

**COAST GUARD AFTER
ACTION PROGRAM (CGAAP)
AND CORRECTIVE ACTION
PROGRAM (CAP)**



**COMDTINST 3010.19E
March 2023**

THIS PAGE INTENTIONALLY LEFT BLANK



Commandant
United States Coast
Guard

US Coast Guard Stop 7516
2703 Martin Luther King JR Ave SE
Washington, DC 20593-7516
Staff Symbol: CG-5R
Phone: (202) 372-2141
Email: CGSAILS@uscg.mil

COMDTINST 3010.19E
13 MAR 2023

COMMANDANT INSTRUCTION 3010.19E

Subj: COAST GUARD AFTER ACTION PROGRAM (CGAAP) AND CORRECTIVE ACTION PROGRAM (CAP)

- Ref: (a) Emergency Management Manual Volume III – Exercises, COMDTINST 3010.13 (series)
(b) Emergency Management Manual Volume IV – Incident Management and Crisis Response, COMDTINST M3010.24 (series)
(c) U. S. Coast Guard Incident Management Handbook, COMDTPUB P3120.17 (series)
(d) National Container Inspection Program Manual, COMDTINST M16616.11 (series)

1. PURPOSE. This Instruction establishes policy, guidance, and responsibilities for the Coast Guard After Action Program (CGAAP) and Corrective Action Program (CAP) to document and act on lessons learned in exercises, planned real world events, and real world incidents. This Instruction establishes the requirement to utilize the Contingency Preparedness System (CPS) as the system of record for the CGAAP and CAP.
2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, chief of headquarter directorates must comply with the policies contained.
3. AUTHORIZED RELEASE. Internet release is authorized.
4. DIRECTIVES AFFECTED. Coast Guard After Action Program, COMDTINST 3010.19D is cancelled.
5. BACKGROUND.
 - a. The Coast Guard has captured lessons learned, best practices, and recommended improvement actions identified during exercises, planned real world events, and real world incidents since 1978. Various systems were used to store and retrieve this information until 2003, when the web-based CPS was launched to electronically link Coast Guard emergency management plans, exercise planning, and after action reporting.

- b. CPS is the application that supports the CGAAP and CAP. While the Department of Defense (DoD)/Joint Staff and Department of Homeland Security (DHS) each have lessons learned information systems, CPS provides the functionality required by the Coast Guard to rapidly retrieve data on exercises, planned real world events, and real world incidents, their lessons learned, and associated corrective actions. This enables plan improvement and increased ability to respond to senior leaders, DHS, and Congressional queries regarding the fulfillment of the Coast Guard's legislative and policy-mandated exercise requirements.
 - c. The lessons learned, best practices, and corrective actions documented in CPS are searchable by any authorized user of the Coast Guard intranet. Search functions within CPS are continually enhanced to improve user access. CPS content is used to inform emergent incident management and crisis response operations, to support policy development and revision, and to increase senior leader awareness of challenges and opportunities for improvement to Coast Guard operations. CPS content can be further enriched by using Lessons Learned Collection Teams during major incident management and crisis response operations, and by incorporating lessons learned, best practices, and corrective actions from official reports on significant events.
6. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide administrative guidance for Coast Guard personnel and is not intended nor does it impose legally-binding requirements on any party outside the Coast Guard.
7. MAJOR CHANGES. This revision includes the following changes:
- a. Incorporates the Corrective Action Program into the title of the policy to clearly identify the content of the document.
 - b. Implements the corrective actions proposed by the Coast Guard in response to the Government Accountability Office (GAO) report 21-584 *A More Systematic Process to Resolve Recommended Actions Could Enhance Future Surge Operations*.
 - c. Adds a new paragraph on the inclusion of Resource Reporting Summary, Form CG-5294 with After Action Reports (AARs) for Type 1 and 2 incidents/events.
 - d. Updates terminology and definitions and replaces: Remedial Action Issue (RAI) with Corrective Action (CA), Remedial Action Coordinator (RAC) with Corrective Action Officer (CAO), and Remedial Action Management Program (RAMP) with Corrective Action Program (CAP). Delineates the difference between a real world incident (RWI) and a planned real world event (RWE).
 - e. Updates office symbols for program managers.
 - f. Includes the Multi-Agency Strike Force Operation (MASFO) as a situation requiring an AAR.

- g. Includes Mission Area and Core Capabilities as identified in the National Preparedness Goal as an additional field in AARs.
8. SCOPE AND AUTHORITIES. It is recommended the reader become familiar with Emergency Management Manual Volume III – Exercises, COMDTINST 3010.13 (series) as Reference (a).
9. IMPACT ASSESSMENT. Changes in this Instruction do not significantly alter the responsibilities assigned in previous versions of this Instruction. Consequently, there are no significant personnel, training or funding impacts.
10. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. The Office of Environmental Management, Commandant (CG-47) reviewed this Commandant Instruction and the general policies contained within and determined that this policy falls under the Department of Homeland Security (DHS) categorical exclusion A3. 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 requirements, and the U.S. Coast Guard Environmental Planning Policy, COMDTINST 5090.1 (series).
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 if applicable on the Internet at 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/SitePages/CG-611-RIM.aspx>.
13. DEFINITIONS.
- a. Active Collection: On-scene activities to collect information from the involved military and other federal government personnel during ongoing specific operations, events, and exercises, conducted through direct observation, interviews, surveys, and other direct methods.
 - b. After-Action Report (AAR): A command-approved entry in the Coast Guard Standard After Action Information and Lessons Learned System (CGSAILS) module of CPS that captures observations of an exercise, planned real world event, or real world incident and provides recommendations for improvements to Coast Guard response and recovery procedures or policies. Appendix A. describes the elements of an AAR. CPS provides formatted fields that guide the entry of AAR data.
 - c. Best Practice (BP): An innovative or modified practice that resulted in an improved or more effective response that may merit adoption by other units, platforms, or commands.

