and costs associated with sustaining enterprise systems.

<b>SDLC Roles /Responsibilities</b>	<b>Sponsor</b>	<b>Asset Manager (AM)</b>	<b>Project Manager (PM)</b>	<b>NAM/ECM</b>	<b>SDA/SSA</b>
AOPS	CG-761	CG-633	CG-633	See App. B	OSC
ALMIS EAL	CG-41	CG-632	ALC-ISD	See App. B	ALC-ISD
MISLE	CG-761	CG-633	CG-633	See App. C	OSC

**Table 2-1: Delegation of SDLC Roles and Responsibilities**

C. Quality Assurance Standards.

1. Quality Assurance Standards (General Methodology). Clearly established and consistent requirements and activities allow the use of products and data as intended and minimize potential mistakes. This higher caliber of reporting and data collection will demonstrate the meaningful work of the Coast Guard and reinforce the significance of existing resources. To meet minimum quality assurance standards, all OORS must have tiered user accounts, with both certification and notification capabilities. This section delineates some of the requirements and activities that enable quality assurance.



- a. Tiered User Accounts. Creating tiered user accounts allows for a hierarchical review of data. For systems that have tiered user account capability, commands shall use this functionality. Systems that cannot accommodate tiered user accounts will have the following action officers:
  - (1) Command Certifier. Certifies activity or resource use entries as accurate and representative of the command. Command Certifier should normally be the Commanding Officer/Officer in Charge (CO/OIC), though the CO/OIC may delegate this role.
  - (2) Second Level Reviewer. The second level reviewer provides a second review from a designated individual one level above the unit entering the data. This reviewer marks inaccuracies, requests correction by originating unit, and certifies those records requiring greater than command-level review. Only personnel stationed at Sectors, Districts, Areas, and Headquarters shall have second level reviewer accounts.
- b. Certification.
  - (1) Definition: Certification is validating that a record is true and accurate.
  - (2) Certification Requirements. To certify records and show accurate and proper activity documentation, use the following guidance:
    - (a) All OORS shall have certification functionality that allows the document to be locked once it has been approved. If the system does not have the technical functionality to lock a record, the Command Certifier's review shall suffice as certification.
    - (b) Certify records that document activities (boardings, inspections, investigations, etc.) at least semi-monthly prior to the 1st and 15th of each month, or more frequently as policy dictates (i.e. Appendix D to Reference (c)). If this is not possible (e.g., for rare, complex, or lengthy cases), notify the next user in the hierarchy and ensure they are regularly informed on the status of uncertified operational reports.
    - (c) Complete certifications at the command certifier level.

- (d) Second Level Review. Operational reports of a particularly complex, sensitive, or urgent nature might require additional scrutiny before they can be considered certified. To ensure maximum compliance with this instruction, Commands shall identify which reports require a 2<sup>nd</sup> level review.
  - c. Contingency Reporting. Make every effort to use the officially designated OORS for recording operational information. However, situations can arise that require deviation from that requirement. In those rare instances operational commanders, in consultation with ECMs and NAMs designated in Appendices B and C, provide approval.
  - d. Use of Certified Reports. Only certified reports shall be considered to be a true and accurate record of Coast Guard activities and resource use. Currently not all OORS processes have a point of entry validation step enabled. Therefore, while all OORS reports may be accurate, recent data may not yet have been certified in accordance with section C.1.b of this Chapter. Do not incorporate uncertified data into a certified report for the purpose of planning, budgeting, intelligence, or program analysis.
  - e. Notification.
    - (1) Definition: Notification is the system functionality that prompts the next reviewer to take action.
    - (2) Notifications. Systems shall push notifications to individuals or groups. Command certifiers and second level reviewers shall also be capable of receiving or pushing notifications up the chain.
    - (3) Requirements for future OORS. Incorporate the minimum quality assurance standards identified above as technical functionalities into all future Operational Reporting System designs.
- 2. Quality Assurance Standards (OORS Specific).
  - a. Current State Requirements for Certifying Employment in AOPS and ALMIS EAL.
    - (1) Certifying Employment in AOPS: The functionality to certify resource employment type and hours currently exists within the AOPS system via

the activities log. Commanding Officers/ Officers in Charge shall ensure the appropriate employment category and other relevant mission details are entered and reviewed via the activities log under the approvals tab. Approving the activities log certifies the operational report.

