U.S. Department of Homeland Security

United States Coast Guard

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United States Coast Guard

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COMDTINST 3501.80
31 MAR 2020

COMMANDANT INSTRUCTION 3501.80

Subj: COAST GUARD DEFINITION OF READINESS

Ref: (a) Department of Defense Dictionary of Military and Associated Terms, Joint Publication 1-02, 8 Nov 2010
(b) National Security Strategy of the United States of America, December 2017
(c) National Military Strategy of the Unites States of America, 2018 (Classified)
(d) Cutter Safe-To-Sail (STS) Minimum Critical Equipment, COMDTINST 3120.21 (series)
(e) U. S. Coast Guard Boat Operations and Training (BOAT) Manual, Volume I, M16114.32 (series)

1. PURPOSE. This Instruction sets Service policy for defining organizational readiness and the elements that comprise readiness; it does not address the measurement of readiness. It simply establishes the framework to develop a readiness measurement platform, process, and reporting system to support operational decision making throughout the Service.

2. ACTION. This policy defines organizational readiness and establishes three sub-elements: Personnel, Materiel, and Governance. All Coast Guard unit commanders, deputy/assistant commandants, and chiefs of headquarters staff elements will comply with the provisions of this Instruction. Internet release is authorized.

3. DIRECTIVES AFFECTED. None.

4. BACKGROUND. The Coast Guard's motto is Semper Paratus - Always Ready, and the Service works hard to uphold this ideal. However, no formal definition of operational readiness exists beyond that in Reference (a) used for all military services. There are multiple instances where readiness is used by internal Coast Guard stakeholders, but no overarching guidance defining readiness currently exists. The lack of a readiness definition and policy has resulted in confusion and conflicting definitions across the Service. This uncertainty negatively impacts the Coast Guard's ability to ascertain resource deficiencies and determine risks. A consistent and clear definition of readiness is needed to best align policy, resource requests, and force distribution towards achieving strategic goals and mission execution.

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Additionally, a clear definition of readiness improves alignment with References (b) and (c). Moreover, it supports the Department of Homeland Security's preparedness and resilience responsibilities, enables the Commandant's strategic vision, and meets the Department of Defense requirements for global integration of the Joint Force.

5. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor does it qualify as a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended to, nor does it impose legally-binding requirements on any party outside the Coast Guard. This policy for Coast Guard forces operating in the domestic environment does not supersede any Federal On-Scene Coordinator (FOSC) authorities or responsibilities outlined in the National Contingency Plan or the USCG Marine Environmental Response and Preparedness Manual, COMDTINST M16000.14 (series).

6. IMPACT ASSESSMENT. This Instruction establishes a common, Service-wide definition of readiness. This definition will replace others that are in use throughout the Service. The implementation of this Instruction will involve adoption of the new definition in revisions of other directives, revisions of Training, Tactics, and Procedures (TTP), and related training materials. These revisions will be completed using personnel resources and funds that are already in use to support ongoing revisions to various program doctrine, policy and TTP. Impact to operational commands is estimated to be minimal as updates to training are implemented and take effect.

7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

   a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, Commandant (CG-47). This Instruction is categorically excluded under current 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, COMDTINST 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 must be individually evaluated for compliance with the National Environmental Policy Act (NEPA) and Environmental Effects Abroad of Major Federal Actions, Executive Order 12114, Department of Homeland Security (DHS) NEPA policy, Coast Guard Environmental Planning policy, and compliance with all other applicable environmental mandates.

8. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located on the following Commandant (CG-612) web sites: Internet: http://www.dcms.uscg.mil/directives/ CGPortal: https://cgportal.uscg.mil/library/directives/SitePages/Home.aspx.

9. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been thoroughly reviewed by the U.S. Coast Guard , and the undersigned have determined this action requires

further scheduling requirements, in accordance with the 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 documentation requirements.

10. DISCUSSION.

    a. Enterprise Definition of Readiness: "Coast Guard readiness is the organizational ability to meet mission demands. The elements of readiness are personnel, materiel, and governance." These elements may be applied from any perspective: enterprise, strategic, operational, or tactical.

    b. Conditions of Readiness.

