

U.S. Department of  
Homeland Security

United States  
Coast Guard



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# CONTINGENCY PREPAREDNESS PLANNING MANUAL

## VOLUME I: CONTINGENCY PLANNING POLICY

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COMDTINST M3010.11D  
05 Oct 2015

COMMANDANT INSTRUCTION M3010.11D

Subj: CONTINGENCY PREPAREDNESS PLANNING MANUAL, VOLUME I:  
CONTINGENCY PLANNING POLICY

- Ref:
- (a) National Preparedness, Presidential Policy Directive 8 (PPD 8)
  - (b) Incident Management and Crisis Response, COMDTPUB 3-28
  - (c) Coast Guard After Action Program, COMDTINST 3010.19 (series)
  - (d) U.S. Coast Guard Incident Management Handbook (IMH), COMDTPUB P3120.17 (series)
  - (e) Joint Operational Planning and Execution System (JOPES) Volume 1, Planning Policies and Procedures, CJCSM 3122.01 (series)
  - (f) Adaptive Planning and Execution (APEX) Planning Formats and Guidance, CJCSM 3130.03 (series)
  - (g) Threat and Hazard Identification and Risk Assessment (THIRA) Guide of the Comprehensive Preparedness Guide (CPG) 201
  - (h) [FOUO] Continuity of Operations, Policy and Planning, COMDTINST 3010.15 (series)
  - (i) Risk Based Decision Making Guidelines (USCG)
  - (j) Contingency Preparedness Planning Manual, Volume III - Exercises, COMDTINST M3010.13 (series)
  - (k) Joint Publication 5-0: Joint Operation Planning, 11 Aug 2011
  - (l) National Preparedness System (DHS), November 2011
  - (m) FEMA Guide, Developing and Maintaining Emergency Operations Plans, Comprehensive Preparedness Guide (CGP) 101

1. PURPOSE. This Manual provides the basis for United States Coast Guard planning policy across all Coast Guard missions and contingencies.

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NON-STANDARD DISTRIBUTION:

2. **ACTION.** All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements will comply with the provisions of this Manual. Internet release is authorized.
3. **DIRECTIVES AFFECTED.** Contingency Preparedness Planning Manual, Volume I: Planning Doctrine and Policy, COMDTINST M3010.11C is cancelled.
4. **DISCUSSION.** The Coast Guard's incident response roles and responsibilities continue to evolve, especially following events such as the Deepwater Horizon oil spill and Superstorm Sandy. The concept of preparedness has also broadened in scope through the establishment of reference (a) and the five National Frameworks. This Manual recognizes the evolution of these concepts through an explanation of Coast Guard roles and responsibilities in preparedness, planning, and response processes used by the Coast Guard. It also establishes requirements for Coast Guard plan maintenance. In addition, the appendices include updated lists of required plans by unit and an improved list of Coast Guard contingencies. The focus of this Manual is contingency planning; it does not include guidance that would lead to products such as the Commandant's Strategic Planning Direction (SPD) and an Area Operational Planning Direction (OPD).
5. **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.
6. **MAJOR CHANGES.** The Manual has been substantially revised to:
  - a. Align planning and preparedness efforts within the modernized Coast Guard.
  - b. Focus on policy issues and address tactics, techniques, and procedures (TTP) in a comprehensive FORCECOM job aid to facilitate rapid updating.
  - c. Align with new Presidential, Department of Homeland Security (DHS), Federal Emergency Management Agency (FEMA), and Department of Defense (DOD) policy in preparedness and planning, to include:
    - (1) PPD-8: Incorporates the National Preparedness Goal and cycle of preparedness; providing the Coast Guard interpretation of reference (a) mission areas and describing how Coast Guard contingency and incident action planning maintains both vertical and horizontal planning processes through the National Incident Management System (NIMS) Incident Command System (ICS) and Joint Operation Planning Process (JOPP).
    - (2) JOPES-APEX Transition: Reflects the DOD transition from the Joint Operation Planning and Execution System (JOPES) to the Adaptive Planning and Execution (APEX) System in Coast Guard Defense support planning and describing the Joint Operation Plan format.
    - (3) DHS Federal Plan Development Process (FPDP): Includes FPDP as a recommended Coast Guard planning process.

