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United States Coast Guard

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COMDTINST 16200.6

OCT 23 1995

COMMANDANT INSTRUCTION 16200.6

Subj: **LAW ENFORCEMENT PLANNING AND ASSESSMENT SYSTEM**

Ref: (a) G-OLE Program Description
(b) MLE Manual, COMDTINST M16247.1A, Chapter 1 & Enclosure 11

1. **PURPOSE**. This instruction establishes policies, procedures, and standards for the Coast Guard Enforcement of Laws and Treaties (ELT) Planning and Assessment System.

2. **ACTION**. Area and District Commanders shall ensure that the provisions of this Instruction for the implementation of the ELT Planning and Assessment System are followed.

3. **DIRECTIVES AFFECTED**. None.

4. **BACKGROUND**. The U.S. Coast Guard has developed a Planning & Assessment System for the Office of Law Enforcement and Defense Operations, Operational Law Enforcement Division G-OLE). This is part of an ongoing effort to improve the effectiveness of planning, execution and assessment activities throughout the Coast Guard.

4. **DISCUSSION**. The principal aim of the Planning & Assessment System is to ensure that planning and measurement information is distributed throughout the chain of command in an effective and timely manner to support operational mission execution. It is important that planning leads the opera-

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tional activity in the process to maximize attainment of program goals, and that each operational cycle be assessed to measure performance and planning effectiveness. The Planning & Assessment System serves as a bridge between the Headquarters Strategic Planning, Long Range Planning, Programming, Budgeting, Execution and Evaluation System (SPPBEES) and the Operational Commanders.

a. The process flow for the ELT Planning & Assessment System is shown in **Figure 1, Planning and Assessment Process Flow**. This process flow depicts three organizational levels in the planning and assessment process, highlights the primary flow of planning and assessment information between the levels, and presents the timeframes for accomplishing each major step in the process.

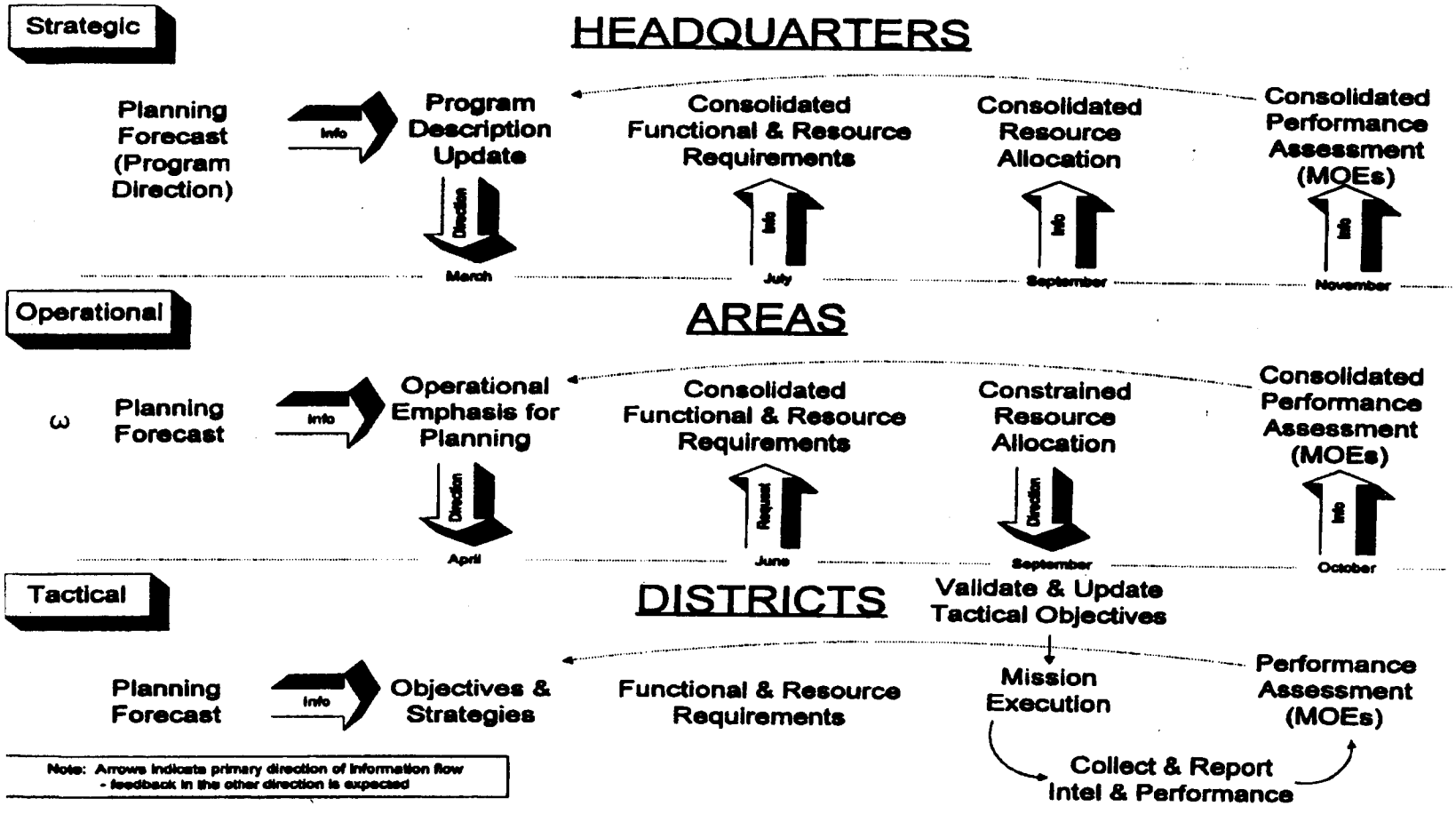
b. The scope of the Planning & Assessment System includes the active planning, alignment and management of the law enforcement mission at the Headquarters, Area and District levels. The information developed as part of this system will be used by the Program Manager to feed the overall Coast Guard planning process and to support the budget preparation process.