       (1) Determining Readiness: A readiness assessment should evaluate the difference between mission need and current resources, authority, capacity, and capability. This requires answers to the following questions, which also forms the basis of the readiness definition and framework:

          (a) **Ready for what?** This question addresses the aggregate *capability* to perform designed and assigned missions.
          (b) **Ready with what?** This question addresses Service resource levels. It is a fundamental question that deals with the *capacity* to perform the mission.
          (c) **Ready for how long?** This question addresses the *capacity* to sustain a *capability*. It depends on resource availability and force endurance.
          (d) **Ready when?** This question addresses the *gap* between desired readiness and current readiness.

       (2) Levels of Readiness.

          (a) Coast Guard readiness, whether at the organization or asset level, is not a simple "ready or not ready" determination. There are varying levels of readiness.

          (b) Level of readiness is determined in relation to a defined mission set, based on status at that moment and the requirements to sustain operations for the duration of the mission.

       (3) Readiness Classifications.

          (a) There are three classifications of readiness for personnel, materiel, and governance:

             [1] Fully Mission Capable (FMC): Able to operate and meet all requirements of the defined mission for the prescribed duration.
             [2] Partially Mission Capable (PMC): Limited ability to operate, either only able to meet some aspects of the defined mission, or only able to meet mission requirements for a portion of the prescribed duration.
             [3] Not Mission Capable (NMC): Unable to operate in any capacity, unable to meet the requirements of the defined mission, or unable to operate for sufficient duration to justify deployment.

(b) Precise definitions of FMC, PMC, and NMC classifications for different directorates and communities are provided in guidance directing the process for measuring readiness.

c. Elements of Readiness.

(1) Personnel Element of Readiness: Personnel readiness is determined by the Coast Guard having the right people, with the right competencies and experience, in the right place, at the right time. The readiness of the Coast Guard workforce is defined by: Force Construct, Talent Management, and Support. Sustained personnel readiness is maintained through resilience, which provides a capacity for a workforce to overcome unforeseen hardships and extended operations.

(a) Force Construct: The Coast Guard should be right-sized to the missions it performs, and should maintain the correct composition of its personnel components to properly cover mission execution and support tasking.

[1] Force Size: Coast Guard mission requirements set the demand for human capital. To meet mission needs, the Coast Guard should ensure it has a force that can readily meet steady-state demands while simultaneously maintaining surge capacity.

[2] Force Composition: The Coast Guard workforce consists of active and reserve military members, civil service employees, contractors, and is augmented by the Coast Guard Auxiliary. Each workforce component has unique characteristics, capabilities, and experience that affect Coast Guard readiness.

a) Active Duty: Available for duty 24 hours per day, 7 days per week. The availability of active duty personnel is a primary factor in determining the Coast Guard's level of readiness for staffing missions that require forward deployment, non-standard work hours, and hazardous operating environments.

b) Reserve: Members train locally on a regular basis to maintain global mission readiness. The Reserve Component is a significant portion of the Coast Guard's surge capacity and provides a workforce pool that can be used to supplement active duty ranks either for individual positions or large scale mission requirements within 48 hours of notification.

c) Civilian: Perform inherently governmental activities and provide much needed continuity of specialized expertise and organizational knowledge critical to the Coast Guard's readiness.

d) Contractors: Provide specialized skills that are "commercial activities" (neither inherently governmental nor military-essential) and provide surge capacity in support of Coast Guard operations.

e) Auxiliary: A uniformed auxiliary service, consisting of volunteers who provide augmentation and contingency response. The Auxiliary exists to support all Coast Guard missions except roles that require "direct" law enforcement or military engagement.

[3] Diversity and Inclusion: To achieve maximum readiness the Coast Guard should hire and retain personnel with diverse backgrounds and perspectives. This supports an inclusive culture, fosters high morale, and optimizes mission execution by leveraging the variety of backgrounds, experiences, and perspectives that come with a diverse workforce.

