



6. MAJOR CHANGES. N/A

7. IMPACT ASSESSMENT. This Instruction aligns Coast Guard policies and processes to support the Coast Guard's oversight efforts coordinated by the Executive Oversight Council (EOC). All Coast Guard Leaders will assess their policies to ensure unified support of this Commandant Instruction.

8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

a. Commandant (CG-924) reviewed the development of this Commandant Instruction, and the general policies contained within it, and determined that this policy falls under the DHS categorical exclusion A3. No further environmental analysis is necessary in accordance with Reference (f).

b. This Commandant Instruction will not result in any substantial change to existing environmental conditions or violation of any applicable federal, state, or local laws relating to the protection of the environment. It is the responsibility of the action proponent to evaluate all future specific actions resulting from this policy for compliance with the National Environmental Policy Act (NEPA), other applicable environmental mandates, and Reference (f).

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

10. RECORDS MANAGEMENT CONSIDERATIONS. Records created as a result of this Instruction, regardless of format or media, must be maintained and dispositioned in accordance with the records retention schedules located on the USCG Records Resource Center SharePoint site: <https://cg.portal.uscg.mil/units/cg61/CG611/SitePages/Home.aspx>

11. IMPLEMENTATION.

a. Cutter Major Maintenance Availability (MMA):

Cutter MMA is a planned life cycle sustainment activity for fielded cutters to ensure they reach their designed service life. An MMA generally consists of major hull and structural repairs, in addition to the replacement of obsolete or unreliable systems, with the express intent of sustaining operational readiness and regulating maintenance costs. MMAs are not intended to provide new or additional capability, nor are they intended to extend the service life of the cutter.

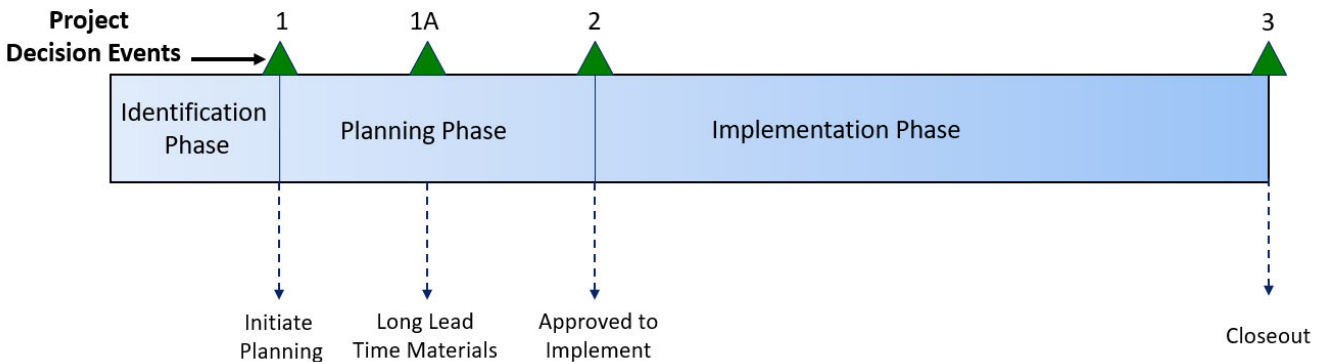
Because MMAs require a significant investment of resources, it is prudent that these availabilities have an appropriate level of programmatic rigor and oversight. This Instruction details the governance process that will provide oversight of the investment made to sustain these cutters.

b. Cutter MMA Process:

The cutter MMA process is composed of three phases (Identification, Planning, and Implementation) and four intervening Project Decision Events (PDEs) (see **Figure 1: MMA Phase and Project Decision Events**). This process is governed by the Executive Oversight Council (EOC), unless delegated to the Non-Major Acquisition Oversight Council (NMAOC). The cutter MMA process uses the Joint Surface Engineering Change (EC) processes to develop work performed during a MMA.

At each PDE, the project must demonstrate progress, affordability, and successful satisfaction of the entrance criteria prior to entering the next phase. These entrance criteria include required documentation as well as programmatic conditions and resources, as defined below. PDEs typically take place at the end of each phase and mark the logical completion of the phase and the beginning of the next phase in the MMA life cycle framework, as detailed below.

Following each PDE brief, the EOC Chair (or NMAOC Chair, if delegated) approves or disapproves advancement through the process.



**Figure 1: MMA Phase and Project Decision Events**

Note: After concurrence of MMA Project Management Integrated Product Team (PM IPT) members, Technical Authorities and other stakeholders, The EOC or NMAOC Chair may approve tailoring of the MMA process, including changes to phases, PDEs, activities, or documentation when they determine it is appropriate for an MMA Project. The risk based tailoring decision will be documented in a decision memorandum from the respective Chair as appropriate.