- (2) Certifying Employment in ALMIS EAL. The functionality to certify resource employment type and hours currently exists within ALMIS EAL. Commanding Officers/Officers in Charge shall review that the appropriate employment category and other relevant mission details have been entered correctly and then lock the mission to show command approval under EAL's mission record tab.
- b. Current State Requirements for Certifying Incident Notifications and Activities within MISLE.

- (1) Commanding Officers/Officers-in-Charge shall use the technical functionality of forwarding cases for review through designated tiered users (described in section C.1.a of this Chapter) as the official certification mechanism. MISLE currently lacks the technical functionality to certify all Incident Notifications/Activity. However, tiered users can mark an Incident Notification and Activity as "open-submitted for review" and push these to the next tier reviewers to be marked as "closed-agency action complete." Section C.1.b. of this chapter describes timelines for certification.
- (2) In circumstances where the technical certification functionality currently exists within MISLE or is in development, NAMs identified within Appendix C shall generate additional guidance as to what suffices as certification in coordination with the Office of Performance Management and Assessment, Commandant (CG-DCO-81), and the MISLE Data Coordination Council (MDCC).
- (3) To improve internal controls, the MDCC/MCCB shall work to develop system functionality that certifies activities and incidents at the earliest possible system refresh date.

### 3. Monitoring Operational Reporting via CGBI.

- a. AOPS and ALMIS EAL. The AOPS Unified Resource Hour Cube pulls resource use data from both AOPS and ALMIS EAL and allows for transparent monitoring. Sectors/Districts/Areas shall monitor the resource use

of their subordinate units on a quarterly basis. For units reporting under AOPS, the CGBI report “AOPS Units Having Resource Logs Entries Without Command Approval” might be of particular use.

- b. MISLE. Currently, there is no CGBI cube that easily monitors the certification status of submitted MISLE entries. The MDCC/MCCB shall ensure development of certification technical functionality requirements for incident notifications and activities to enable easy and transparent monitoring across the entire chain of command through CGBI.

### CHAPTER 3. RESOURCE USE AND EMPLOYMENT STANDARDS

- A. Purpose. This chapter prescribes a standardized approach to defining and recording resource use and employment and why accurate resource reporting matters.
- B. Discussion. The Coast Guard's OORS, AOPS, ALMIS EAL, and MISLE capture resource use for several, but not all Coast Guard missions. The Coast Guard develops strategic plans, is funded for equipment and personnel, and staffs its field units based on the level of activity in support of its missions. Where data is not captured in an OORS, information has to be gathered from surveys and anecdotal information. This chapter defines operational status where it is not already defined and creates a requirement for Commanding Officers/Officers in Charge to capture time in existing OORS.
- C. Resource Use.
1. Definition of Resource Use. Resources are all personnel and major equipment items available, or potentially available, for assignment to carry out mission functions and activities. Resource use occurs when the Coast Guard assets engage in activities which support Coast Guard missions. A resource's operational status defines its availability or current activity level (see Appendix A).
  2. Operational Reporting Construct and Relation to Missions. Table 1, below, illustrates how the six Coast Guard Programs approved by OMB/DHS align to the 11 missions identified in the Homeland Security Act of 2002, and whether they were designated as homeland or non-homeland security. The Government Accountability Office and DHS Office of Inspector General track, fund, and audit resource use and performance. Due to the direct relationship between operational reporting and funding, ECMs and NAMs should be mindful of this construct when requesting changes to OORS. It is important to clearly articulate to the Employment Category Coordination Council and MISLE Data Coordination Council (defined below) how new requirements support this reporting construct.

