

# MISSION MANAGEMENT SYSTEM



**COMDTINST 5200.4B**

**February 2023**

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COMMANDANT INSTRUCTION 5200.4B

Subj: MISSION MANAGEMENT SYSTEM

- Ref: (a) IMO Member State Audit Scheme (IMSAS), 2015  
(b) International Convention on Standards of Training, Certification and Watch keeping for Seafarers (STCW), 2017  
(c) ISO 9001:2015 Quality Management System – Requirements  
(d) Standards Development Program (SDP) for Marine safety, Security, and environmental Stewardship Programs, COMDTINST 5420.32 (series)  
(e) Mission Management System Internal Audit Tactics, Techniques, and Procedures, CGTTP 4-09.5 (series)  
(f) Mission Management System (MMS) Headquarters Implementation Plan, 25 April 2017  
(g) U.S. Coast Guard Environmental Planning Policy, COMDTINST 5090.1 (series)  
(h) U.S. Coast Guard Environmental Planning Implementation Procedures

1. 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 QMS 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 QMS 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 advance mission excellence, consistency, customer focus, and continual improvement, with emphasis on achieving value for the Coast Guard workforce and the customers we serve.
2. ACTION. All Coast Guard unit Commanders, Commanding Officers, Officers-in-charge, Deputy/Assistant Commandants, and Chiefs of Headquarters staff elements shall comply with the provisions of this Instruction. No paper distribution will be made of this Instruction.
3. AUTHORIZED RELEASE. Internet release is authorized.
4. DIRECTIVES AFFECTED. The prior version U.S. Coast Guard Mission Management System COMDTINST 5200.4A, is hereby cancelled.

## 5. DISCUSSION.

- a. A QMS 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 QMS 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). Appendix (a) 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. Appendix (b) 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 for 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. Appendix (c) 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 Reference (e). Flowcharted key processes/procedures and other system documents are available on CG Portal at the MMS Home Page: [Mission Management Systems - 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 missions and programmatic transformation priorities. These objectives are reviewed

and published annually in a Commandant (CG-5P) strategic plan.

- g. Senior leadership and process owners review the reports on MMS performance against the objectives, regulations, and stakeholder requirements and identify improvement actions to ensure the continuing adequacy, suitability, and effectiveness of the MMS. The senior leadership evaluates these details at annual management reviews.
  - h. To improve information dissemination and overall consistency of use, procedural guidance governing use of the *MMS Non-Conformity Report – Corrective Action Request* (CG-5200.1), has migrated from FORCECOM Work Instruction FC-Acmms-WI-MMS01-(01), to Reference (e) The aforementioned FORCECOM work instruction shall be cancelled and archived upon release of this revision.
6. 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 and is not intended to nor does it impose legally binding requirements on any party outside the Coast Guard.
7. MAJOR CHANGES. Critical changes are summarized as follows:
- a. Specifies designation of Mission Management System Coordinators (MMSC) in writing, with an ISO 9001:2015 Lead Auditor certification, at all MMS levels; to include Commandant (CG-5P) Program Offices, National Centers of Expertise (NCOEs), Areas, Districts, and operational units (Sectors and Marine Safety Units (MSUs)).
  - b. Specifies using the *MMS Non-Conformity Report – Corrective Action Request* (CG-5200.1), as the official form for submission of Unit, Oversight, and System nonconformities.
  - c. Added Reference (e) to mandate use of the *MMS Non-Conformity Report – Corrective Action Request* (CG-5200.1).
  - d. Added Reference (f) to define the MMS Headquarters Implementation Plan.
  - e. Added References (g) and (h) to define the U.S. Coast Guard Environmental Planning Policy and Procedures.
  - f. An added requirement for all MMSCs to implement a MMS document control work instruction (WI) to define proper control of MMS documents and records.
  - g. Updated Area Commander Responsibilities to include designating a LANT-54 and PAC-54 Mission Management System Coordinator, clarifying roles and responsibilities, and defining MMS third party audit interaction with the FC-Acmms Staff.
  - h. Updated District Commander Responsibilities to include designating a Prevention Division (dp) Mission Management System Coordinator, clarifying roles and responsibilities, and defining MMS third party audit interaction with the FC-Acmms Staff.
  - i. Updated FORCECOM Responsibilities to clarify roles and responsibilities for FC-Acmms Staff representatives assisting Commandant (CG-5P) Program offices to include the NCOEs Offices required to utilize MMS.