(1) Identification Phase.

- (a) Identification Phase Overview. The MMA life cycle begins with the Identification Phase during which the Sponsor Representative and Project Manager (PM), in collaboration with Technical Authorities, identify the necessity for an MMA to achieve the planned useful service life of a cutter or cutter class. The Sponsor Representative will provide rationale for moving forward with the MMA and request the PDE-1 brief by contacting Commandant (CG-924) at [HQS-SMB-CG-9-Acquisition-Executive-Secretary@uscg.mil](mailto:HQS-SMB-CG-9-Acquisition-Executive-Secretary@uscg.mil) for coordination. Prior to the PDE-1 brief being scheduled and based on NMAOC members' concurrence, the NMAOC Chair may recommend to the EOC Chair that an MMA project be delegated for NMAOC governance. Commandant (CG-9) will approve or disapprove the recommendation for NMAOC governance in a memorandum, and the PDE-1 briefing will follow. Approval from the EOC or NMAOC Chair at PDE-1 marks the end of the Identification Phase and authorization to enter the Planning Phase.
- (b) Identification Phase Key Activities. Commandant (CG-751) as the Sponsor Representative, coordinates with the Office of Budget and Programs, Commandant (CG-82), the In Service Vessel Sustainment (ISVS) Program Office, Commandant (CG-9323),

the C4ISR Acquisition Program Office, Commandant (CG-9335), the applicable Technical Authorities and other stakeholders, to:

- Identify the necessity for a MMA;
  - Identify funding and staffing;
  - Plan notional MMA Work Items (repair/replace/refurbish, etc.); and
  - Develop a notional project schedule.
- (c) Project Decision Event 1 (PDE-1). PDE-1 will formally designate a MMA project through a decision memorandum. Entrance Criteria include the following:
- Rough Order of Magnitude (ROM) cost estimate developed;
  - Funding identified;
  - Staffing identified for the Planning Phase; and
  - Initial Work Item list developed.

(2) Planning Phase.

- (a) Planning Phase Overview. This phase includes completion of the planning necessary to request approval to obtain Long Lead Time Materials (LLTM) (PDE-1A) and to request approval to enter the Implementation Phase (PDE-2).

The project's planning will be captured in the MMA Management Plan (MP) which will identify the scope, resources, and schedule required to execute the project. The MP is approved by Commandant (CG-9) for EOC governed projects or Commandant (CG-93TD) for NMAOC governed projects, and is reviewed annually and updated as needed (e.g., significant changes in project execution plans, schedule, funding, or resource requirements) throughout the project life.

- (b) Planning Phase Key Activities.

- Establish a PM IPT;
- Develop a cost estimate;
- Identify and manage risk;
- Develop Management Plan;
- Develop Work Item requirements and solutions;
- Develop a project schedule;
- Identify and procure LLTM for each Work Item;
- Develop required documentation to support execution (contracts, detailed Statement of Work (SOW), etc.);
- Develop Engineering Changes for Work Items; and
- Plan contracting/procurement actions.

- (c) Project Decision Event 1A (PDE-1A). PDE-1A will approve procurement of LLTM to support the planned implementation. Entrance Criteria include the following:
- Funding identified;
  - Staffing identified for critical positions needed for the remainder of the Planning Phase;
  - Work Item list updated; and
  - Management Plan finalized and approved.
- (d) Project Decision Event 2 (PDE-2). PDE-2 approves the project to enter the Implementation Phase. Entrance Criteria include the following:
- Funding identified;
  - Staffing identified for the Implementation Phase;
  - LLTM procurement and delivery in process to support production, as applicable;
  - Repair Contracts, Interagency Agreements (IAAs), and Project Orders (as applicable) are in process for Work Items; and
  - Management Plan has been updated or confirmed to be current.

(3) Implementation Phase.

- (a) Implementation Phase Overview. The PM executes the MMA according to the approved MP to include project management and completion of the items on the approved Work Item list. The Implementation phase culminates in PDE-3 in which the project is approved to close out.
- (b) Key Activities.
- Identify and manage risk;
  - Ensure project work is completed using the most effective method, including repair contracts, CG Yard Project Orders, and IAAs; and
  - Accomplish appropriate actions for Work Item completion, leading to project closeout.
- (c) Project Decision Event 3 (PDE-3). PDE-3 will signify approval to close out the project. Entrance Criteria include the following:
- All planned major maintenance actions completed and fielded to cutters.

Note: The Project Manager (PM) of a major availability will provide a project review to the respective oversight council at least once every 12 months. The project briefing and documentation templates are available on the Commandant (CG-924) Portal:

<https://cg.portal.uscg.mil/units/cg9/2/4/Pages/Home.aspx>

c. RESPONSIBILITIES.