<b>USCG Programs</b>	<b>USCG “Homeland Security Act of 2002” Missions</b>	<b>Designation as Homeland or Non-Homeland Security</b>
Maritime Security Operations	Ports, Waterways and Coastal Security (PWCS) — Response Activities	Homeland Security
Defense Operations	Defense Readiness (DR)	Homeland Security
Maritime Law Enforcement	Drug Interdiction	Homeland Security
	Migrant Interdiction	Homeland Security
	Other Law Enforcement (OLE)	Homeland Security
	Living Marine Resources (LMR)	Non-Homeland Security
Maritime Response	Search and Rescue (SAR)	Non-Homeland Security
	Marine Environmental Protection (MEP) — Response Activities	Non-Homeland Security
Marine Transportation System Management	Aids to Navigation (AtoN)	Non-Homeland Security
	Ice Operations	Non-Homeland Security
Maritime Prevention	Marine Environmental Protection (MEP) — Prevention Activities	Non-Homeland Security
	Marine Safety (MS)	Non-Homeland Security
	Ports, Waterways, and Coastal Security (PWCS) — Prevention Activities	Homeland Security

**Table 3-1: Coast Guard Operational Resource Reporting Construct**

D. AOPS and ALMIS EAL Employment Categories.

1. Definition of Employment Category. An Employment Category defines resource use purpose. AOPS and ALMIS EAL Employment categories represent the organizing buckets for how the Coast Guard records the type of operational activity or mission being conducted. Employment categories should be mutually exclusive and support the Operational Reporting Construct.
2. Employment Category Validation. Appendix B of this Manual is the authoritative source for all AOPS and ALMIS EAL employment category definitions. There shall be no changes made to these categories except as outlined in section D.4 of this chapter. ECMs identified in Appendix B shall complete an annual review of Employment Categories as coordinated by the Operations Resource Management Directorate, Commandant (CG-DCO-8), to ensure that existing definitions and codes are still required, current, and not unnecessarily duplicated in other OORS.
3. Relation to Operational Statuses. All Coast Guard assets responsible for reporting via AOPS, ALMIS EAL, or future OORS shall log at least one employment category for all Alpha time.
4. Process for Changing or Updating AOPS and ALMIS EAL Employment Categories.
  - a. To request a change to an existing Employment Category or to request a new Employment Category be added to AOPS, ALMIS EAL, or future Operational Reporting Systems, send an email request to the Employment Category Coordination Council at [ECGCC@uscg.mil](mailto:ECGCC@uscg.mil).
  - b. Employment Category Coordination Council (ECCC): The ECCC is the governing body for all Employment Categories. ECCC retains authority for approving new requests and for any changes to existing categories. No changes shall be made without the approval of the ECCC.
  - c. ECCC membership at a minimum shall consist of the following for AOPS, ALMIS EAL, or future Operational Reporting Systems of Record which might record asset employment:
    - (1) DCO's Office of Performance Management and Assessment, Commandant (CG-DCO-81), (Chair)
    - (2) Relevant ECM – identified in Appendix B (Vice Chair)

(3) OORS Sponsor (Advisory Member) – identified in Chapter 2 section B.6

(4) OORS Asset Manager (Advisory Member) – identified in Chapter 2 section B.6

(5) OORS System Development and Support Rep (Advisory Member) – identified in Chapter 2 section B.6

d. The ECCC chair holds ECCC meetings as needed.