c. The principal activities and/or products in the process flow are:

(1) **Strategic: Planning Forecast (Program Direction).** This is a mid-to-long-range forecast of national policy, program priorities, driving factors, and threat assessments applicable to the overall law enforcement program. This planning forecast has an overall national and international perspective to support near-term changes in program direction in response to national priorities, budget planning and development efforts, and long-term planning to support major acquisitions (e.g., cutters, aircraft). The COMDT (G-OLE) Program Direction provides a synthesis and summarization of the factors that make up this planning forecast and captures them in a formal management document.

(2) **Strategic: Program Description Update.** This is the primary program guidance which serves as a living document containing Coast Guard-wide Program Goals, Objectives, Standards and Measures of Effectiveness. This document will be updated annually and promulgated to start the planning and assessment cycle. The Maritime Law Enforcement Program

PLANNING AND ASSESSMENT PROCESS FLOW



Direction will be distributed in conjunction with the Program Description Update. COMDT (G-OLE-1) has coordinating responsibility for annually updating and promulgating this document to the Area Commanders.

(3) **Operational: Planning Forecast.** Focused on the operational and/or theater level, the Area Commanders are responsible for maintaining and updating a planning forecast to support near-term resource planning and allocation. This planning forecast considers national policy, program guidance and priorities, driving factors, and threat assessments applicable to the Area execution of the law enforcement program. It has an Area perspective to support near-term changes in program direction in response to national priorities, program guidance and operational requirements. The frequency of the planning cycle is the responsibility of the Area Commander and should be established to match Area requirements and meet the planning requirements of the ELT program.

(4) **Operational: Operational Emphasis for Planning.** The Area Commanders combine the direction from the Program Description Updates with the planning forecast to develop a set of operational objectives and strategies, called the Operational Emphasis for Planning, to address the program standards and apply Area priorities and focus. The Operational Emphasis for Planning should include expected performance standards and measures. This direction is to be provided by the Area Commanders to the District Commanders along will the Program Description Update as planning and performance measurement guidance.

(5) **Tactical: Planning Forecast.** Focussed on the tactical level, the District Commanders are responsible for maintaining and updating planning forecasts to support near-term operational mission execution. This planning forecast considers national policy, Area guidance and priorities, driving factors, and threat assessments applicable to the District execution of the law enforcement program. It has a District perspective to support near-term changes in program direction in response to national priorities, program guidance and operational requirements. The frequency of the planning cycle is the responsibility of the District Commander and should be established to match District requirements and meet the planning requirements of the Area Commander and the ELT program.

(6) **Tactical: Objectives & Strategies.** The District Commanders combine the direction from the Area Commanders with their planning forecasts to develop objectives and strategies to address the program standards, including expected performance standards. These objectives and strategies will be promulgated via District policy and operational guidance (e.g. Business Plans, SOPs, Quarterly OPORDERs).