- (1) Executive Oversight Council (EOC). The EOC is a Flag/SES-level forum that has overall governance responsibilities for MMA projects. The EOC Chair may delegate direct

governance of MMA projects to the NMAOC. EOC Membership includes principals from Commandants (CG-092), (CG-094), (CG-1), (CG-2), (CG-4), (CG-4D (PIT AO)), (CG-5R), (CG-5P), (CG-6 (CIO)), (CG-7), (CG-8 (CFO)), (CG-9), (CG-91 (HCA)), (CG-92), (CG-93), (CGCYBER (IS AO)), DOL, and FORCECOM. The EOC:

- Conducts PDEs and annual reviews for EOC governed projects; and
- Provides overarching governance for all MMA projects.

(2) Non-Major Acquisition Oversight Council (NMAOC). The NMAOC is an O6/GS-15-level forum that oversees MMA projects delegated by the EOC Chair. Membership includes principals from Commandants (CG-93TD), (CG-0921), (CG-LPL), (CG-1B3), (CG-25), (CG-45), (CG-5RE), (CG-68), (CG-771), (CG-82), (CG-91D), (CG-924), (CG-PAE), DOL-D, and FORCECOM-T. The NMAOC:

- Conducts PDEs and annual reviews for NMAOC governed projects; and
- Provides governance to delegated MMA projects.

(3) Commandant (CG-9).

- Serves as the Chair of the EOC;
- Makes governance decisions recommended by the NMAOC Chair; and
- Serves as Decision Authority for EOC governed MMA projects.

(4) Commandant (CG-93TD).

- Serves as the Chair of the NMAOC;
- Makes governance recommendation to the EOC Chair; and
- Serves as Decision Authority for NMAOC governed MMA projects.

(5) Commandant (CG-924).

- Serves as Executive Secretary to the EOC and NMAOC;
- Serves as the lead for MMA governance policy and process;
- Drafts and processes for signature Decision Memoranda;
- Schedules EOC and NMAOC meetings for Decision and Annual Reviews; and
- Assists Project Manager and Sponsor Representative, as needed.

(6) MMA Project Manager. The MMA PM is the individual who has responsibility and authority to accomplish project objectives for developing, producing and deploying a modified asset. The MMA PM will normally reside in the In Service Vessel Sustainment Program Office (CG-9323), unless otherwise directed by the Assistant Program Executive Officer, Commandant (CG-932) and approved by the NMAOC or EOC Chair. The MMA PM:

- Defines, plans and executes within the established cost, schedule, and performance plan for the MMA project;
- Coordinates activities of project staff;

- Chairs an MMA PM IPT (established per CAO Policy Statement #9, CG-9 IPT Guidebook);
- Seeks decision approvals from NMAOC or EOC Chair;
- Develops and obtains approval for project documentation in accordance with this Instruction; and
- Briefs leadership on significant project events and changes.

(7) Sponsor Representative (Commandant (CG-751)).

- Acts as the principal for the investment before MMA Project Designation at PDE-1.

(8) Technical Authorities (TAs). The Commandant has designated TAs to serve as the Coast Guard's subject matter experts with the authority, responsibility, and accountability to ensure MMA projects are in conformance with statute, policy, requirements, architectures, and standards. Reference (b) covers Engineering Technical Authorities (ETAs) which includes Commandants (CG-1B3), (CG-2), (CG-4) and (CG-6), and the Technical Warrant Holders primarily located in the Logistics and Service Centers. The Technical Authorities are:

- Commandant (CG-1B3) for Human Systems Integration (HSI), which includes manpower, personnel, human performance support and training (HPS&T), human factors engineering (HFE), Systems Safety and Occupational Health (SSOH), Habitability, and Personnel Survivability;
- Commandant (CG-2) for intelligence systems and capabilities, associated Sensitive Compartmented Information (SCI) networks, communications and spaces;
- Commandant (CG-4) for all Coast Guard engineering and logistics efforts;
- Commandant (CG-6) for Command, Control, Communications, Computers, Cyber and Intelligence (C5I) to include enterprise architecture, information security/assurance, and spectrum certification (if applicable); and
- Commandant (CG-8) for financial management to include financial planning and programming, budget formulation and execution, financial and accounting policy and operations, internal & external financial reporting, and financial systems requirements.

12. FORMS/REPORTS. None.

13. REQUEST FOR CHANGES. Commandant (CG-9) will coordinate the promulgation of time-sensitive amendments when needed. Recommendations for improvement or corrections should be submitted directly to Commandant (CG-924).

/DOUGLAS M. SCHOFIELD/  
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Assistant Commandant for Acquisition