



COMDTINST 5200.4A  
12 DEC 2019

COMMANDANT INSTRUCTION 5200.4A

Subj: U.S. COAST GUARD MISSION MANAGEMENT SYSTEM

- Ref: (a) IMO Member State Audit Scheme (IMSAS), 2015  
 (b) International Convention on Standards of Training, Certification and Watchkeeping for Seafarers (STCW), 2017  
 (c) ISO 9001:2015 Quality Management System – Requirements  
 (d) Standards Program for Marine Safety, Security, and Environmental Protection Programs, COMDTINST 5420.32 (series)

- PURPOSE.** The purpose of this Instruction is to set policy for the operation of the Coast Guard’s Mission Management System (MMS). The MMS is an ISO 9001 based quality management system (QMS) to ensure fulfillment of domestic and international obligations for marine safety and security. A quality management system is the organizational structure, procedures, and resources needed to direct and control an organization in order to continually improve its effectiveness and efficiency. References (a) and (b) require the use of a quality management system for specific Marine Safety Mission areas. The goal of the MMS is to use a systems based approach by integrating the standards of Reference (c) to achieve mission quality, consistency, customer focus, and continual improvement, with emphasis on achieving value for the Coast Guard workforce and the customers we serve.
- 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. No paper distribution will be made of this Instruction. Internet release is authorized.
- DIRECTIVES AFFECTED.** The U.S. Coast Guard Mission Management System, COMDTINST 5200.4, is hereby cancelled.

DISTRIBUTION – SDL No. 170

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NON-STANDARD DISTRIBUTION:

4. DISCUSSION.

- a. A quality management system uses a process approach to assess risk and help an organization identify and meet requirements. This enables review of process performance and effectiveness, and emphasizes continual improvement based on objective measurement. All requirements of Reference (c) are generic and intended to be applicable to all organizations, regardless of type, size, and product or service provided. The adoption of Reference (c) is in alignment with the Coast Guard's acceptance of national and international standards in Reference (d).
- b. Commandant (CG-5P) directed development of the MMS to ensure fulfillment of domestic and international obligations within the marine safety mission. A quality management system is required for merchant marine credentialing by Reference (b) as well as for maritime activities within the scope of the International Member State Audit Scheme (IMSAS). Enclosure (1) provides a brief glossary of terms helpful in understanding the MMS.
- c. The MMS is a tool to manage and continually improve all applicable operations. This is done by:
  - (1) Defining policies, objectives and procedures for developing regulations, enforcing regulations, and delivering services.
  - (2) Monitoring work for the purpose of continually improving system performance.
  - (3) Seeking and employing feedback from stakeholders, including CG personnel, the maritime industry, mariners, state and tribal governments, the International Maritime Organization (IMO), and the public.
- d. Enclosure (2) provides an overview of how the MMS functions. After Congress ratifies international conventions and creates domestic laws, the Coast Guard creates regulations to enforce the laws. Policies and procedures are then developed by headquarters, areas, and/or districts to clarify what and how the regulations will be implemented and enforced. Controls are then put in place and resources are provided in order to fulfill the requirements. Guidance and information are provided to external stakeholders so they have a better understanding of Coast Guard external and internal requirements. The MMS monitors this system, from the development of regulations, policies and procedures, to the execution of the missions at the field level, in order to identify nonconformities and drive continual improvement.
- e. Enclosure (3) graphically depicts the MMS documentation architecture. Four levels of documents make up the MMS. First, level one includes the program strategic plan, Commandant Instructions and other high-level policy documents and core processes guiding mission execution. Level two documents include lower level key processes that support the core process, such as work instructions and Tactics, Techniques, and Procedures (TTPs). Level three documents consist of unit-level work instructions and processes. Finally, forms, job aids, and other documents used to assist performers on the job are examples of level four documents. The details of the MMS administration are contained in this COMDTINST and the MMS Internal Audit TTP (CGTTP 4-09.5A). Flowcharted key processes/procedures and other system documents are available on CG Portal at the MMS Home Page: [MMS - Home](#).
- f. Mission objectives drive mission execution; they are measurable and linked to the core and key processes. Senior leadership determines objectives to ensure fulfillment of related Coast Guard



Department of Homeland Security (DHS) categorical exclusion DHS (CATEX) A3 from further environmental analysis in accordance with the U.S. Coast Guard Environmental Planning Policy, COMDINST 5090.1 and the Environmental Planning (EP) Implementing Procedures (IP).