- d. Contingency: Potential threats and hazards of concern (specified by Coast Guard Directives, or identified through a Threat and Hazard Identification and Risk Assessment) anticipated to occur within a unit or command's area of responsibility. Contingencies may be caused by natural disasters, terrorist acts, accidents, military operations, or other human activities.
- e. Contingency Preparedness System (CPS): A web-based application that links emergency management plans, exercise management, after action reporting, and corrective action management. Emergency Management Plans are catalogued in the Plans module of CPS. The Concept of Exercise (COE) module contains exercise and planned real world event summary documents and budgets. After action reporting is conducted in the CGSAILS module of CPS. Corrective/improvement action management is performed in the CAP module of CPS. A User Guide, available in the Documents section within the CPS Help function, provides a tutorial for using the CPS modules. CPS is available only on the Coast Guard Intranet at the following link: <https://cps.uscg.mil/Fe> .
- f. Corrective Action (CA) (formerly referred to as a Remedial Action Issue (RAI)): A specific and measurable action taken to mitigate a shortcoming identified by a lesson learned. The corrective action may be in the form of a new or improved process, procedure, policy, training program, system, or capability for response. CAs are assigned by Commandant (CG-OEM) to specific units and staff organizations within the Coast Guard, and are tracked using the CAP module of CPS.
- g. Corrective Action Officer (CAO) (formerly referred to as a Remedial Action Coordinator (RAC)): An individual designated by a unit or staff (e.g. program management office) to be the point of contact for coordinating, tracking, and responding to assigned CAs within CPS.
- h. Expenditure Report (ER): A detailed accounting of all expenses related to an exercise or actual event. In accordance with Reference (a), (CH 4.C.1.c.(3)) an ER is submitted with an AAR when required.
- i. Lesson Learned (LL): The articulation of an issue encountered during an exercise, planned real world event, or real world incident that resulted in either a positive or negative outcome. An overview of lessons learned during the exercise or event is included within the AAR. Significant individual lessons of an exercise or event can be further detailed in the Lesson Learned Report (LLR) section of the AAR. Each LLR should be written so that it can be understood outside of the context of the associated event. A LL may focus on specific local issues or have broad interagency implications that can be used to inform future incident management and crisis response operations. Appendix B. describes the elements of a LLR. CPS provides formatted fields that guide the entry of lesson learned data. A LLR may be marked as “information only” or recommended for action to a unit or other action office. A LLR becomes a CA once it is assigned for action by Commandant (CG-OEM) to a specific unit or office upon the AAR’s review and release into CPS.

- j. Lesson Learned Collection Team (LLCT): A LLCT is an incident specific, organized team created to provide support to field level units during large scale incident management and crisis response operations where the field level command(s) may be overwhelmed and require assistance to manage the collection of emerging issues, corrective actions, LL/BP, and the development of an AAR and LLR(s); or to support Commandant in the identification of strategic lessons learned that require headquarters level program involvement to resolve.
- k. Quick Look Report (QLR): An abbreviated version of an AAR that provides commanders and senior leadership a preliminary “snapshot” of issues arising from operations, exercises, or training events. The QLR raises awareness of issues prior to the development of the full AAR. QLRs can be valuable to inform follow-on units and personnel assigned to complex and lengthy real world incidents. A QLR format is provided as Appendix C.

14. WORDING. New wording is applied to this Instruction.

- a. The intended meaning is as follows:
 - (1) “Must” indicates the action is mandatory.
 - (2) “Must Not” indicates the action is prohibited.
 - (3) “Should” indicates the action is recommended.
 - (4) “May” and “Need Not” indicates the action is optional.

15. DISCUSSION.

- a. The CGAAP and CAP is managed by the Coast Guard Office of Emergency Management and Disaster Response (Commandant (CG-OEM)). The CGAAP and CAP are intended to empower organizational learning, improve operations, and enhance preparedness. This program is consistent with and supports the requirements of Presidential Policy Directive-8: National Preparedness (PPD-8), the Homeland Security Exercise Evaluation Program (HSEEP), the National Incident Management System (NIMS), and the Department of Defense/Joint Lessons Learned Program. Commandant (CG-OEM) will determine when a Coast Guard AAR, LLR, BP, or CA is shared with DoD, DHS, or other agency’s lessons learned information systems.
- b. Areas, Districts, Sectors, Marine Safety Units, Bases, Director of Operational Logistics, Training Centers, Service Centers, Deployable Specialized Forces, and other Coast Guard units and commands conducting exercises, planned real world events, or responding to real world incidents are the key participants in the CGAAP. They contribute to improved preparedness by documenting their exercise, planned real world event, and real world incident AARs, LL/BP, and CAs in CPS. Incident Commanders must consider lessons learned collection at the onset of an incident, should utilize the Lessons Learned Collection Manager (LLCM) position in the Incident Command System (ICS) Planning

Section or request a LLCT, and should establish a lessons learned collection plan for major incidents.