(7) **Tactical: Functional & Resource Requirements.** Based on the objectives, strategies and planning forecasts, the District Commander develops two sets of operational requirements to meet the program standards and fully accomplish the assigned law enforcements missions. The first reflects the operational and functional capabilities required, expressed in terms of surveillance, interdiction and prosecution activities. The second reflects the operational and functional capabilities expressed in terms of the desired existing Coast Guard asset types (e.g., cutter, aircraft). These requirements reflect the types and quantities of resources to fully accomplish the Program Goals, Objectives and Standards applicable to the District. Standard operational and functional capabilities of existing Coast Guard assets are described in the Program Description and the MLE Manual, Enclosure 11. These functional and resource requirements are provided to the Area as part of the Area asset allocation process.

(8) **Operational: Consolidated Functional & Resource Requirements.** The Area Commander consolidates the District Operational Requirements and provides them as information to Headquarters. These requirements reflect the types and quantities of resources to fully accomplish the Program Goals, Objectives and Standards applicable to the Area. The consolidated requirements form the basis for the constrained resource allocation process performed by the Area Commander as resource broker.

(9) **Strategic: Consolidated Functional & Resource Requirements.** Based on the Consolidated Functional & Resource Requirements provided by the Area Commanders, the Program Manager develops the consolidated functional and resource requirements to be used for budget development and major acquisition planning support (mission analysis). These requirements reflect the types and quantities of resources to fully accomplish the Program Goals, Objectives and Standards applicable to the entire Coast Guard.

(10) **Operational: Constrained Resource Allocation.** As the resource broker, the Area Commander uses the Consolidated Functional & Resource Requirement in conjunction with the Area Operational Emphasis for Planning to prioritize resource requirements through the Area asset allocation process. These priorities are used in development of the constrained resource allocation which allocates resources (e.g., cutters, aircraft) to the Districts for mission execution. The Constrained Resource Allocation is provided to the Program Manager primarily for informational purposes, but may be the forum to request relief from resource shortfalls or adjustment of program priorities.

(11) **Strategic: Consolidated Resource Allocation.** The Program Manager consolidates the Area allocation of constrained resources to develop the strategic view of resource allocation to be used for budget execution and short-term program planning. The delta between operational requirements and resource allocation highlights resource shortfalls and overages.

(12) **Tactical: Validation and Update of Objectives.** Based on the allocation of constrained resources (e.g., cutters, aircraft), the District Commanders validate and update their mission objectives and strategies to reflect prioritization of operational efforts with limited assets. This effort explicitly recognizes the trade-offs involved in a constrained resource environment.

(13) **Tactical: Mission Execution.** Based on the validated mission objectives and strategies, the District Commanders execute the assigned missions.

(14) **Tactical: Collect & Report Intelligence & Performance.** As an integral part of the mission execution process, operational and intelligence units collect and report intelligence and operational performance via the standard reporting processes and systems. The baseline system for collection of operational law enforcement data by operational units is LEIS II/SABR. This information forms the basis for mission performance assessment.

(15) **Tactical: Performance Assessment (MOEs).** After completion of each mission execution period, the District Commander will conduct a performance assessment including applicable MOEs. The baseline program MOEs are promulgated and described in the

Program Description and may be supplemented by Area and District promulgated MOEs. This performance assessment along with supporting quantitative and subjective supporting materials will be provided to the Area Commanders to document the results of tactical mission execution. The results of the performance assessment will be feedback to the next District level planning cycle.

(16) **Operational: Consolidated Performance Assessment (MOEs).** The Area Commanders will consolidate performance assessments from tactical commanders and conduct a performance assessment for the Area including applicable MOEs. The baseline program MOEs are promulgated and described in the Program Description and may be supplemented by Area promulgated MOEs. This performance assessment along with quantitative and subjective supporting materials will be provided to the Program Manager to document the consolidated results of mission execution. The results of the performance assessment will be planning input to the next Area level planning cycle. The performance assessment process is focussed on improvement of the planning and mission effectiveness.

(17) **Strategic: Consolidated Performance Assessment (MOEs).** The Program Manager will consolidate the performance assessments from the Areas and conduct a performance assessment for the entire Coast Guard ELT program including applicable MOEs. The baseline program MOEs are promulgated and described in the Program Description. This performance assessment along with quantitative and subjective supporting materials will be used to evaluate overall program performance and support the program planning and budgeting process. The results of the performance assessment will be planning input to the next program level planning cycle. The performance assessment process is focussed on the improvement of planning and mission effectiveness.

d. **Figure 2, G-OLE Planning & Assessment System Process Timelines** depicts the overlapping processes for multiple fiscal years and the timing relationships of planning, execution and assessment for the headquarters planning cycle. The general relationships between planning, execution and assessment are the same for the Areas and Districts, as adapted to meet their applicable planning cycle timelines. The overlapping nature of the timelines demonstrates that the assessment of performance for the previous planning cycle (NN-1) will be available as input to the next planning cycle (NN+1).