E. MISLE Incident Notifications and Activities.

1. Definition of Incident Notifications and Activities. MISLE uses several different components to document actions taken while carrying out missions. Incident Notifications are various types of distress notifications, received by telephone, radio, email, fax or observation, which might prompt Coast Guard response. Activities describe Coast Guard Operational action taken as authorized by statute such as a response, boarding, inspection, or investigation and the outcome of those actions. Activities and Incident Notifications are the two main building blocks within MISLE to capture data, which can later be used as part of a case or to create an operational report. Whereas AOPS and ALMIS EAL Employment Categories capture resource use, MISLE Incident Notifications and Activities provide greater detail on operational activities further characterizing and describing the nature of use.
2. MISLE Activity and Incident Notification Type Validation. Appendix C of this Manual is the authoritative source for all operational Incident Notifications and Activities. No changes shall be made to these categories except as outlined in section E.4 of this Chapter. NAMs identified in Appendix C shall complete an annual review of Activities and Incident Notification Types and sub-types coordinated by the Operations Resource Management Directorate, Commandant (CG-DCO-8), to ensure existing definitions and codes are still required, current, and not unnecessarily duplicated in other OORS.
3. Relation to Operational Statuses. All Coast Guard assets shall log Activities and Incident Notifications as required by Chapter 2 section C.2.b and Appendices A and C of this Manual during all Alpha time.
4. Process for Changing or Updating Incident Notification and Activity Types and Subtypes.



- a. To request a change to existing Incident Notification or Activity or request a new Incident Notification or Activity be added to MISLE, or future Operational Reporting Systems, submit a MISLE enhancement requests (ER) through the MISLE Enhancement Request Tracking System (MERTS) link via <http://cgweb.comdt.uscg.mil/g-mr/MERTS/MainMenu.htm>
- b. MERTS is an Access database that keeps track of the current status of each ER. Each request receives a preliminary evaluation by the Operations Systems Management Division (CG-633) and forwarded to the appropriate NAM, which might initially be the MDCC for cross programmatic evaluation.
- c. The MISLE Data Coordination Council (MDCC) is a body chaired by the Office of C4 & Sensors Capabilities, Commandant (CG-761) and the Office of Investigations & Casualty Analysis' Data Administration & Freedom of Information Act Division, Commandant (CG-INV-3), which exists to broker changes to MISLE data that affect more than one Coast Guard program. The MDCC has a reoccurring monthly scheduled meeting with members (or stakeholders) from many of the offices within the Operations Resource Management Directorate, Commandant (CG-DCO-8), and the Office of Enterprise Application Management, Commandant (CG-63). Appendix C details NAMs to include from each office when changes of a cross-programmatic nature to Activities or Notifications are considered. The MDCC recommendations are then finally passed to the MCCB for final action.
- d. MCCB is the main decision making body which provides technical and administrative direction and oversight to identify and document functional and physical characteristics of the MISLE system. It also controls changes to those characteristics and reports/records change processing and implementation. They interact closely with the MDCC, and consider their recommendations from an enterprise perspective to ensure adequate representation of all MISLE user and stakeholder needs.



**APPENDIX A OPERATIONAL STATUS**

A. This Appendix defines and references locations for all operational statuses, operational reporting requirements, and resource use standards throughout policy. References to originating policy provide extra details if required.

1. Small Boats.

Units	Status	Description	Definition
<ul style="list-style-type: none"> <li>• Stations</li> <li>• Cutter boats</li> </ul>	A	Alpha	<ul style="list-style-type: none"> <li>• Underway. Begins when last line is cast off from pier or cutter.</li> <li>• Includes time anchored.</li> <li>• Afloat - includes cutter boats.</li> <li>• Ashore - includes station boats.</li> </ul>
	B	Bravo - X	<ul style="list-style-type: none"> <li>• Ready status (stand-by).</li> <li>• X indicates minimum hours before resource can switch to Alpha. "B- 0" indicates crew can deploy within 30 mins.</li> </ul>
	C	Charlie	<ul style="list-style-type: none"> <li>• Maintenance period.</li> <li>• Asset not available for employment.</li> <li>• Asset cannot switch to Alpha within 24 hrs.</li> </ul>
<p><b>Reference:</b> U.S. Coast Guard Boat Operations and Training (BOAT) Manual, COMDTINST M16114.32(series)            Note: Commanding Officers / Officers in Charge shall ensure resource use is logged into the appropriate OORS for Alpha periods.</p>			