- c. District, Area, and Headquarters program managers and CAOs are also key supporters of the CGAAP and CAP. Their review, awareness of, and comments on issues revealed in actual event and exercise AARs contribute to the advancement, development, acquisition, and deployment of improved Coast Guard response plans and capabilities.
- d. Aggressive pursuit and resolution of CAs is essential to strengthening Coast Guard preparedness. CA resolution is the link between lessons “identified” in AARs and lessons “learned” through the achievement of preparedness improvements.
- e. All Coast Guard units are encouraged to use the content within CPS when engaged in incident management and crisis response operations or planning. Units desiring a summary of CPS content on a particular topic or situation to inform their response to emerging incident management and crisis response operations should contact Commandant (CG-OEM) for assistance via e-mail at: CGSAILS@uscg.mil. CG-OEM-3 publishes Lessons Learned Summaries for various contingencies on their CG SharePoint page which can be used for training, updating emergency management plans, and by program managers for identifying LL/BP and emerging trends.
- f. Nothing in this Instruction precludes Coast Guard operational and support communities from establishing and maintaining their own repositories of post-incident or post-activity reports, generally associated with the normal execution of Coast Guard roles and missions (e.g. patrol summaries, mishap reports, major case studies). However, if the activity is tied to an exercise, planned real world event, or real world incident, the LL/BP, and CAs must be documented as an AAR in CPS/CGSAILS. Associated summaries, documents, Incident Action Plans, reports, and case studies may be attached to the AAR in CPS, when appropriate.
- g. All CPS modules are for unclassified information only. For Official Use Only (FOUO), Sensitive But Unclassified (SBU), and Sensitive Security Information (SSI) is allowed, but NO CLASSIFIED MATERIAL is permitted to be entered into CPS. Access to information in CPS containing SSI is protected and requires access to be granted by Commandant (CG-OEM). Contact via e-mail at: CGSAILS@uscg.mil.

16. POLICY AND PROCEDURES.

- a. The following situations require an AAR entry into CPS:
 - (1) Real world incidents or planned real world events designated as (or bearing the characteristics of) ICS Type 1 or Type 2 incidents as described in Reference (b). These may include: oil and hazardous substance responses; suspected terrorist activity or incidents that involve suspected chemical, biological, radiological, nuclear, or high explosive materials, weapons, or devices; natural or man-made disasters; mass rescue operations; marine transportation system disruptions; cyber incident response; mass migration operations; civil disturbance events; National Special Security Events (NSSE); or Marine Events of National Significance (MENS). These include any event

- for which an Incident Specific Preparedness Review (ISPR) is conducted or Federal On-Scene Coordinator (FOSC) Report is submitted. Submission of an AAR for other incidents (e.g. Type 3) or events in order to document noteworthy situations or LL/BP is at the discretion of the operational commander.
- (2) Exercises per the emergency management exercise requirements specified in Reference (a), and the Coast Guard Integrated Preparedness Plan (IPP), including those of just a “support or “participate” level of effort.
 - (3) Military Outloads; joint, interagency, and multi-national force operations and exercises; or operations and exercises involving coordination with the Department of State.
 - (4) Any incident or event that triggers the provisions of a unit’s Continuity of Operations (COOP) Plan.
 - (5) All Multi-Agency Strike Force Operation (MASFO) container inspections as directed by Reference (d).
 - (6) As directed by the operational commander.
 - (7) As directed by Commandant.
- b. Timely submission of AARs is key to addressing identified issues and with sharing LL/BP to the field. An AAR must be submitted via CPS within 60 calendar days after completion of a unit’s participation in an exercise, planned real world event, real world incident, or training event. AARs must be approved by the unit Commander, Commanding Officer, Officer-in-Charge, or their designated representative prior to submission in CPS. The exception to the 60 day requirement is for National Preparedness for Response Exercise Program (PREP) notification drills, which must be approved and submitted in CPS within ten days. An alternate “CPS-EZ” template is available in CPS for notification drills. Units requiring additional time to submit an AAR must contact Commandant (CG-OEM) by e-mail via their chain of command at CGSAILS@uscg.mil to request an extension.
- (1) A detailed Expenditure Report, using the form available in CPS, must be submitted with the AAR when required by Reference (a). The ER must account for the full amount of “AFC-30 Allocated” or “Event Cost Actual,” whichever is greater.
 - (2) All AARs for Type 1 or Type 2 incidents or events must complete and include the Resource Reporting Summary, Form CG-5294. On the CPS Help Docs page as an attachment to the AAR. Incident Commanders should take note of what needs to be tracked on this form at the outset of an incident/event. Submission of the form is optional for all other events.
- c. Units needing to submit classified AARs should first contact Commandant (CG-OEM) for submission instructions. Classified AARs may be submitted via SIPRNET email or

record message systems and must be written using the standard AAR and LLR fields (see Appendix A. and B.