6. **PROCEDURES**. To implement the Planning & Assessment System, the following roles and responsibilities are defined.

a. **ELT Program Manager (Strategic)**. This role is held by COMDT(G-OLE) and includes the responsibility to set strategic direction, provide policy guidance, monitor program performance, and compete for operational resources. The primary processes supported directly by the ELT Program Manager are:

(1) Prepare a strategic planning forecast, summarized in the ELT Program Direction, and provide a national and international perspective on the overall Coast Guard law enforcement mission, including General Law Enforcement, Living Marine Resources, Drug Interdiction, and Migrant Interdiction. This forecast maintains three time frames including: a 1-2 year planning horizon to support short-term changes in program direction; a 3-5 year planning horizon to support budget development; and a 10-15 year horizon to support major acquisitions (e.g. cutters, aircraft, etc.).

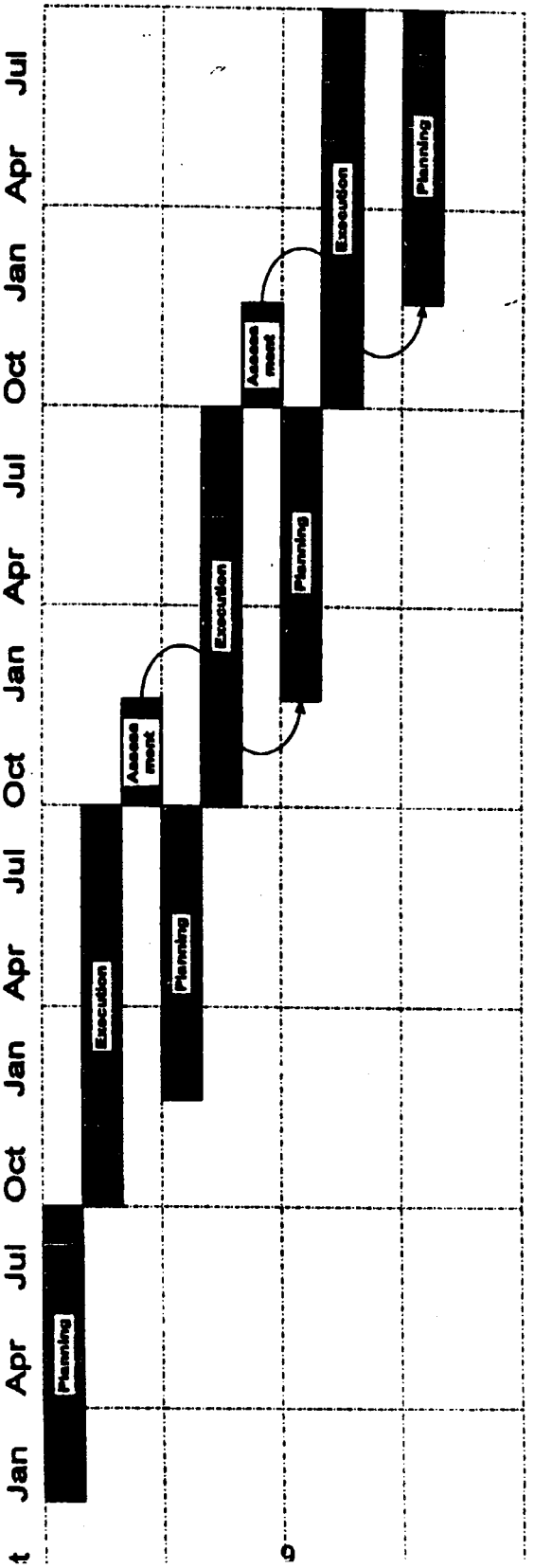
(2) Develop and maintain program goals, objectives, standards and measures of effectiveness based on the planning forecast. This policy is promulgated in an annual ELT Program Description Update which provides 1-2 year guidance to implement the currently understood mission reflecting national priorities.

(3) Maintain information and perspective on operational, functional and resource requirements including: current asset utilization by Area and District Commanders, a 5 year outlook for operational support planning using current assets, and a 15 year outlook for long range operational support requirements involving existing and new assets. This information will be readily available to support budget development, congressional inquiries and program planning.

(4) Maintain information and perspective on resource allocation reflecting reality of constrained operational resources. Develop a 5 year outlook with prioritization and impact assessments to support budget development, congressional inquiries and program planning.

(5) Maintain a Coast Guard wide view of operational performance assessment (MOEs) including: an analysis of mission execution and intelligence data and a review of Area/District performance against Coast Guard/Area/District MOEs. This view will be summarized and documented in an annual Strategic Mission Performance Assessment Report.