- (4) Community Preparedness Guide (CPG) 101: Recognizes the role this FEMA designed process can play by integrating numerous stakeholders in the preparedness planning efforts.
- d. Support the officer specialty codes OAR-18 for Contingency Planning, as well as OAR-16 for Incident Management
  - e. Provide standardized Coast Guard definitions for preparedness and planning terms. Specifically, the term CONPLAN is being used to describe the 9700/9800 plans which have historically been referred to as OPLANs. The term CONPLAN is a more accurate description of those plans based on their content and level of detail.
  - f. Provide planner roles and responsibilities at Coast Guard units.
  - g. Simplify the planning burden of Coast Guard units by allowing a single all-hazards plan to meet multiple requirements.
  - h. Provide Coast Guard expectations for plan review and maintenance cycle.
  - i. Provide a standardized plan review guide for Area and District use.
  - j. Provide a consolidated list of all operational and contingency plans required by the Commandant.
  - k. Provide descriptions of the contingencies and capabilities the units should plan for based on risk.
7. IMPACT ASSESSMENT. The Director of Incident Management and Preparedness Policy, Commandant (CG-5RI), will develop Coast Guard preparedness and planning policy. To carry out this responsibility, Commandant (CG-5RI) will work closely with other headquarters program managers, Areas, and the Deputy Commandant for Mission Support (DCMS) to coordinate efforts in developing and maintaining plans.
8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
- a. The development of this Manual and the general policies contained within it have been thoroughly reviewed by the originating office and are categorically excluded under current Coast Guard categorical exclusion (CE) #33 from further environmental analysis, in accordance with Section 2.B.2 and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series).
  - b. This Manual 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 policies in this Manual must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Council on Environmental Policy NEPA regulations at 40 CFR Parts 1500-1508, DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates.
9. DISTRIBUTION. No paper distribution will be made of this Manual. An electronic version will be located on the following Commandant (CG-612) web sites. Internet:

<http://www.uscg.mil/directives/>, and CGPortal:  
<https://cgportal2.uscg.mil/library/directives/SitePages/Home.aspx>.

NOTE: If paper copies are required please complete Certificate for Need of Printing, DHS Form 500-07, which can be found at [http://www.uscg.mil/directives/Printing\\_Graphics.asp](http://www.uscg.mil/directives/Printing_Graphics.asp).

10. RECORDS MANAGEMENT CONSIDERATIONS. This Manual has been thoroughly reviewed during the directives clearance process, and it has been determined there are no further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., NARA requirements, and Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy does not have any significant or substantial change to existing records management requirements.
11. RELATED CONTINGENCY PREPAREDNESS PLANNING MANUAL VOLUMES.
  - a. Contingency Preparedness Planning Manual, Volume II: Resource Management, COMDTINST M3010.12 (series). This separately published Manual provides the planning factors used in resource management plans and establishes guidance for developing resource management plans to use in Coast Guard planning.
  - b. Contingency Preparedness Planning Manual, Volume III: Exercise Policy, COMDTINST M3010.13 (series). This separately published Manual provides guidance for exercising and evaluating Coast Guard exercises and real-world events.
12. FORMS/REPORTS. None.
13. REQUESTS FOR CHANGES. Requests for changes to this Manual should be directed to Office of Contingency Preparedness and Exercise Policy, Commandant (CG-CPE) at [preparedness@uscg.mil](mailto:preparedness@uscg.mil).

MARK E. BUTT /s/  
Rear Admiral, U.S. Coast Guard  
Acting Deputy Commandant for Operations