- d. Commandant (CG-OEM) reviews submitted AARs for accuracy and completeness and determines the need for an AAR Program Review based on the scope and content of the AAR. Straight-forward AARs with issues not requiring significant coordination are reviewed and directly released by Commandant (CG-OEM) for Coast Guard-wide consumption in CPS. More complex AARs with multiple CAs or strategic level issues may be subject to an AAR Program Review before their release in CPS. This review, convened and chaired by Commandant (CG-OEM), includes participation by Headquarters program manager staffs having equities in the lessons articulated in the AARs, the submitting unit, and Area and District chain of command and appropriate staffs. Appendix D. lists the Headquarters program manager staffs that regularly participate in AAR Program Reviews or are commonly assigned CAs; however, this list does not preclude participation by other program manager staffs with equities in the content of the AAR. Commandant (CG-OEM) provides copies of the AAR to all participants for their familiarization prior to the AAR Program Review. The AAR Program Review facilitates complete understanding of the lessons learned and CAs identified in the AAR. The review enables the assignment of CAs to the most appropriate unit or staff element to take the corrective actions needed to improve Coast Guard preparedness. Appendix E. displays the Coast Guard AAR and CAP process.
- e. When an AAR is released in CPS, Commandant (CG-OEM) notifies the submitting unit, the Area and District chain of command, and appropriate program offices listing any CAs, and identifies which unit(s) or staff element(s) have responsibility for taking corrective action.
- f. CAs are managed through the CAP module of CPS.
 - (1) Units or staff elements assigned a CA as the Action Office must accept or decline (with explanation) the assignment within seven days.
 - (2) Initial comments regarding the status and approach to resolving the CA must be submitted in CAP by the responsible unit or staff element within 30 days after assignment.
 - (3) Commandant (CG-OEM) review of all submitted comments must be completed before the comments are released for Coast Guard-wide consumption in CAP.
 - (4) Units and staff elements must regularly query the CAP database with their operating facility (OPFAC) number to identify any outstanding CAs assigned to them as Action Office. Comments on completion progress should be submitted regularly until the CA is resolved.
 - (5) Units must regularly review any outstanding CAs for which they are the Originator for additional comments and to validate continued relevance or completion.

- (6) Staff elements and units assigned responsibility for addressing/correcting a CA should attempt to validate the effectiveness of the developed solution before seeking CA closure. CA comments must describe the solution and explain how the solution was validated.
- (7) Commandant (CG-OEM) establishes CA completion targets in Strategic Planning Direction, monitors CA completion rates, and initiates follow-up to units and staff elements, as required.
- g. In addition to the development and processing of Coast Guard AARs described in this Instruction, the Coast Guard may charter or receive other post-incident reports, such as ISPR, FOSC Reports, National Incident Commander (NIC) Reports, reports from other agencies, or industry group reports. The Coast Guard Headquarters office with policy oversight responsibility for the generated contingency report(s) has responsibility to determine and prioritize which recommendations the Coast Guard will act on, and to track the selected recommendations using CPS. Commandant (CG-OEM-3) can advise the office with policy oversight responsibility on methods for prioritizing recommendations and for tracking the resolution of recommendations within CPS.
- h. Quick Look Reports: A QLR must be submitted during an ongoing operation, or within seven days of the completion of an operation, exercise, or training event, when required by Commandant, the operational commander, Exercise Director, or the unit Commanding Officer/Officer-in-Charge. The purpose of the QLR is to inform leadership of emerging issues in advance of the development of the more comprehensive AAR. QLRs are not a substitute for the AAR, but must be included as an attachment when the AAR is submitted in CPS. When a QLR is prepared, it must be submitted to the operational commander in the format shown in Appendix C, with an information copy provided to Commandant (CG-OEM). For ongoing operations, additional QLRs may be requested or scheduled.
- i. Exercise Credit For Real World Events: A response to a real world incident or event may fulfill a unit's emergency management exercise requirement. The lessons learned and corrective actions identified in the response must be documented in an AAR. Units seeking exercise credit for participation in a real world incident or event should consult procedures in Reference (a).
- j. Lesson Learned Collection Teams/Active Collection: Coast Guard responses to real world incidents or events can provide valuable opportunities to document LL/BP that may lead to improvements in Coast Guard preparedness. Units facing large, complex, or lengthy incident management and crisis response operations must consider the formation and use of a dedicated LLCT to gather key data and reports, interview key response personnel, and assist in the development of the AAR. Units desiring surge assistance to establish such a team must submit a resource request for support, and notify Commandant (CG-OEM) via the chain of command.

- k. For certain Type 1 or Type 2 incidents or events, Commandant (CG-5RI) may direct the use of a LLCT to assist in the gathering of data to support Headquarters program offices in identifying strategic lessons learned which have impact across the Coast Guard.
- l. Commandant (CG-OEM) will support the establishment of the LLCT in coordination with Areas, Districts, the Surge Staffing Section (PSC-PSD-SSS), and Headquarters program offices (for subject matter experts as required).