(b) Talent Management: The development of Coast Guard personnel with the appropriate knowledge, skills, and abilities (KSAs) to perform required duties is essential to achieving and maintaining readiness. Military members undergo initial training and education to attain basic qualifications, followed by assignment to positions commensurate with their skills. From the point of accession on, skills and knowledge developed through training and education are essential to readiness.

[1] Qualifications: Provide documented achievement of a standard in the execution of a specific role. Units may develop specific job qualification requirements pertaining to their area of responsibility. The percentage of an operational unit's workforce that possesses the qualifications, proficiency, and recency required by their positions directly affects that unit's level of readiness.

[2] Certifications: The attestation from a designated authority that a person meets a specific documented standard. Certifications assist in identifying members with specific skills and in demonstrating the Coast Guard's workforce capabilities to outside entities.

[3] Competencies: The job-related KSAs that a person exercises while performing the duties of any given position. The practical first hand skills are reflective of a member's demonstrated capability to perform specific tasks, which can assist in determining that member's degree of readiness for a specific mission.

[4] Advanced Education Degrees: When required for a position, are an indicator of capability to perform the associated high skill tasks.

[5] Training and Education improve the KSAs of Coast Guard personnel to cultivate a mission ready workforce.

(c) Support: The building blocks of individual readiness are the environmental, physical, nutritional, social, financial, emotional, psychological, behavioral, and spiritual aspects of each member. These aspects can be difficult to capture, but understanding them represents an important element in maintaining the resilience of personnel.

(2) Materiel Element of Readiness: Materiel readiness is determined by the availability and capability of our capital assets, maintenance effectiveness, stocking levels of parts and consumables, and the availability of funds. The material elements of readiness are classified under two categories: Capital Assets and Resources.

(a) Capital Assets: Significant pieces of property or equipment such as buildings, cutters, boats, aircraft, computers, and software. A capital asset is a tangible asset used to support or conduct operations and consist of, but are not limited to:

[1] Facilities: Buildings and structures that house Coast Guard operational or mission support personnel, capital assets, and resources. Considered ready based on habitability, necessary utilities, and the ability to facilitate its intended functions. General readiness levels can be affected by the presence or lack of sufficient facilities.

[2] Cutters: Surface vessels 65' and greater in length. Considered ready when available, determined safe to sail in accordance with minimum critical equipment requirements within Reference (d), and are capable of meeting mission requirements.

[3] Boats: Surface vessels less than 65' in length. Considered ready when available, properly outfitted in accordance with Reference (e), and capable of safely meeting mission requirements when operated as designed.

[4] Aircraft: Aerial vehicles including fixed wing, rotary wing, and unmanned aircraft. Considered ready when available, configured in accordance with the assigned mission, and capable of safely meeting mission requirements when operated as designed.

[5] Information Technology (IT) Equipment: Hardware that enables the Coast Guard to utilize telecommunications and the backbone for computer based mission execution and support. Considered ready based on its current capacity compared to the situational requirements and technical demands. The availability of IT equipment directly affects readiness.

[6] Software: Considered ready when it is operable on the necessary workstations. Enterprise level software executes computer based operations and mission support, and the health, security, and availability of the system directly impacts the readiness of any organization utilizing that software.

[7] Special Mission Equipment: Equipment unique to the execution of a specific mission. Considered ready when available and capable of safely meeting mission requirements for which they were designed. Special mission equipment includes dive equipment, counter unmanned aircraft system hardware, intelligence collection and distribution equipment, etc.

[8] Support Equipment: Equipment necessary to service, repair, or troubleshoot a capital asset. Support equipment includes items such as tow tractors, fuel trucks, power carts, overhead cranes, mobile hoists, automated manufacturing machines, test stands, etc.

(b) Resources: Materials essential to maintaining mission readiness, enabling strategic and operational reach, and providing the endurance to sustain operations for extended durations. Resources are the tangible components needed to support

the operation, maintenance, and preservation of capital assets. Resources consist of, but are not limited to:

[1] Parts: Components for installation on assets and equipment, and are not measured for individual readiness, but have an effect on readiness based on their availability.