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## CHAPTER 1. PREPAREDNESS AND CONTINGENCY PLANNING

- A. Introduction. “Preparedness is critical to successful incident management and crisis response. Effective preparation at all echelons is vitally important to coordinated responses to complex incidents. Leaders should ensure that every member is trained, qualified, and proficient in the roles they may be expected to fill during a response. Command emphasis on the value of preparedness is the first step in leading a unit to commit to this effort,” (reference (b), Incident Management and Crisis Response, COMDTPUB 3-28). The Coast Guard’s broad authorities for response and public safety make Coast Guard unit commanders leaders in the emergency management community, especially during times of crises. The Coast Guard’s mission set requires responses to a wide range of domestic and international threats, ranging from natural disasters to terrorist attacks. Local, State, Tribal, territorial governments and non-governmental organizations rely on the Coast Guard and expect the Coast Guard to uphold its tradition of saving lives, protecting the environment, protecting critical infrastructure and mitigating the impacts of incidents. Successfully meeting this leadership and management challenge requires diligent effort, sustained commitment of resources, and most critically, well-prepared incident responders. Preparedness forms the foundation for successful incident management and crisis response. Like a strong foundation, preparedness comprises several elements: developing plans, organizing and equipping people, training personnel, conducting exercises, and incorporating learning from past experiences.
- B. Preparedness. Some of the key drivers behind Coast Guard Preparedness policy discussed in reference (b) include:
1. Management of Domestic Incidents, Homeland Security Presidential Directive 5 (HSPD-5). This directive enhances the ability of the United States to manage domestic incidents by establishing a single, comprehensive national incident management system. HSPD-5 tasks the heads of all federal departments and agencies to provide their full and prompt cooperation, resources, and support, as appropriate and consistent with their own responsibilities for protecting our National security.
  2. National Preparedness, Presidential Policy Directive 8 (PPD-8). This directive strengthens the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the nation, including acts of terrorism, cyber attacks, pandemics, and catastrophic man-made and natural disasters. To accomplish this, reference (a) directs executive departments and agencies with roles in the national planning frameworks (e.g. National Prevention Framework, National Mitigation Framework, National Response Framework, National Disaster Recovery Framework, and the National Protection Framework) to develop department-level operational plans to support the interagency operational plans, as needed. The Coast Guard satisfies the requirement of incorporating the PPD-8 mission areas of Prevention, Protection, Mitigation, Response, and Recovery into Area All-Hazards Operation Plans, which serve as the all-hazards/all-threats preparedness backbone for all other Coast Guard contingency plans.
  3. National Preparedness Goal. As defined by reference (a), the National Preparedness Goal is “a secure and resilient nation with the capabilities required across the whole community to prevent, protect, mitigate, respond to, and recover from the threats and

hazards that pose the greatest risk.” The National Preparedness Goal provides a common vocabulary for the descriptions of the significant functions and core capabilities, which must be developed and executed by entities comprising the ‘whole community.’ Achieving the National Preparedness Goal is accomplished through the National Preparedness System, which supports the integration of guidance, programs, and policies that build a collaborative, whole community approach to national preparedness. The National Planning Frameworks describe the strategies and doctrine under the National Preparedness System for coordinating the whole community approach for delivering the core capabilities presented in the National Preparedness Goal. To ensure the capabilities exist to support the whole community approach, the National Integrations Center (NIC) administers the National Incident Management System (NIMS) so that a flexible, standardized system is in place to support the integration of emergency management and incident response operations across the whole community. This network of frameworks and systems all function together to enable the nation to meet the goal of being more secure and resilient.

4. National-Level Policies. The Coast Guard is guided by international agreements, federal statutes and regulations, presidential directives, and Department of Homeland Security (DHS) and Commandant Policy. Figure 1-1 illustrates some of the specific national-level polices that shape Coast Guard preparedness strategy.



Figure 1-1: Policy Environment of the Coast Guard’s Preparedness Strategy

5. Contingency Preparedness System (CPS). The Coast Guard currently documents preparedness cycle activities in the CPS. Coast Guard planners use this enterprise-wide database to plan, build, and evaluate exercises and real-world events. Documentation that can be posted to, and searched from, CPS includes: exercise schedules and budgets, planning documents, resource management submissions, incident and exercise

evaluations and lessons learned, corrective actions, and shortfall and gap analyses. The Coast Guard After-Action Program (CGAAP) instruction, reference (c), establishes policy, guidance, and responsibilities for Coast Guard exercise participants to document and act on lessons identified in contingency operations and exercises. CPS is the system of record for the CGAAP. The CPS User Guide can be found at:  
<http://cps.uscg.mil/cps/>.