- b. This Instruction will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determinations relating to the environment. All future specific actions resulting from the general policy in this instruction shall be individually evaluated for compliance with the National Environmental Policy Act (NEPA) and Environmental Effects Abroad of Major Federal Actions, Executive Order 12114.
8. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located on CGPortal: <https://cg.portal.uscg.mil/library/directives/SitePages/Home.aspx> and Internet: <http://www.dcms.uscg.mil/directives>.
  9. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been thoroughly reviewed by the USCG, and the undersigned have determined this action requires further scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., NARA requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy has significant or substantial change to existing records management requirements, or inconsistencies with existing determinations relating to document requirements.
  10. RESPONSIBILITIES.
    - a. Commandant (CG-5P) shall:
      - (1) Be responsible for the performance of marine safety mission areas under the MMS.
      - (2) Develop and distribute annual guidance to clearly outline the program's strategic priorities and highlight areas of focus for the MMS.
      - (3) Appoint a quality manager to monitor operation of the MMS and identify and oversee areas for system improvements where appropriate.
      - (4) Convene a Prevention Quality Management Board (PQMB) to periodically review nonconformities, MMS data, and coordinate and track appropriate corrective actions to improve the system.
      - (5) Commandant (CG-5P) Office Chiefs whose program falls within the authority of the MMS and this policy is responsible for:
        - (a) Appointing an MMS coordinator.
        - (b) Providing internal office oversight of the MMS.
        - (c) Ensuring the completion of semi-annual internal audits, documenting audit results and overseeing corrective actions in preparation for FORCECOM and periodic, required IMO audits.

- (d) Conducting annual office management reviews to ensure continuing MMS suitability, adequacy, and effectiveness, and maintaining records (e.g. meeting minutes) of the reviews.
  - (e) Identifying and addressing necessary internal process changes within the office (Unit Nonconformities).
  - (f) Identifying and communicating necessary external process changes (System Nonconformities) and submitting them to the MMS staff at: [MMS - Home](#).
  - (g) Working with the MMS staff to correct System Nonconformities reported within the office's area of responsibility.
  - (h) Guiding process amendments as necessary to effect continual improvement.
- b. FORCECOM shall oversee development, implementation, and maintenance of the MMS. These duties include:
- (1) Analyzing and mapping processes to document procedures and identify necessary improvements.
  - (2) Deploying timely guidance to MMS coordinators and assisting with the integration and operation of the MMS.
  - (3) Working with program stakeholders and the FORCECOM Assessment, Inspection & Audit (AIA) team to maintain a current and relevant audit checklist for field units.
  - (4) Coordinating and conducting triennial audits of the units and headquarters offices required to utilize the MMS, and providing audit reports or consolidated audit results to the program's PQMB.
  - (5) Ensuring reported system nonconformities are provided to the appropriate headquarters office for review and corrective action.
  - (6) Maintaining system records, such as audit findings and corrective action requests. The MMS staff will analyze this data for trends and brief the program's PQMB.
  - (7) Providing training and performance support for MMS users and auditors by:
    - (a) Conducting introductory and/or training visits if needed.
    - (b) Coordinating ISO and MMS training courses and performance support tools as needed to support MMS users and auditors.
  - (8) Coordinating preparations and execution of periodic IMO audits of the Coast Guard MMS.
- c. Area Commanders shall:
- (1) Develop and deploy internal MMS requirements sufficient to address area specific issues and monitor as necessary to ensure compliance and fulfillment of objectives.
  - (2) Ensure implementation by district commanders to meet the requirements of the Commandant (CG-5P) strategic plan.
  - (3) Encourage applicable Area program representatives to participate in FORCECOM audits/assessments of subordinate units as observers or audit team members.

d. District Commanders shall:

- (1) Develop and deploy internal MMS requirements to address District specific issues and monitor trends as necessary to ensure compliance and fulfillment of objectives.
- (2) Ensure implementation by operational unit Commanding Officers to meet the requirements of the Commandant (CG-5P) strategic plan.
- (3) Encourage applicable District program representatives to participate in FORCECOM audits/assessments of subordinate units as observers or audit team members.

e. Operational unit Commanding Officers shall:

- (1) Execute field-level activities in accordance with existing Headquarters, Area and District MMS and prevention policy.
- (2) Complete **semi-annual** internal audits and document audit results in preparation for FORCECOM and periodic, required IMO audits.
- (3) Conduct **annual** unit management reviews to ensure continuing MMS suitability, adequacy, and effectiveness, and maintain records (e.g. meeting minutes) of these reviews.
- (4) Designate one unit representative with **MMS auditor training or appropriate expertise** to be the unit MMS coordinator responsible for:
  - (a) Providing local oversight of the MMS.
  - (b) Identifying and addressing necessary internal process changes (Unit Nonconformities).
  - (c) Identifying and communicating necessary external process changes at the District, Area, or Program levels (System Nonconformities) and submitting them to the MMS staff at: [MMS - Home](#).
  - (d) Overseeing internal audits and corrective actions, including completion and documentation of CARs as necessary.
  - (e) Guiding process amendments as necessary to effect continual improvement.