[2] Consumables: Consumables are generally non-reusable materials expended during mission execution. The ability to provide consumables at a rate higher than that of the rate of expenditure has a direct effect on mission readiness.

[3] Personal Equipment: Mission and safety essential equipment required for Coast Guard personnel to be ready.

[4] Funding: Indirectly affects readiness by directly impacting the Coast Guard's ability to procure the parts, consumables, equipment, and to perform the maintenance necessary to sustain the operational readiness of its assets.

(3) Governance Element of Readiness: Separate from the people and materiel components, there are many intangible contributing factors to readiness, which govern both the relationships between and manner in which the other elements are used to drive mission readiness. It includes the "ways of doing business" that the Coast Guard employs to utilize its personnel and materiel to meet mission demands and contains components that span both of the other elements. Examples of governance include, but are not limited to: statutory authorities, policies (internal, external, and joint agency policies), interagency and ad-hoc agreements, partnerships, and business processes required to obtain favorable mission outcomes. Governance consists of three categories: Mission Support, Mission Preparation, and Mission Execution.

(a) Mission Support: The category of governance that produces the resources needed for sustained mission execution. Examples of mission support include resource procurement, infrastructure management, and asset maintenance policies.

(b) Mission Preparation: The category of governance that assembles resources into force packages, and prepares them for mission execution. Examples of mission preparation include training doctrines, guidance on audits, inspections, assessments, and force allocation and manning directives.

(c) Mission Execution: The category of governance that enables execution of the mission, fosters interoperability, guides force deployments, and directs tactical actions. Examples of mission execution include theater clearances, delegated authorities, bilateral agreements, and specific tactical procedures.

11. POLICY. This Instruction defines readiness for the Coast Guard and its missions. The Deputy Commandant for Mission Support, Deputy Commandant for Operations, Area, District, and Sector Commanders shall use this definition to ensure a common understanding of readiness as it pertains to all features of the Coast Guard readiness framework (Enclosure (1)).

12. FORMS/REPORTS. None

13. <u>REQUEST FOR CHANGES</u>. This Instruction is under continual review and will be updated periodically. Deputy Commandant for Operations (CG-DCO) will promulgate time-sensitive amendments by administrative notification pending their inclusion in the next change to this Instruction. Any request for changes can be sent to Commandant (CG-DCO-X) at strategy@uscg.mil.

CHARLES W. RAY /s/
Admiral, U.S. Coast Guard
Vice Commandant of the Coast Guard

Encl:　(1) Coast Guard Readiness Framework

Coast Guard Readiness Framework

Coast Guard Readiness is the organizational ability to meet mission demands. The elements of Readiness are personnel, materiel, and governance.

Ready for What?

Personnel *"People"*

Governance *"Policy & Planning"*

Materiel *"Tools" or "Platforms"*

Force Construct
- Size
- Composition
- Diversity & Inclusion
- Recruitment
- Programs
- Retention

Talent Management
- Qualifications
- Certifications
- Competencies
- Degrees
- Training
- Programs
- Advanced Ed

Support
- Psychological & Behavioral
- Physical
- Environmental
- Financial
- Spiritual
- Social
- Nutritional

Capital Assets
- Cutter
- Aircraft
- Boat
- Facilities
- Specialized Mission equipment
- Support Equipment
- IT Equipment
- Software

Resources
- Consumables
- Parts
- Personal Equipment
- Funding

Mission Execution
- METLs & ROC/POEs
- TTPs that address specific operational areas
- Mission Intelligence
- Mission Data

Mission Preparation
- Force Generation
- Global Force Management Process
- FORCECOM Training Doctrine & Pubs
- Plans & Exercises
- STAN Team/RFO visits governed by policy
- Materiel Condition of cutters/aircraft Policy COMDINST
- Personnel annual checks, evals & training

Mission Support
- Resources: PPBE Cycle & Public Law
- Procurement: DHS Fed Acquisition Regs
- Infrastructure: Shore Facility Mgmt Policies
- Maintenance: COMDTINSTs
- **Personnel:** COMDTINSTs, Manuals & Policy