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## CHAPTER 2. COAST GUARD PREPAREDNESS EXECUTION MODEL

- A. Preparedness Cycle. Reference (a), through the National Preparedness System places responsibility on Federal, State, Local, Tribal, and territorial governments and agencies for establishing a preparedness cycle in advance of an incident. The preparedness cycle, illustrated in Figure 2-1, represents the complete process for achieving and improving mission readiness.



Figure 2-1: Preparedness Cycle

All preparedness activities, regardless of complexity, will fit into one of the following five stages:

1. Phase 1 - Plan. Planning makes it possible for a unit command to manage the entire life cycle of a potential crisis. During the planning process, the operational commander accounts for overarching strategy and planning guidance/directives; analyzes the operational environment to define problems, determine objectives, and establish command direction and critical information requirements; develops a chronology and probable courses of action; anticipates possible hindrances, needed resources and capability requirements; and communicates, envisions and socializes desired outcomes and expected levels of performance with Coast Guard units and personnel, partner organizations, and stakeholders while coordinating their activities.
2. Phase 2 - Organize/Equip. Organizing includes identifying the competencies personnel should have, and developing appropriate operational and contingency management structures. Equipping entails deciding on the procedures for acquiring standard and surge gear, machinery, tools, and other equipment the unit needs to deliver a specific capability.
3. Phase 3 - Train. Personnel gain skills and proficiency needed to perform key tasks through instruction and practice. Training is an ongoing mission along with real-world response activities.
4. Phase 4 - Exercise. An exercise is an activity that allows an organization and stakeholders to test and validate plans, perform the organization's core capabilities, demonstrate proficiency and competency in conducting critical tasks, and identify areas for improvement and corrective actions in a low-risk environment. Exercises bring

together and strengthen the whole community in its efforts to prevent, protect against, respond to, and recover from all hazards.

5. Phase 5 - Evaluate/Improve. Evaluating exercises and responses to real-world events involves recognizing strengths as well as weaknesses, which are then documented as lessons learned in an after action report (AAR). Remedial action issues (RAIs), lessons learned that identify improvement opportunities, are then entered into the Remedial Action Management Program (RAMP) module of the CPS, which is used to track corrective actions. The analysis produced during the evaluation process is critical for a unit command's decision-making process when refining plans, enhancing training, determining equipment needs, and employing technology.

B. National Preparedness System - Mission Areas. The descriptions below relate the Prevent, Protect, Mitigate, Respond, and Recover mission areas described in reference (a) to applicable Coast Guard mission activities and functions.

1. Prevention Mission Area. The Prevention Mission, in accordance with reference (a), refers to activities conducted to avoid, prevent, or stop a threatened or actual act of terrorism. It is important for planners to differentiate between Prevention as defined in reference (a) and the Coast Guard's core operating concept of Prevention that includes both safety and security activities and functions. Prevention capabilities include, but are not limited to:
  - a. Timely information and intelligence sharing and warning [i.e. the Maritime Operational Threat Response (MOTR) process];
  - b. Counterterrorism within the maritime environment through targeted and prioritized boardings;
  - c. On-water response boats to enforce security zones and engage maritime attacks or threats; and,
  - d. Cargo security inspections to detect or interdict Chemical, Biological, Radiological, and Nuclear (CBRN) weapons within the marine transportation system or maritime borders.
2. Protection Mission Area. The Protection Mission, in accordance with reference (a), refers to activities conducted to secure the homeland against acts of terrorism and manmade or natural disasters. These activities include, but are not limited to, defense against Weapons of Mass Destruction (WMD) threats; critical infrastructure protection; protection of key leadership and events; border security; maritime security; transportation security; immigration security; and cybersecurity. Protection capabilities include, but are not limited to:
  - a. Security zones around critical infrastructure (CI), key assets (KA), or key resources (KR);
  - b. Identify, protect against, enhance resiliency in the face of, and counter electromagnetic threats to Coast Guard information and information systems and maritime interests of the United States, while providing cyber capabilities that foster execution of Coast Guard operations, support DHS and DOD Cyber missions;
  - c. Intelligence and info sharing with port partners;