17. RESPONSIBILITIES.

- a. Commandant (CG-OEM) must:
 - (1) Coordinate the review, validation, and approval of AARs in CPS/CGSAILS.
 - (2) Provide regular notifications of overdue AARs and grant extensions to due dates upon request in order to maintain timely submission of AARs.
 - (3) Provide notification of AARs and CA comments released in CPS to Coast Guard units, Area and District chain of command, program offices, and CA offices.
 - (4) Assign CAs to appropriate units and program elements for action or review/comment, and track CAs to completion in CPS/CAP.
 - (5) Schedule, chair, and document AAR Program Reviews to adjudicate AARs containing issues of program interest or with policy implications.
 - (6) Approve comments on CAs submitted by units and program action offices.
 - (7) Provide training and timely customer service on all matters pertaining to CPS, the CGAAP and CAP, and maintain an up-to-date CPS User Guide.
 - (8) Coordinate with Commandant (CG-6) to ensure technical support and system documentation is in place to support CPS availability and maintenance, and to satisfy Coast Guard operating system requirements.
 - (9) Coordinate with Commandant (CG-761) to ensure new and existing capability requirements are captured and verified for CPS.
 - (10) Produce summaries of LL/BP, tailored to inform emergent incident management and crisis response operations, when requested.
 - (11) Establish a working relationship with and serve as the Coast Guard first point of contact for the lessons learned organizations of the DHS, other federal agencies, the Joint Staff, and the DoD Services. Provide support to these organizations, as appropriate.
 - (12) Share or refer for action Coast Guard AARs, LL/BP, and CAs to DoD/Joint and DHS lessons learned and corrective action systems, when appropriate.

- (13) Support active collection efforts for major incident management and crisis response operations, when requested.
- b. Headquarters program Office Chiefs or Administrators must:
- (1) Designate a CAO for their office or divisions. This individual must:
 - (a) Review AARs and CAs that describe contingencies or issues within the purview of their office programs.
 - (b) Attend AAR Program Reviews as scheduled by Commandant (CG-OEM) to provide program guidance regarding the lessons and recommended CAs described in AARs.
 - (c) Serve as the focal point for CAs assigned by Commandant (CG-OEM) to their program office or division and comment on and track toward resolution in CPS.
 - (2) Prepare and disseminate appropriate policy and guidance to resolve CAs identified in AARs.
 - (3) Provide technical expertise and support to active collection efforts for major incident management and crisis response operations, as required.
- c. Areas, Districts, Sectors, Marine Safety Units, Bases, Director of Operational Logistics, Training Centers, Service Centers, Deployable Specialized Forces, and other Coast Guard units and commands conducting exercises, planned real world events, or responding to real world incidents must:
- (1) Actively collect data and document lessons learned during all major incident management and crisis response operations and submit an AAR in CPS. Consider use of LLCT during major operations and exercises or seek active collection support from the chain of command (info Commandant (CG-OEM)), as appropriate. Include provisions for this effort when developing Incident Action Plans.
 - (2) Evaluate all emergency management exercises and planned real world events and submit an AAR in CPS.
 - (a) Submit Expenditure Reports with the AAR as required by paragraph 14.b.(1).
 - (3) Participate in AAR Program Reviews for all AARs submitted by the unit (or subordinate units), to provide unit-level perspective on the issues encountered.
 - (4) Assign a CAO to take timely/appropriate action on CAs and track progress toward resolution in CPS.
 - (a) Area/District CAOs must provide oversight of CA accomplishment at the Area/District staff and must coordinate with CAOs of subordinate units.

- (5) Convene corrective action boards to manage CAs and feed solutions into the planning cycle. Active or recently resolved CAs must be reviewed during the IPP process and should be considered for inclusion in future exercises to validate the effectiveness of the solution.
18. FORMS/REPORTS. The forms referenced in this Instruction are 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/ .
19. SECTION 508. This Instruction adheres 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.
20. REQUEST FOR CHANGES. Units and individuals may formally recommend changes through the chain of command using the Coast Guard Memorandum. Comments and suggestions from users of this Instruction are welcomed. All such correspondence may be emailed to Commandant (CG-OEM) at: CGSAILS@uscg.mil.

/JO-ANN F. BURDIAN/
Rear Admiral, U. S. Coast Guard
ASSISTANT COMMANDANT FOR
RESPONSE POLICY

- Appendix:
- A. After Action Report Format/Standard Fields
 - B. Lessons Learned Report Format/Standard Fields
 - C. Quick Look Report Format
 - D. Program Managers for Specific Contingencies/Programs
 - E. Coast Guard After Action and Corrective Action Process
 - F. Acronym List

THIS PAGE INTENTIONALLY LEFT BLANK

AFTER ACTION REPORT FORMAT/STANDARD FIELDS

AARs are formatted using the standard fields shown below. These fields correspond to the AAR data fields found in CPS.