**Table A-1: Small Boat Operational Status**

2. Aviation.

Units	Status	Description	Definition
<ul style="list-style-type: none"> <li>• Air Station Assets</li> <li>• Forward-Deployed Aircraft</li> </ul>	A	Alpha	<ul style="list-style-type: none"> <li>• Aircraft engaged in mission or task to include SAR, LE, patrol, training, logistics, etc.</li> <li>• Temporarily deployed from assigned station to other unit for other than SAR readiness or duty under Navy OPCON.</li> </ul>
	B	Bravo - X	<ul style="list-style-type: none"> <li>• Ready status (stand-by).</li> <li>• X indicates minimum hours before resource can assume Alpha. “B-0” indicates crew can deploy within 30 mins.</li> </ul>
	C	Charlie	<ul style="list-style-type: none"> <li>• Aircraft inoperable due to maintenance.</li> <li>• Maintenance not able to be completed in pre-/post-flight inspections, and may delay “B-0” response.</li> <li>• Degree of maintenance status assigned based on total repair time to return to Bravo.</li> </ul>
<p><b>Reference:</b> Coast Guard Air Operations Manual, COMDTINST M3710.1(series)            Note: Commanding Officers shall ensure resource use is logged into the appropriate OORS for Alpha periods.</p>			

**Table A-2: Aviation Operational Status**

3. Cutters.

Units	Status	Description	Definition
<ul style="list-style-type: none"> <li>• All cutters over 65' with OPFAC</li> </ul>	A	Alpha, U/W	<ul style="list-style-type: none"> <li>• Underway.</li> <li>• Not moored or dry-docked.</li> </ul>
	B	Bravo – X  (X indicates minimum hrs before cutter can assume Alpha)	<ul style="list-style-type: none"> <li>• High readiness hrs ISO a specific mission.</li> <li>• Inport operations.</li> <li>• Standby for missions.</li> <li>• Cutter must maintain system and equipment capabilities, be able to man watch stations, and meet inport emergencies and functions to get underway within an established time frame.</li> </ul>
	C	Charlie	<ul style="list-style-type: none"> <li>• Maintenance period.</li> <li>• Asset not available for employment.</li> </ul>
<p><b>Reference:</b> Cutter Employment Standards, COMDTINST 3100.5(series)                      Note: Commanding officers or officers in charge of cutters 65 feet or greater in length, having an OPFAC number in the current list of Operating Facilities of the U.S. Coast Guard, COMDTINST M5440.2 (series), shall ensure resource use is logged into the appropriate OORS for Alpha periods.</p>			

**Table A-3: Cutter Operational Status**

4. Deployable Specialized Forces (DSF).

a. MSSTs, LEDETs, PSUs, Dive Lockers.

<b>Units</b>	<b>Status</b>	<b>Description</b>	<b>Definition</b>
<ul style="list-style-type: none"> <li>• Maritime Safety and Security Team</li> <li>• Law Enforcement Detachment</li> <li>• Port Security Unit</li> <li>• Dive Lockers</li> </ul>	A	Alpha	<ul style="list-style-type: none"> <li>• Deployed, operationally employed.</li> <li>• Not deployed, conducting team based training (underway or ashore).</li> <li>• Long haul transit to mission location.</li> <li>• Gear/ROV on-scene.</li> <li>• For deployed LEDETS, upon shifting TACON.</li> <li>• For MSST water-side security (WSS), Alpha mirrors crew underway time.</li> <li>• For Dive Lockers, Alpha starts upon gear preparation and ends upon gear PMS.</li> </ul>
	B	Bravo - 6	<ul style="list-style-type: none"> <li>• Ready status (Stand-by).</li> <li>• Indicates 6 hr minimum before resource can assume Alpha.</li> <li>• Go-Team (for MSSTs) – per apportionment key.</li> </ul>
		Bravo - 24	<ul style="list-style-type: none"> <li>• Ready status (Stand-by).</li> <li>• Indicates 24 hr minimum before resource can assume Alpha.</li> </ul>
	C	Charlie	<ul style="list-style-type: none"> <li>• Unit maintenance period, recertification/re-qualification (Range, Green Teams, TTC), pipeline training, leave, MT. Not subject to operational employment.</li> </ul>