- j. Increased the management review requirement from annually to semi-annually per calendar year, for Commandant (CG-5P) Program Offices, NCOEs, Area & District Prevention Offices, and field-level Prevention units (Sectors and MSUs).
8. SCOPE AND AUTHORITIES. It is recommended the reader become familiar with the directives and publications noted throughout this Instruction. Applicable directives and publications are listed as references on the previous page of this Instruction.
9. IMPACT ASSESSMENT. The policy described in this Instruction does not have an impact on resources.
10. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. 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 References (g) and (h). 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.
11. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located in the Coast Guard Directives System Library internally, and on the Internet at [www.dcms.uscg.mil/directives](http://www.dcms.uscg.mil/directives) .
12. RECORDS MANAGEMENT CONSIDERATIONS. Records created as a result of this Instruction, regardless of format or media, must be managed in accordance with the records retention schedules located on the Records Resource Center SharePoint Online site: <https://uscg.sharepoint-mil.us/sites/cg61/CG611/SitePages/Home.aspx> .
13. RESPONSIBILITIES.
- a. Commandant (CG-5P) shall:
- (1) Be responsible for the performance of marine safety mission areas under the MMS.
  - (2) Develop and distribute guidance to clearly outline the program's strategic priorities and highlight areas of focus for the MMS.
  - (3) Designate in writing, the Traveling Inspection Staff Office Chief (CG-5P-TI) as the Commandant (CG-5P) Quality Manager per Reference (f). Further, the Chief Traveler will serve as the Chair of the Prevention Quality Management Board (PQMB).
  - (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) Designate in writing one office representative with ISO 9001:2015 Lead Auditor certification to serve as the unit MMS Coordinator responsible for:
1. Providing internal office oversight of the MMS.
  2. Ensuring the completion of semi-annual internal audits, documenting audit results and overseeing corrective actions in preparation for FORCECOM and periodic, required IMO audits.
  3. Conducting semi-annual office management reviews to ensure continuing MMS suitability, adequacy, and effectiveness, and maintaining records (e.g. meeting minutes) of the reviews.
  4. Ensuring the *MMS Non-Conformity Report – Corrective Action Request* (CG-5200.1), is used to document and track *Unit Nonconformities* in accordance with Reference (e), and submitting them to the FC-Acmms Staff at: [MMS@uscg.mil](mailto:MMS@uscg.mil) for inclusion in the MMS CAR tracking database.
  5. Ensuring the *MMS Non-Conformity Report – Corrective Action Request* (CG-5200.1), is used to issue *Oversight Nonconformities* in accordance with Reference (e), to operational units at Sectors and Marine Safety Units (MSUs). Further, submit Oversight CARs to the FC-Acmms Staff at [MMS@uscg.mil](mailto:MMS@uscg.mil) for inclusion in the MMS CAR tracking database.
  6. Collaborating with the Quality Manager and FC-Acmms Staff to correct *System Nonconformities* reported within the office's area of responsibility.
  7. Guiding process amendments as necessary to effect continual improvement.
  8. Ensuring proper control of documents and records associated with the MMS, to include implementing a unit MMS work instruction with the following objectives clearly defined:
    - a. To ensure the adequacy of documents prior to inclusion in the MMS.
    - b. To ensure documents are reviewed, updated, and re-approved as necessary.
    - c. To ensure the current revision status of documents is identified.
    - d. To ensure that relevant versions of applicable documents are available at points of use.
    - e. To ensure documents remain legible and readily identifiable.
    - f. To prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