11. FORMS/REPORTS. None.

12. REQUEST FOR CHANGES. Submit change requests to [MMS@uscg.mil](mailto:MMS@uscg.mil).

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Commander, Force Readiness Command

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Assistant Commandant for  
Prevention Policy

Enclosures: (1) MMS Definitions  
(2) Overview of How the MMS Functions  
(3) MMS Documentation Hierarchy

## MMS DEFINITIONS

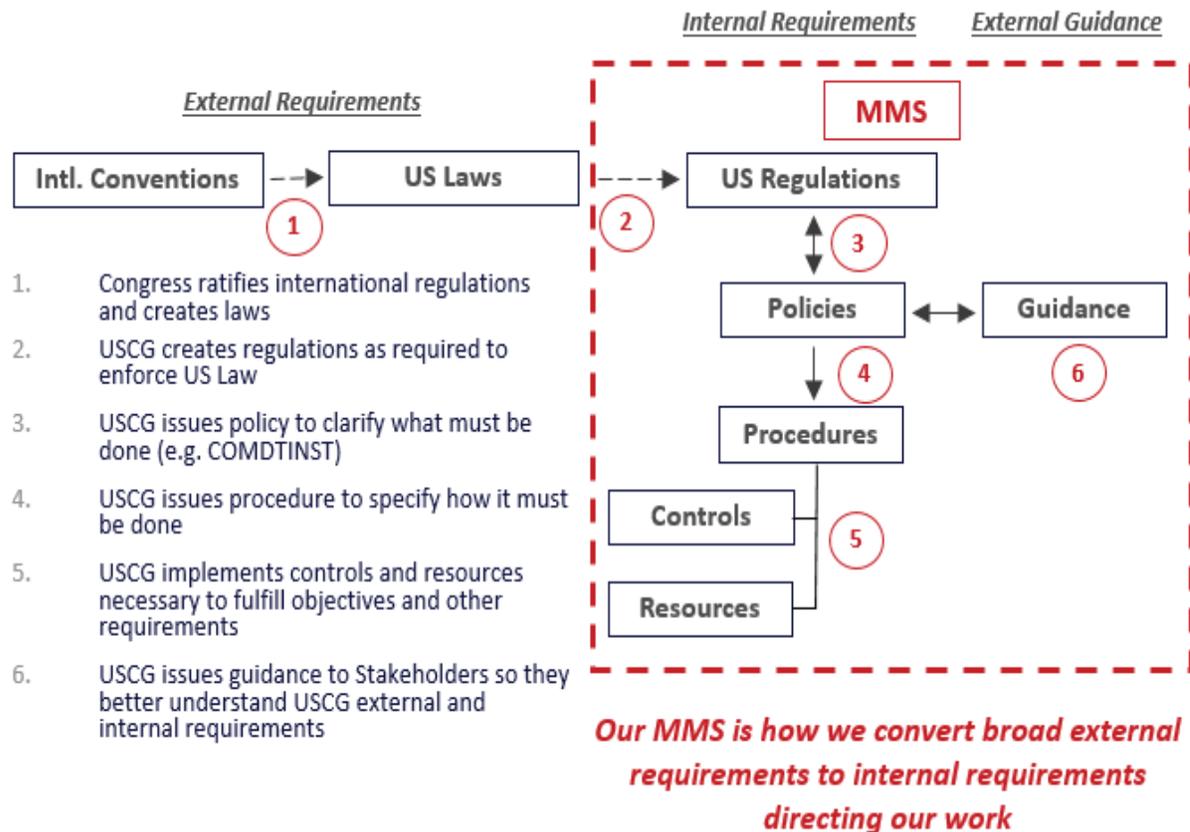
The following are some terms and definitions commonly used within the MMS:

TERM	WHAT IT MEANS
Audit	A systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled
Audit criteria	Set of policies, procedures or requirements used as reference
Corrective Action Request (CAR)	Form used to document nonconformities and their resolution
Competence	Demonstrated ability to apply knowledge and skills
Compliance	Fulfillment of a regulatory requirement
Conformity	Fulfillment of an internal requirement
Control	Establishing and meeting requirements
Correction	Action to eliminate a detected nonconformity
Corrective Action	Action to eliminate the causes of detected nonconformity
Customer	Organization or person that receives a product (type of Stakeholder)
Effectiveness	Extent to which planned activities are realized and planned results achieved
Efficiency	Relationship between result achieved and resources used
Nonconformity	Non-fulfillment of a requirement (nonconformance is common)
Noncompliance	Non-fulfillment of a regulation or permit (a legal term)
Objective	Goal, arising from the policy, that an organization sets itself to achieve
Prevention Quality Management Board (PQMB)	Board created by CG-5P and charged with implementing and operating a system of effective continual improvement throughout the Prevention Program
Procedure (may not be documented)	Specified way to carry out a process (or a task within a process)
Process	Work (by machine and/or human) that applies resources and controls to transform inputs into outputs
Process approach	Work managed as a process so it is designed, resourced and controlled to efficiently achieve the desired result
Product	Result of a process (includes: services, software, hardware, materials and by-products)
Quality	Degree to which our service fulfills requirements
Quality Assurance	Providing confidence that requirements <i>will be</i> fulfilled
Mission Management System (MMS)	The Coast Guard's ISO-9001 based quality management system to ensure fulfillment of domestic and international obligations within the marine safety mission area
Record	Document stating results achieved or evidence of process
Requirement	Implied need or expectation that is stated so it is explicit
Stakeholder	Interested party (includes customers)
System Nonconformity	A nonconformity that is external to a unit's processes or procedures and must be addressed at a higher level, e.g. District, Area, HQ
Tactics, Techniques & Procedures (TTP)	Detailed guidance for implementing operational and support doctrine
Unit Nonconformity	A nonconformity that is internal to a unit's processes or procedures and can be addressed at the local level

Enclosure (1) to COMDTINST 5200.4A

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## Overview of How the MMS Functions



Here we provide a graphical example showing how the MMS helps us ensure compliance.

\* We start with Congress creating laws representing the interests of US citizens. Sometimes, these laws come from ratifying international regulations.

\* Then, the USCG rulemaking program develops regulations as required to enforce US law.

\* Because regulations are written for the public, we often need to deploy policy describing what we must do to enforce the regulations. This policy is in the form of directives, such as COMDTINSTs.

\* Leaders within the USCG develop written and unwritten procedures that dictate how we do our work.

\* As part of procedures, the USCG implements controls and resources, such as databases and competent personnel, to ensure the procedures are carried out as planned.

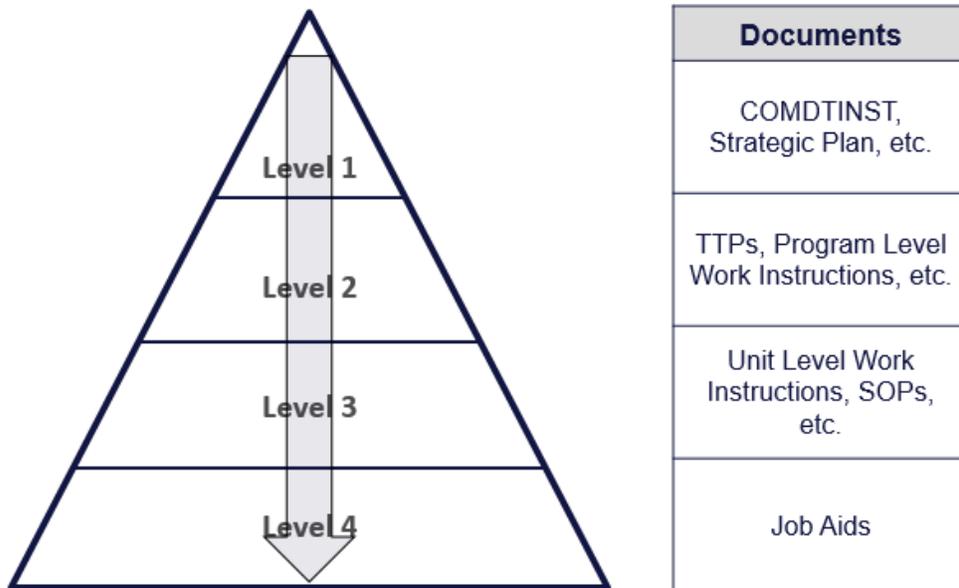
\* Sometimes, we issue guidance to the public to provide them with additional information if it is necessary to help them help us do our work.

\* As you can see, the MMS is how we make sure people know that the work they do everyday fulfills the overall missions of Coast Guard.

Enclosure (2) to COMDTINST 5200.4A

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## MMS Documentation Hierarchy



*MMS documentation is hierarchical and provides detail according to its level (e.g. Level 1, high level detail and Level 4, more specific detail)*