- d. Security of key leadership; and,
  - e. Transportation sector security enhancement through regulation of, and training and partnering efforts with the maritime industry.
3. Mitigation Mission Area. Mitigation Mission, in accordance with reference (a), refers to activities conducted to reduce loss of life and property by lessening the impact of disasters. These include, but are not limited to, community-wide risk reduction projects; efforts to improve the resilience of critical infrastructure and key resource lifelines; risk reduction for specific vulnerabilities from natural hazards or acts of terrorism; and initiatives to reduce future risks after a disaster has occurred. Mitigation capabilities include, but are not limited to:
- a. Surging life safety and rescue personnel;
  - b. Port and waterway control activities;
  - c. Marine Safety Information Broadcasts (MSIBs);
  - d. Community-wide risk reduction projects including Threat and Hazard Identification Risk Assessment (THIRA), disaster planning, and response exercises;
  - e. Efforts to improve maritime transportation system and CI resilience such as Aids-to-Navigation, Vessel Traffic Services, and commercial and passenger vessel safety regulation promulgation;
  - f. Natural/manmade disaster risk reduction, such as establishing safety zones and restricting port operations in advance of severe weather onset; and,
  - g. Initiatives including casualty investigations, Incident Specific Preparedness Reports, and Lessons Learned reports to enhance preparedness and reduce future risks after an incident has occurred.
4. Response Mission Area. Response Mission, in accordance with reference (a), refers to activities conducted to save lives, protect property and the environment, and meet basic human needs after an incident has occurred. This area includes response capabilities including, but not limited to: Search and Rescue (SAR), maritime safety and law enforcement, emergency salvage, Alien Migrant Interdiction Operations (AMIO), and pollution response. The Response Mission encompasses the Coast Guard capabilities necessary to:
- a. Save lives;
  - b. Enforce maritime law;
  - c. Conduct national defense missions;
  - d. Conduct maritime casualty and mariner misconduct investigations;
  - e. Minimize the impact on the environment after an incident has occurred; Reduce the further loss of property via effective salvage; and,
  - f. Short term Marine Transportation System Recovery (MTRSR).
5. Recovery Mission Area. Recovery Mission, in accordance with reference (a), refers to activities conducted to assist communities affected by an incident to recover effectively.

The Recovery mission area is focused on long term (i.e., 5-30 years) recovery of the impacted community. Coast Guard recovery mission capabilities are limited to steady-state mission activities, such as aids to navigation, vessel traffic services, and participation in maritime stakeholder coordination groups.

- C. Preparedness Execution. Planners can view the performance of Coast Guard missions as a process wherein the operational phases (i.e., steady-state operations, complex steady state operations, surge operations, and short-term recovery operations) align with particular reference (a) preparedness mission activities. Prevention, protection, and mitigation mission activities are continuously performed through all phases of mission execution. The Coast Guard preparedness execution model (Figure 2-2) illustrates which Coast Guard preparedness mission activities are conducted in each operational phase. Coast Guard response mission activities commence at the onset of an incident or event, escalate and peak during the surge operations phase, then de-escalate and conclude in the short-term recovery operations phase. Similarly, recovery mission activities commence during the surge operations phase, escalate and peak during the short-term recovery operations phase, then de-escalate and conclude at the return to steady-state operations. It is important to note that Coast Guard units are not assigned recovery mission tasks per reference (a). Recovery mission activities for the Coast Guard are simply the functional return of Federal waterways to meet the transportation needs of the impacted area.