- b. FORCECOM (FC-Acmms) 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) Collaborating with program stakeholders and the FORCECOM Assessment Compliance Team to maintain a current and relevant audit checklist for field units.
  - (4) Coordinating and conducting triennial third party audits of Areas, Districts, Commandant (CG-5P) Program Offices & NCOEs, and operational units required to utilize the MMS, and providing audit reports or consolidated audit results to the program's PQMB.
  - (5) Assisting MMSCs at Commandant (CG-5P) Program Offices & NCOEs required to utilize the MMS, with coordination, execution, and report for office semi-annual internal audits and semi-annual management reviews.
  - (6) Ensuring reported System nonconformities are provided to the appropriate Commandant (CG-5P) Program Office for review and corrective action.
  - (7) Maintaining system records, such as audit findings and corrective action requests. The FC-Acmms Staff will analyze this data for trends and brief the Commandant (CG-5P) PQMB.
  - (6) Providing training and performance support for MMS users and auditors by:
    - (a) Conducting introductory training and/or familiarization sessions as needed.
    - (b) Coordinating ISO and MMS training courses and performance support tools as needed to support MMS users and auditors.
  - (7) Coordinating preparations and execution of periodic IMO audits of the Coast Guard MMS.
- c. Area Commanders shall:
- (1) Develop and deploy internal and/or external 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 and subordinate operational units to meet the requirements of the Commandant (CG-5P) Strategic Plan.
  - (3) Participate periodically during scheduled FORCECOM third party audits of subordinate units as observers or audit team members, coordinating with FC-Acmms Staff to determine appropriate audits or sessions for Area participation.
  - (4) Designate in writing a LANT-54 and PAC-54 (Prevention Operations Planning) office representative with ISO 9001:2015 Lead Auditor certification expertise to serve as the Area MMS Coordinator responsible for:
  - (5) Serving as liaison between operational units, Districts, Commandant (CG-5P) Program



Offices, NCOEs, and FC-Acmms Staff, to promote MMS processes, support correction of Unit and Oversight nonconformities, encourage submission of System nonconformities, and assist MMS stakeholders by ensuring continual improvement of the system.

- (a) Providing LANT-54 and PAC-54 internal office oversight of the MMS.
  - (b) Ensuring the completion of semi-annual LANT-54 and PAC-54 internal audits, Documenting audit results and overseeing corrective actions in preparation for FORCECOM third party and periodic IMO audits.
  - (c) Conducting semi-annual LANT-54 and PAC-54 management reviews to ensure continuing MMS suitability, adequacy, and effectiveness, and maintaining records (e.g. meeting minutes) of the reviews.
  - (d) Guiding process amendments as necessary to effect continual improvement.
  - (e) Ensuring proper control of documents and records associated with the MMS, to include implementing a unit MMS work instruction with the following objectives clearly defined:
    - 1. To ensure the adequacy of documents prior to inclusion in the MMS.
    - 2. To ensure documents are reviewed, updated, and re-approved as necessary.
    - 3. To ensure the current revision status of documents is identified.
    - 4. To ensure that relevant versions of applicable documents are available at points of use.
    - 5. To ensure documents remain legible and readily identifiable.
    - 6. To prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.
- d. District Commanders shall:
- (1) Develop and deploy internal MMS requirements to address District and operational unit 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 Prevention Division (dp) representatives to participate in FORCECOM third party audits of subordinate units as observers or audit team members.
  - (4) Designate in writing a District Prevention Division (dp) representative with ISO 9001:2015 Lead Auditor certification expertise to serve as the District MMS Coordinator responsible for:
    - (a) Serving as liaison between operational units, Areas, Commandant (CG-5P) Program Offices, NCOEs, and FC-Acmms Staff, to promote MMS processes, support correction of Unit and Oversight nonconformities, encourage submission of System nonconformities, and assist MMS stakeholders by ensuring continual improvement of the MMS.
    - (b) Providing District Prevention Division (dp) internal office oversight of the MMS.

- (c) Ensuring the completion of semi-annual District Prevention Division (dp) office internal audits, documenting audit results and overseeing corrective actions in preparation for FORCECOM third party and periodic IMO audits.
  - (d) Conducting semi-annual District Prevention Division (dp) office management reviews to ensure continuing MMS suitability, adequacy, and effectiveness, and maintaining records (e.g. meeting minutes) of the reviews.
  - (e) Guiding process amendments as necessary to effect continual improvement.
  - (f) Ensuring proper control of documents and records associated with the MMS, to include implementing a unit MMS work instruction with the following objectives clearly defined:
    - 1. To ensure the adequacy of documents prior to inclusion in the MMS.
    - 2. To ensure documents are reviewed, updated and re-approved as necessary.
    - 3. To ensure the current revision status of documents is identified.
    - 4. To ensure that relevant versions of applicable documents are available at points of use.
    - 5. To ensure documents remain legible and readily identifiable.
    - 6. To prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.
- e. Operational Unit Commanding Officers shall:
- (1) Execute field-level activities in accordance with existing Commandant (CG-5P), FORCECOM, Area and District MMS and Prevention policy.
  - (2) Complete semi-annual internal audits and document audit results in preparation for FORCECOM third party and periodic IMO audits.
  - (3) Conduct semi-annual unit management reviews to ensure continuing MMS suitability, adequacy, and effectiveness, and maintain records (e.g. meeting minutes) of these reviews.
  - (4) Designate in writing one unit representative with ISO 9001:2015 Lead Auditor certification to serve as the unit MMS Coordinator responsible for:
    - (a) Providing local oversight of the MMS.
    - (b) Ensuring the *MMS Non-Conformity Report – Corrective Action Request* (CG-5200.1), is used to document and track *Unit Nonconformities* per Reference (e), and submitting them to the FC-Acmms Staff at: [MMS@uscg.mil](mailto:MMS@uscg.mil) for inclusion in the MMS CAR tracking database.
    - (c) Identifying and communicating necessary external process changes at the District, Area, or Commandant (CG-5P) Program levels as *System Nonconformities* using the *MMS Non-Conformity Report – Corrective Action Request* (CG-5200.1), per Reference (e), and submitting them to the FC-Acmms Staff at: [MMS@uscg.mil](mailto:MMS@uscg.mil) for inclusion in the MMS CAR tracking database.