1. ADMINISTRATIVE DATA. Provides identifying information including Event Name, Dates, Submitting Unit, Point of Contact, and drop down options to enable CPS users to retrieve AARs on a variety of search criteria.
2. GENERAL DESCRIPTION. A summary of operational highlights while addressing areas such as effectiveness, efficiency, coordination, and interoperability. For discussion based exercises you should provide the purpose of the exercise, format, and general discussion points.
3. OPERATIONAL DATA. Used to discuss the exercise scenario, the overall incident management concept, and describe how operational assets were employed. Details should include the type and quantity of assets/resources utilized, timeline, scenario, and the missions and activities in which they were engaged. For a discussion based exercise you should provide the agenda, scope, scenario, timeline, questions, key discussion points, decisions, and summaries of presentations.
4. SUPPORT DATA. Discuss specific support issues such as planning documents, personnel requirements, logistics/supplies, financial issues, legal issues, and public affairs items. You may include a summary of data from participant feedback forms.
5. LOCATION OF OPERATIONS. Facility name, address, city, state, etc.
6. LOCATION OF PERSONNEL. Facility name, address, city, state, etc.
7. MISSION AREA AND CORE CAPABILITIES. Identify the Mission Areas and Core Capabilities (as identified in the National Preparedness Goal) that were exercised.
8. OBJECTIVES AND LESSONS LEARNED/BEST PRACTICES. Must identify each objective and sub-objective and state whether it was met, not met or partially met, as well as how it was met or why it was not met or only partially met. Summarize lessons learned and best practices. You may identify each by preceding with "LL:" or "BP:". Minor issues requiring local unit action only that are easily resolvable can be listed along with the recommended action. Detailed information on major lessons learned should be entered in the individual Lesson Learned Reports and not repeated here.
9. LIMITATIONS AND CASUALTIES. Discuss all limitations/casualties encountered during the exercise, planned real world event, or real world incident and their impact.
10. PARTICIPANTS. List of Coast Guard units and other agencies, organizations or industry partners involved in the exercise, planned real world event, or real world incident.
11. PLANS. Link the AAR to the plans that were exercised or tested.

THIS PAGE INTENTIONALLY LEFT BLANK

LESSONS LEARNED REPORT FORMAT/STANDARD FIELDS

Lessons learned and best practices are summarized in AARs and individual LL/BP, or issues requiring a corrective action, can be further articulated in the Lesson Learned Report (LLR) using the standard fields shown below. These fields correspond to the data fields found in CPS. Each LLR should be limited to one issue or topic area. Acronyms must be spelled out (first use) in each LLR as it is often viewed separately from the AAR.

1. ADMINISTRATIVE DATA. The administrative data associated with each lesson learned is very important for retrieving lessons learned by a number of categories. This data enables users to retrieve lessons learned ranging from a general to a very specific set of search criteria. The administrative data includes the following:
 - a. **TITLE:** This is not the same as the event name. The title should be a short phrase that can be easily recognizable as the main theme or recommendation of the lesson learned. There is a 150 character limit to the title field in CPS.
 - b. **RECOMMENDED ACTION:** CPS provides a drop down menu of choices that allow the user to identify what level of command is recommended for follow-on action. If the lesson learned requires no action then it must be characterized as “information only.” The system, upon retrieval, color-codes all lessons learned with red flags for those requiring further action, green for those that are information only and blue for those that have been implemented.
 - c. **TYPE OF CONTINGENCY:** Choose the contingency that was supported during the event, or that pertains to this specific lesson learned, from the drop down menu.
 - d. **ICS CATEGORY:** Choose the ICS position from the drop down menu that would most likely deal with the theme of the lesson learned. The Coast Guard Incident Management Handbook, COMDTPUB P3120.17 (series) is a good reference if additional background is needed to select the most appropriate ICS position.
 - e. **CORE COMPONENT:** This drop down menu category helps define the lesson learned in the context of what component of a plan was being exercised or executed. The Core Components are based on the National Preparedness for Response Exercise Program (PREP) but can be adapted for all contingencies.
 - f. **RECOMMENDED ACTION AREA:** This drop down menu allows choosing what area is the best place to implement the recommendation of the lesson learned. This is especially important because it places the lesson learned in the context of how best to improve Coast Guard readiness via performance, prevention, plans, or policy.
 - (1) Plans - The issue relates to one the plans executed during the event.
 - (2) Policy - The issue related to an internal document (i.e., Commandant Instruction or District Note).
 - (3) Prevention - The issue relates to a standard or regulation.

- (4) Performance - The issue relates to an operational function during the response or within the Incident Command System structure.
2. OBSERVATION. Should contain brief factual statement of the observed success or problem. Statement can be (1) positive about something done exceptionally well, or about procedures used that should be shared, (2) negative about something that happened that should not have occurred, or something that did not occur but should have.
 3. DISCUSSION. Should amplify the success or problem described in the observation. Should answer the questions “Who, What, When, Where, Why, and How.” This should be the most detailed section and provide the context in which the lesson was learned.
 4. LESSON LEARNED/BEST PRACTICE. Should contain information of the positive action taken to generate success or the action that should be taken to avoid or alleviate or work around a problem; the common recognition of a more effective or efficient way of responding to a specific situation that is likely to recur; or a response practice that proved ineffective for a specific situation that is likely to recur. Lessons learned can be preceded with (LL) and best practices with (BP) to help identify them.
 5. RECOMMENDATION. Should contain a statement of how to repeat the success or permanently correct the problem and who should make the correction. The recommendation could result in changes to existing plans, policies, or procedures, procuring new equipment, changing force structure, revising command relationships, or improving training. Limit the number of recommendations and try not to mix multiple recommended action offices on each LLR. This makes it easier to assign and track completion of Corrective Actions. The recommendation should follow the SMART (Specific, Measurable, Achievable, Relevant, Time-bound) criteria.
 6. COMMENT. (Optional) May include any additional pertinent comments or information such as points of contact who have been involved with the issue. May contain the chain of command’s recommendation on the disposition of the lesson learned.