Figure 2-2: Coast Guard PPD-8 Preparedness Execution Model

## CHAPTER 3. CONTINGENCY PLANNING

- A. Introduction. Contingency planning is the act of preparing a written plan for contingencies that can be reasonably anticipated to occur within a unit's operating area and activity.
- B. Contingency Planning. Contingency planning employs standard processes to develop contingency plans that can be improved or modified as the situation changes. Done properly, contingency planning encourages greater participation by the response community and builds stronger relationships across program lines, as well as, in the joint, unified, and multi-agency environments. These stronger relationships are an invaluable by-product of planning, helping to improve mission success (effectiveness), and reducing mission costs (efficiency) during response. Since the Coast Guard works with a wide range of stakeholders, the Coast Guard planner must be familiar with, and at least somewhat skilled at, the planning processes described below that guide contingency planning (i.e., pre-incident) or response planning (i.e., planning conducted to manage the response to an incident). The current plans the Coast Guard is required to develop and maintain are listed in Appendix A. The specific contingencies the Coast Guard will plan for are listed in Appendix B. Contingency planning also includes (internal) Continuity-of-Operations (COOP) Planning.
1. Consequences of many incident types are similar, thus contingency planning has evolved an all-hazard focus that accounts for the substantial disruptions of infrastructure and essential services. Although few units will experience the worst-case scenario for any of the contingencies they plan for, each unit must be prepared to respond. The Coast Guard must be prepared to continue performing statutory missions, frequently at heightened tempo and scope due to the increase of other critical lifesaving and life sustaining needs, as well as response and reconstitution operations. The Coast Guard relies upon maritime port partners during both steady state operations and response operation. Planners will collaborate with port partners to ensure synergy between the Coast Guard contingency plans, interagency plans, and the individual port partner contingency plans.
  2. This highly collaborative work is conducted during non-emergency conditions to identify and coordinate all potential stakeholders, create community-based objectives, build responder relationships, and mitigate potential contingencies. The Coast Guard benefits from the contingency planning process because it is an avenue for commands to develop clear objectives and common processes and procedures. Planning also helps identify potential gaps, consider multiple courses of action (COAs), and leverage response expertise that will be required for Incident Action Planning during contingency plan execution.
- C. Incident Planning. Incident planning involves the time-sensitive development of incident action plans or operation orders issued to direct or coordinate the response to imminent or ongoing incidents and events. Incident planning is detailed in references (d), (e), (f), (g), and (h). Incident planning can be conducted in a deliberate/time sensitive manner or in response to an emergent crisis. Planning for a National Special Security Event (NSSE) is an example of this type of deliberate/time sensitive planning. Additionally, Operational Planning is preparation done for the employment/deployment of Coast Guard resources. It includes steady-state mission operations, operations for planned events, and operations in response to unanticipated events. A list of sources for planner job aids is included in Enclosure (1). The DOD term for Incident Planning is Crisis Action Planning.

- D. Purpose of Contingency Planning. The initial goal of any operational commander in a contingency is to establish control over the crisis response in the shortest possible time and transition from a reactive operational posture to a proactively managed response. The operational commander must execute operations with the right resources, executing the right activities in the right amount, at the right time.
1. Planning helps define requirements, identify shortfalls, and articulate Mission Objectives. Proper contingency planning identifies the resources, especially the people, training, and equipment, which will be required for a specific scenario or event. Having a proper plan in place will enable field level commanders to quickly quantify their requirements and mount a robust, effective response amid the confusion of an unfolding incident.
  2. Planning also aids in recognizing potential resource shortfalls for response operations. Knowledge of these shortfalls, as expressed in Regional Strategic Assessments, Resource Proposals, and the plans themselves, provide valuable data to program managers, who then work to remedy the shortfalls through unit level training and the budget process.
  3. Planning communicates objectives and performance targets and assists in managing the public's expectations of the response.
- E. Benefits of Contingency Planning. There are significant benefits to following a standardized approach to planning as described in this chapter. Some benefits include:
1. Planning supports the exercise of initiative by pre-identifying objectives which inform immediate response operations. It provides units with the Commanders' mission statement, intent and concept of operations; should the contingency result in a loss of communications this guidance enables units (and subordinate units) to execute initial response actions and conduct response planning for subsequent actions in the absence of explicit tasking from higher levels until communications are restored. In addition, the planning process helps foster and maintain a spirit of cooperation with responding units and agencies which can be especially crucial in balancing competing or conflicting needs and contentious situations that may arise during responses conducted with other stakeholders.
  2. Planning shapes the thinking of responders by providing a systematic approach to addressing a hazard. The actual process of planning involves coordinated and cooperative methods for considering courses of action in a group setting. The experience in developing a plan can be a valuable preparatory exercise in itself, regardless of whether the specific contingency is encountered. The fact-finding, networking, locating immediate resources and secondary sources, all support an effective incident command during a crisis.
  3. Planning builds expertise by establishing a basis for continuous improvement of preparedness activities via threat and hazard identification, developing COAs to address priority risks, and the revision of existing plans based on lessons learned from exercises and real-world operations.
  4. Planning supports orderly and coordinated actions by establishing objectives and priorities in advance without the undue influence of a crisis at hand. Similarly, robust planning identifies potential secondary or tertiary impacts, which could become critical issues of themselves if responders do not give them the attention required during a response.