- (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.
- (f) Ensuring proper control of documents and records associated with the MMS, to include implementing an MMS work instruction with the following objectives clearly defined:
  - 1. To ensure the adequacy of documents prior to inclusion in the MMS.
  - 2. To ensure documents reviewed, updated and re-approved as necessary.
  - 3. To ensure the current revision status of documents is identified.
  - 4. To ensure relevant versions of applicable documents are available at points of use.
  - 5. To ensure documents remain legible and readily identifiable.
  - 6. To prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

14. FORMS/REPORTS. The *MMS Non-Conformity Report – Corrective Action Request* (CG-5200.1) form referenced in this Instruction is available on the Coast Guard Standard Workstation or on the Internet: [www.dcms.uscg.mil/Our-Organization/Assistant-Commandant-for-C4IT-CG-6/The-Office-of-Information-Management-CG-61/Forms-Management/](http://www.dcms.uscg.mil/Our-Organization/Assistant-Commandant-for-C4IT-CG-6/The-Office-of-Information-Management-CG-61/Forms-Management/).
15. SECTION 508. This Instruction was created to adhere to Accessibility guidelines and standards as promulgated by the U.S. Access Board. If changes are needed, please communicate with the Coast Guard Section 508 Program Management Office at [Section.508@uscg.mil](mailto:Section.508@uscg.mil).
16. REQUEST FOR CHANGES. Comments and suggestions from users of this Instruction are welcomed. Submit recommended changes, comments, and suggestion requests to the FC-Acmms Staff at: [MMS@uscg.mil](mailto:MMS@uscg.mil).

/M. W. RAYMOND/  
Rear Admiral, U.S. Coast Guard  
Commander, Force Readiness Command