G-OLE Planning & Assessment Systems Process Timelines



b. **Operational and Theater Manager (Operational).** This role is held by the Area Commanders and includes responsibility to establish operational guidance to execute the ELT mission, validate operational requirements prepared by District Commanders, allocate operational resources and monitor mission performance. The primary processes supported directly by the Operational and Theater Manager are:

(1) Prepare an operational planning forecast summarized in an Operational Emphasis for Planning providing an Area perspective and operational priorities for the law enforcement mission, including General Law Enforcement, Living Marine Resources, Drug Interdiction and Migrant Interdiction. This forecast maintains a 1-2 year planning horizon to support resource planning and allocation.

(2) Develop and maintain Area goals, objectives, standards and measures of effectiveness based on the Program Description Update and the planning forecast. This policy is promulgated in the Area Operational Emphasis for Planning which provides a 1 year and next operating period (e.g., quarterly) view to implement the currently understood mission reflecting Area priorities.

(3) Maintain information and perspective on consolidated operational functional and resource requirements prepared by District Commanders. This includes: current asset utilization for the Area and a 1 year outlook for operational support planning using current assets. This information will be readily available to support the constrained resource allocation process.

(4) Maintain information and perspective on constrained resource allocation reflecting reality of operational resources shortfalls and changing operational priorities. This allocation will be presented in the Area Quarterly and Annual Operating Schedule. Develop a 1 year outlook with prioritization and impact assessments to support operational planning and supplementary asset justifications.

(5) Maintain an Area view of operational performance assessment (MOEs) including: an analysis of mission execution and intelligence data and a review of Area/District performance against Coast Guard/ Area/District MOEs. This view will be consolidated, summarized and documented in a quarterly Operational Mission Performance Assessment Report.

c. **Tactical Manager (Tactical).** This role is held by the

District Commanders and includes responsibility to establish local operational guidance to execute the ELT mission, effectively utilize allocated operational resources and monitor mission performance. The primary processes supported directly by the Tactical Manager are:

(1) Prepare a tactical planning forecast reflecting local conditions and operational priorities for the law enforcement mission including; General Law Enforcement, Living Marine Resources, Drug Interdiction and Migrant Interdiction. This forecast provides 1 year and next operating period (e.g., quarterly), planning perspectives to support mission execution. It will be maintained in District prescribed formats utilizing as many existing documents as possible.

(2) Develop and maintain District goals, objectives, standards and measures of effectiveness based on the Program Description Update, Area Operational Emphasis for Planning and the tactical planning forecast. These will be promulgated via District policy and operational guidance (e.g., Business Plans, SOPs, Quarterly OPORDERs) to implement the currently understood mission priorities.

(3) Develop operational functional and resource requirements to meet ELT program goals, objectives and standards as assigned by the Area Commander. The functional requirements represent the operational capability to perform the assigned missions, and resource requirements reflect a potential application of existing assets. These requirements form the basis for requesting assets from the Area Commander.

(4) Based on the resource allocation provided by the Area Commander, validate and update tactical plans to maximize the effectiveness of mission execution. These plans will be promulgated by District tactical guidance (e.g., OPORDERs).

(5) Execute operational missions in accordance with Program, Area and District guidance. Document operational performance through operational reporting and intelligence gathering. The baseline system for data collection is LEIS II/SABR supplemented by applicable District reports (e.g., Operational Summaries, Deployment Summaries, Case/Violation Packages). The data collection impacts on field units should be limited to necessary and sufficient information using existing reporting mechanisms.

(6) Maintain a District view of operational performance assessment (MOEs) including: an analysis of mission

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execution and intelligence data and a review of District performance against Coast Guard/Area/District MOEs. This view will be summarized and documented in a quarterly Tactical Mission Performance Assessment Report. This report provides critical field input to the overall Coast Guard planning process in support of budget and resource justification.

7. **FORMS/REPORTS**. Specific guidance and examples for preparation and submission of reports required to support the Planning and Assessment System are contained in Reference (b). It is essential the consistent application of reporting guidance and timely communication of operational planning and assessment information be accomplished to maximize the effectiveness of the Coast Guard's ELT program. New reports required by this instruction include:

   a. Quarterly Operational Mission Performance Assessment Report (RCN-16200-1) prepared by Area Commanders to consolidate Tactical Mission Performance Assessment Reports from Districts and provide an Area perspective on planning and mission effectiveness. RCN-16200-1 applies.

   b. Quarterly Tactical Mission Performance Assessment Report prepared by District Commanders to provide a District perspective on planning and mission effectiveness.

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