QUICK LOOK REPORT FORMAT

(Submit via message or e-mail, note is not a substitute for the AAR and must enter in CPS as attachment to AAR.)

1. Unit Name:
2. Event Name:
3. Inclusive Dates: DD/MM/YYYY – DD/MM/YYYY
4. Introduction:

a. Background:

b. Objectives/Outcomes:

(1) One

(2) Two

(3) Three

c. Summary of Participants/Command Structure:

5. Emerging Issues:

a. Strengths:

(1) Title

short write-up (include any recommendations)

(2) Title

short write-up

(3) Title

short write-up

b. **Areas for Improvement:**

(1) Title

short write-up (include any recommendations)

(2) Title

short write-up

(3) Title

short write-up

6. Additional Comments:

7. Released By: (name, email, phone)

THIS PAGE INTENTIONALLY LEFT BLANK

PROGRAM MANAGERS FOR SPECIFIC CONTINGENCIES/PROGRAMS

CBRN Incident	CG-721
Civil Disturbance	CG-MLE
Communicable Disease	CG-OEM / CG-112
Cyber Incident Response	CG-791 / CG-FAC
Foreign Humanitarian Assistance/Disaster Response	CG-DCO-I / CG-ODO / CG-OEM / CG-SAR / CG-MER
Homeland Defense	CG-ODO
Mass Rescue Operations	CG-SAR
Marine Transportation System Disruption/AMSTEP	CG-FAC
Mass Migration	CG-MLE
Military Outload (MOL)	CG-MSR
Short Notice Maritime Response	CG-ODO
Defense Mission Readiness Support	CG-ODO
Ports, Waterways, and Coastal Security (PWCS) Anti-Terrorism	CG-MSR
Oil and Hazardous Substances/PREP	CG-MER
Continuity of Operations (COOP)	CG-OEM
Natural/Man-made Disaster	CG-OEM

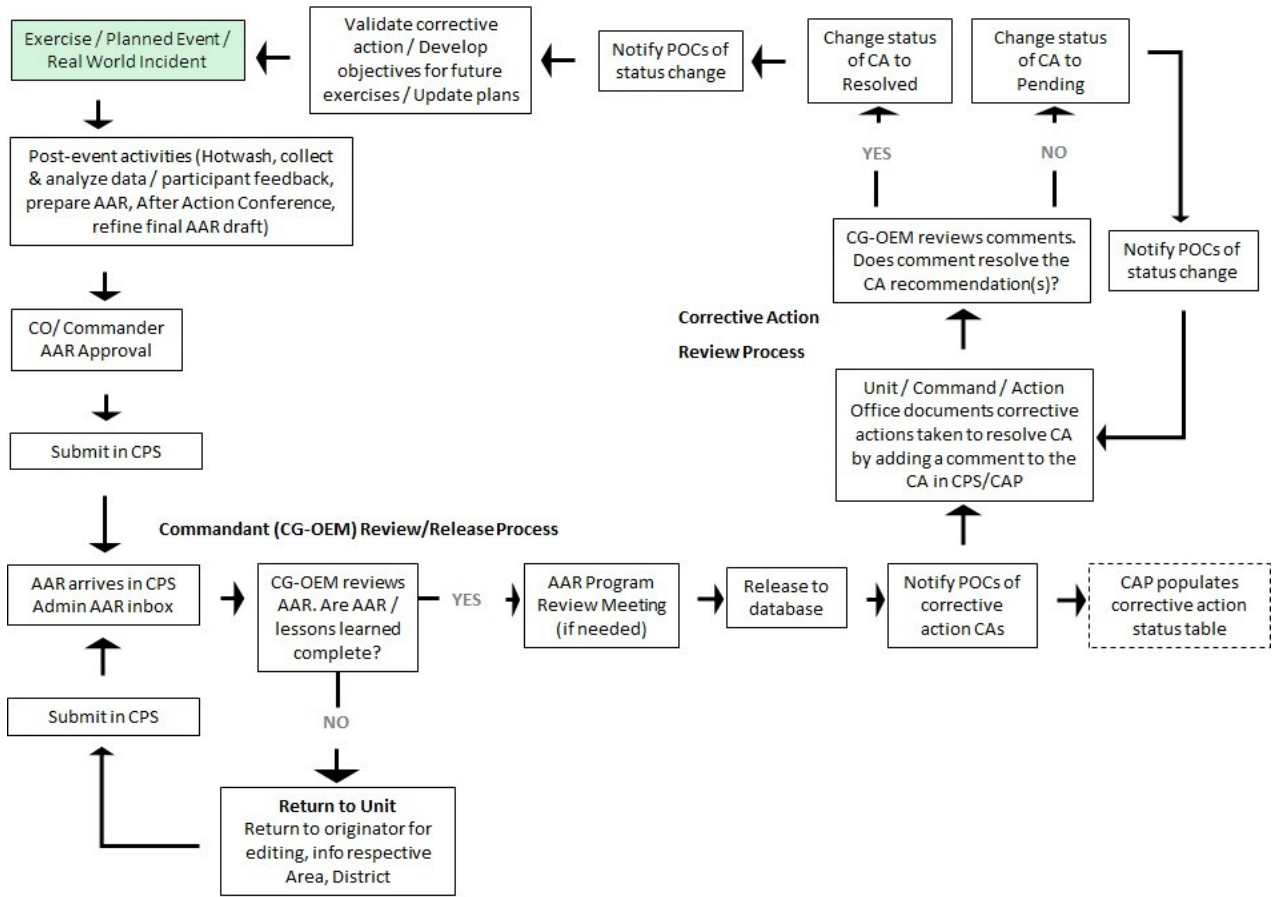
COMMON PROGRAM OFFICES INVOLVED WITH AARs AND CAs