Appendix A. MMS Definitions

Appendix B. Overview of How the MMS Functions

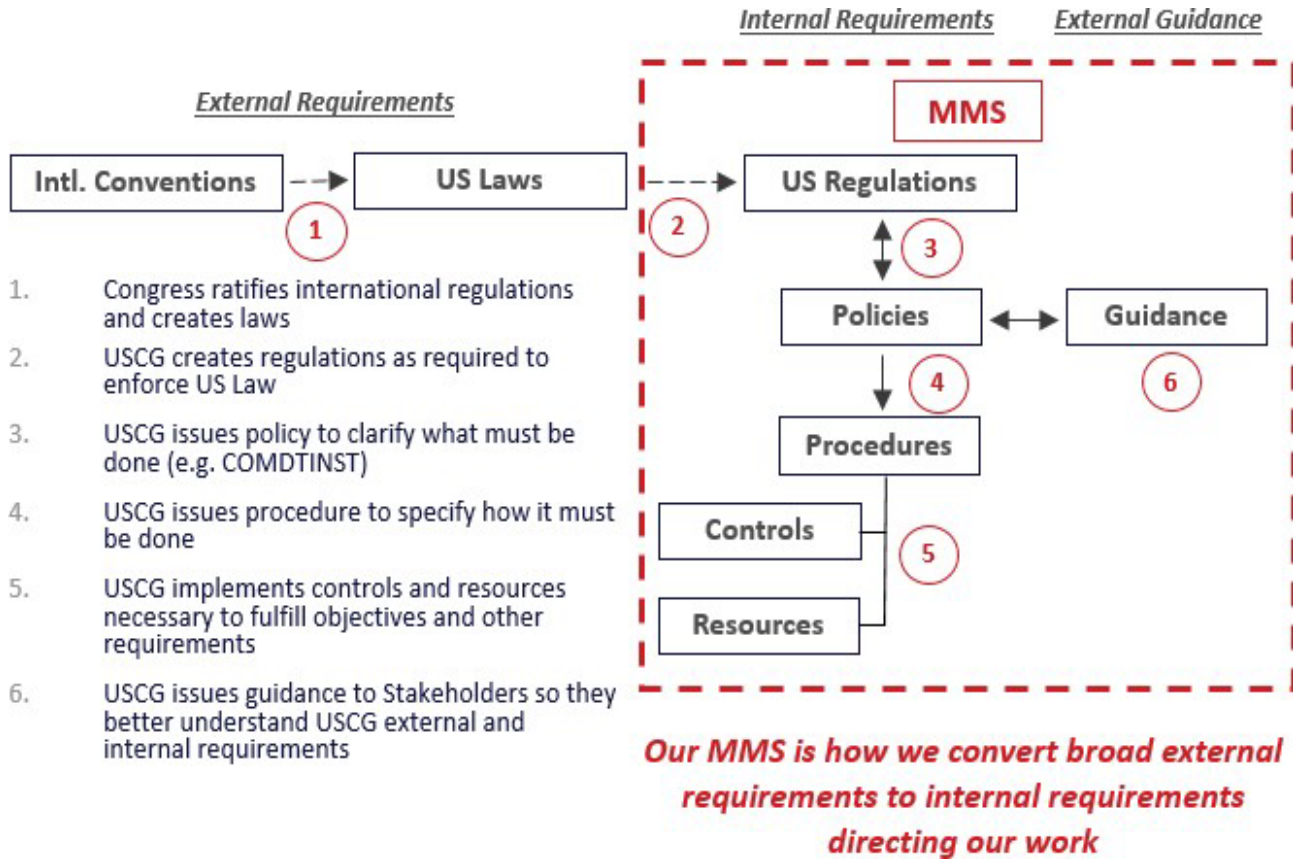
Appendix C. MMS Documentation Hierarchy

## Appendix A. 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. Officially known as the <i>MMS Nonconformity Report – Corrective Action Request</i> (CG-5200.1)
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
Oversight Authority	Any parent command, the MMS staff or any CG-5P Program Office that formulates policy for Prevention Missions
Oversight Nonconformity	Any non-conformity recognized by a CG-5P program element through auditing or any other methodology that requires unit level corrective action
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

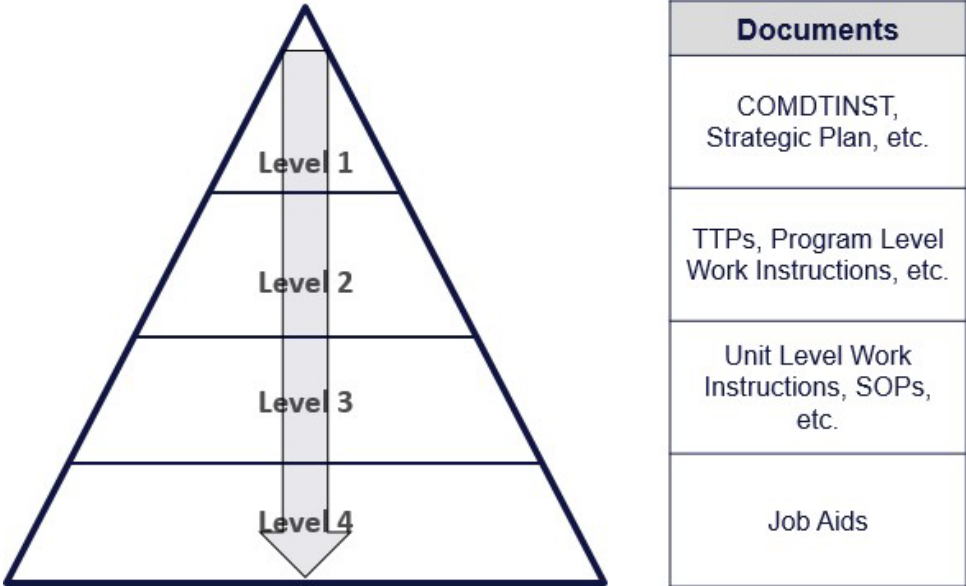
**Appendix B. Overview of How the MMS Functions**



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.

**Appendix C. 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)*