	T	Tango	<ul style="list-style-type: none"> <li>Team/unit proficiency training, MTT, RFOs, scenario based training, STAN visits, etc.</li> </ul>
<p><b>Reference:</b> OSC AOPS User Guide v4.0, DOG Team Business Rules.                  Note: Commanding Officers of DSFs shall ensure resource use is logged into the appropriate system(s) of record for Alpha periods.</p>			

**Table A-4: MSST, LEDET, PSU, and Dive Locker Operational Status**

b. MSRT.

Units	Status	Description	Definition
<ul style="list-style-type: none"> <li>Maritime Security Response Team</li> </ul>	A	Alpha	<ul style="list-style-type: none"> <li>Deployed, Operationally Employed.</li> <li>Not Deployed, conducting team based training ISO DEPORD mission.</li> <li>Under TACON of another unit.</li> </ul>
	B	Bravo - 4	<ul style="list-style-type: none"> <li>Ready Status (Stand-by).</li> <li>Indicates 4 hour minimum before the resource can assume Alpha.</li> </ul>
	C	Charlie	<ul style="list-style-type: none"> <li>Unit Maintenance Period.</li> <li>Leave.</li> <li>MT.</li> <li>Not subject to operational employment.</li> <li>RFO .</li> </ul>
<p><b>Reference:</b> OSC AOPS User Guide v4.0, DOG Team Business Rules.                  Note: Commanding Officers of DSFs shall ensure resource use is logged into the appropriate system(s) of record for Alpha periods.</p>			

**Table A-5: MSRT Operational Status**

c. Emergency Response Teams.

<b>Units</b>	<b>Status</b>	<b>Description</b>	<b>Definition</b>
<ul style="list-style-type: none"> <li>• National Strike Force (includes Strike Teams)</li> <li>• PIAT</li> <li>• CG-IMAT</li> </ul>	A	Alpha	Deployed – Members assigned to incident, case or response, internally or for external agencies.
	B	Bravo	Members ready to deploy – non-deployed unit members in current duty section.
		Bravo - 2	Members (4) deploy within 2 hrs of notification.
		Bravo - 6	Members (8) and equipment deploy within 6 hrs of notification.
		Bravo - 24	Remaining team members deploy within 24 hrs of notification.
	C	Charlie	Not deployable – SIQ/medical/light duty, TAD for training, area specialist outreach, exercises and leave.
	T	Tango	Off duty section – All members not captured under A, B or C.
<p><b>Reference:</b> Deployable Operations Group memo 3000 of 26 Nov 2008, NATIONAL STRIKE FORCE READINESS POSTURE.            Note: Commanding Officers of DSFs shall ensure resource use is logged into the appropriate system(s) of record for Alpha periods.</p>			

**Table A-6: Emergency Response Team Operational Status**

5. Sector Personnel.

1. Coast Guard members assigned to Sectors, Marine Safety Units (MSU), Marine Safety Detachments (MSD) and Sector Field Offices (SFO) execute Coast Guard missions on a daily basis at the field level, nationwide and in Europe and Asia. Members conducting Search and Rescue and Law Enforcement activities enter their time in AOPS and ALMIS EAL and are addressed above in the Boat, Cutter and Air sections.

2. However, time spent in support of Marine Safety, Waterways Management, Marine Environmental Protection, and Contingency Planning and Force Readiness are not



captured. MISLE can capture these hours, under “Resource Sorties,” which are then viewable through CGBI reports. The table below establishes operational statuses for Sectors, MSUs, MSDs, and SFOs. Sector Commanders shall ensure resource use is logged into the appropriate OORS for any asset in an Alpha status.