Governmental and Public Affairs	CG-092
Legal	CG-094
Reserves	CG-R
Human Resources	CG-1
Personnel Accountability	CG-1B1
Personnel Services Center	PSC
Health Safety and Work Life (HSWL)	CG-11
Force Protection	DCMS-34
C4IT	CG-6
C3 Engineering	C3CEN
Telecommunications and Information Systems	C5ISC
Base Operations	DOL-3
Contingency and Deployable Logistics	DOL-4
Aviation Forces	CG-711
Specialized Capabilities	CG-721
Boat Forces	CG-731
Shore Forces	CG-741
Cutter Forces	CG-751
C4IT & Information Systems	CG-761
Requirements and Analysis	CG-771
Cyberspace Forces	CG-791
CG Innovation Program	CG-926
National Command Center	CG-NCC
Global MOTR Coordination Center	DCO-G

Intel	CG-2
CG Auxiliary & Boating Safety	CG-BSX
Port Facilities/Containers/Marine Transportation Systems (MTS)	
Recovery & Salvage/Area Maritime Security/MASFO	CG-FAC
Vessel Security	CG-CVC
COCOM Support/Defense Operations	CG-ODO
Maritime Law Enforcement	CG-MLE
PWCS/Port Readiness/MOL	CG-MSR
Marine Firefighting/Marine Environmental Response/PREP	CG-MER
International & Domestic Port Security	CG-PSA
Waterways & Ocean Policy	CG-WWM
International Ice Patrol	IIP
Navigation Systems	CG-NAV
Cyber	CGCYBER
Training and TTP	CG FORCECOM
Doctrine	CG-0951

Note: This list does not preclude participation in AAR Program Reviews by any other program manager staff with equities in the lessons articulated by a particular AAR.

COAST GUARD AFTER ACTION AND CORRECTIVE ACTION PROCESS



AAR/CA Comment Submission Timeline:

PREP Notification AAR/CPS-EZ Form submission	10 days after exercise/event/incident completion
AAR (all except PREP Notification) submission	60 days after exercise/event/incident completion
CA Action Office accepts or declines CA	7 days after AAR release
CA Action Office submits initial comments	30 days after AAR release

THIS PAGE INTENTIONALLY LEFT BLANK

ACRONYM LIST

AAR	After Action Report
AMSTEP	Area Maritime Security Training and Exercise Program
BP	Best Practice(s)
CA	Corrective Action
CAO	Corrective Action Officer
CAP	Corrective Action Program
CG-OEM	Office of Emergency Management and Disaster Response
CGAAP	Coast Guard After Action Program
CGSAILS	Coast Guard Standard After Action Information and Lessons Learned System
COE	Concept of Exercise
COMDTINST	Commandant Instruction
COOP	Continuity of Operations
CPS	Contingency Preparedness System
DHS	Department of Homeland Security
DoD	Department of Defense
ER	Expenditure Report
FORCECOM	Force Readiness Command
FOSC	Federal On-Scene Coordinator
FOUO	For Official Use Only
GAO	Government Accountability Office
HSEEP	Homeland Security Exercise and Evaluation Program
ICS	Incident Command System
ISPR	Incident Specific Preparedness Review
LL	Lesson(s) Learned
LLCM	Lessons Learned Collection Manager
LLCT	Lessons Learned Collection Team
LLR	Lesson Learned Report
MASFO	Multi-Agency Strike Force Operation
MOL	Military Outload
MTS	Marine Transportation System
NARA	National Archives and Records Administration
NIC	National Incident Commander
NIMS	National Incident Management System
OIG	Office of Inspector General
OPFAC	Operating Facility
PPD	Presidential Policy Directive
PREP	National Preparedness for Response Exercise Program
QLR	Quick Look Report
RWE	Planned Real World Event
RWI	Real World Incident
SIPRNET	Secret Internet Protocol Router Network
SSI	Sensitive Security Information

THIS PAGE INTENTIONALLY LEFT BLANK