Unit	Status	Description	Definition
<ul style="list-style-type: none"> <li>• Sectors</li> <li>• Marine Safety Units</li> <li>• Marine Safety Detachments</li> <li>• Sector Field Offices</li> </ul>	A	Alpha	Member is actively engaged in mission execution conducting: <ul style="list-style-type: none"> <li>• Response (pollution, SAR).*</li> <li>• Investigation (pollution, marine casualty).*</li> <li>• Inspection/examination.*</li> <li>• Exercise with response plan holder or external partner.*</li> <li>• HARPAT (boat or GV).</li> <li>• Transfer monitor.*</li> <li>• Safety or security zone enforcement or patrol.</li> <li>• Attending committee meeting with external partners (i.e. local, state, federal partners).*</li> <li>• Involvement in a NIMS ICS management activity for any type of response.</li> </ul>
			B
	Bravo - 2	<ul style="list-style-type: none"> <li>• Readiness status while on duty or during hurricane season.</li> <li>• Indicates 2 hour minimum before personnel can switch to Alpha status.</li> </ul>	
	Bravo - 6	<ul style="list-style-type: none"> <li>• Ready status (stand-by).</li> </ul>	

			<ul style="list-style-type: none"> <li>Indicates 6 hour minimum before personnel can switch to Alpha status.</li> </ul>
	C	Charlie	Not deployable – SIQ/medical/light duty, TAD, training, leave, etc
<p><b>Reference:</b> MISLE User Guides for Resource Sortie.          * Includes travel to and from unit to site of mission execution in A time.</p>			

**Table A-7: Sector Personnel Operational Status**

6. Bridge Program Personnel.

Coast Guard District bridge personnel are responsible for reviewing/approving permit applications, and developing general bridge regulations and special operating schedules for moveable bridges. They also identify unreasonably obstructive bridges and support issuing citations for bridge violations for over 18,000 bridges including highway, rail, pedestrian, pipeline, and conveyor routes spanning U.S. navigable waters. Accurately categorizing bridge personnel operational status and capturing their resource use is critical to successful oversight of the program. Efforts to incorporate bridge program resource use into OORS are currently in development.

7. Auxiliary.

Coast Guard Auxiliary augment and support the Coast Guard in any mission as directed by the Commandant or Secretary of Homeland Security. Auxiliarists capture their mission support hours in several different forms, which are then compiled monthly and entered into the AUXDATA cubes. Reports showing hours at the regional, mission or individual level can be run in CGBI. Additional information can be found at <https://www.auxinfo.uscg.gov> or by reviewing the AUXINFO, a user guide for Auxiliary cubes.

**APPENDIX B AOPS AND ALMIS EAL EMPLOYMENT CATEGORIES**

- A. Purpose. Appendix B is intended to represent the default employment categories for both AOPS and ALMIS EAL. Additionally, Appendix B provides definitions for each employment category and attempts to improve governance and transparency by providing a listing of which headquarters office(s) is/are the ECM(s) for each corresponding employment category.
- B. AOPS and ALMIS EAL Employment Categories. AOPS and ALMIS EAL employment categories will be maintained at the following link:  
<https://cgportal2.uscg.mil/units/dco8/1/Operational%20Reporting%20CIM/Forms/AllItems.aspx>.



## **APPENDIX C MISLE NOTIFICATION AND ACTIVITY TYPES**

- A. Purpose. Appendix C is intended to represent the default MISLE notification and activity types and sub-types. Additionally, Appendix C provides details why and when incident notification and activity types are required to be logged. Moreover, it attempts to improve governance and transparency by providing a listing of which headquarters office(s) is/are the NAM(s) for corresponding incident notifications and activity types.
- B. MISLE Notification and Activity Types and Sub-Types. MISLE notification and activity types will be maintained at the following link:  
<https://cgportal2.uscg.mil/units/dco8/1/Operational%20Reporting%20CIM/Forms/AllItems.aspx>.