5. Planning encourages increased participation from the response community; thus building stronger service, joint, and multi-agency relationships. In addition, it provides a means to clearly articulate roles and responsibilities, establishes unambiguous command and control methods for response management, and eliminates potentially redundant efforts across the responder community. Inclusion of the broader spectrum of response providers can identify local sources of needed resources and more efficiently fulfill shortfalls.
- F. Contingency Planning Principles. The Coast Guard uses several types of planning processes to meet its preparedness needs; these planning processes are fundamentally similar and are not unique to the Coast Guard. Depending on the needs of the unit and the impending or current incident or event, different planning techniques can be applied. Common activities for these planning processes include:
1. All planning processes should start with the establishment of some type of collaborative planning team. Using a team approach helps organizations define the role they will play during operations. This process is also an opportunity for a planning team to build and expand relationships, which help bring creativity and innovation to planning during an incident. During this initial part of the process, a planner must accomplish two tasks: Identify the Core Planning Team and Engage the Whole Community in Planning. One key aspect often overlooked is the need for elements of the Coast Guard Unit to be engaged in the planning process. It is crucial to ensure that all elements of the unit, not just the planners, are engaged in this process.
  2. Together the planning team will analyze and begin to understanding the situation, scenario, or mission, senior leadership direction, agency policies and authorities for all agencies included in the plan, and potential impacts of the incident or event. The planning team will summarize the problem, integrate operational information and lessons learned from previous experiences, and highlight shortfalls in resources and capabilities.
  3. Part of understanding the situation, scenario, or mission is understanding the risks based on the area of responsibility covered by the plan. The application of risk analysis or Risk Based Decision Making (RBDM) can be found in several risk assessment/management models currently being used by the Coast Guard. The planning team will need to choose the appropriate risk analysis model based on the scope and type of plan being developed. The different models used by the Coast Guard are:
    - a. DHS Threat and Hazard Identification Risk Assessment (THIRA) Model - A process which incorporates the whole community throughout the threat assessment process and includes the reference (a) directed core-capabilities focus. State and local agencies are most familiar with the THIRA model. This more holistic perspective can identify unknown constraints and risks that may have significant impact to a response. The full THIRA process is described in reference (g).
    - b. Operational Risk Management (ORM) - An approach typically focused on internal CG operations at a tactical, asset specific level. The Green, Amber, Red (GAR) model and Risk-Based Maritime Security Response Operations (RBMSRO) Tool, which uses data from the Maritime Security Risk Analysis Model (MSRAM).

- c. Risk-Based Decision-Making (RBDM) Guidelines – Reference (i) is the four-volume set of guidelines that describe the process of applying RBDM to typical unit operations. This approach can be used for internal operations but is typically used for Coast Guard planning and operations with external stakeholder involvement.
  4. Once the scope of the situation is understood, the planning team will develop Courses of Action (COAs) or objectives for managing or mitigating the consequences of the incident or event. The COAs outline different possible ways to accomplish the mission or desired end state. Multiple COAs should be examined and evaluated, including “gaming” the COAs if time allows. Support planning should begin based on the COAs being proposed to ensure the operational assets (including personnel) have the necessary logistical support.
  5. After the planning team has briefed the COAs to their leadership and a final COA has been selected, the planning team will begin to write the plan, involving as much of the stakeholders’ interests as possible. If time allows, the plan should be reviewed by all supporting agencies and Coast Guard preparedness committees covered in the plan to ensure that it can, in fact, be carried out and supported. When appropriate, supporting agencies should be afforded the opportunity to sign the plan. By signing the plan, the supporting agency has formal ownership in the plan, and will go to greater effort to ensure its concepts and actions are incorporated into the primary plans of that supporting agency.
  6. Plans should be considered "living documents". The Coast Guard must continually evaluate the plan’s effectiveness through periodic exercises and review. The plan is based on existing information reflecting anticipated conditions, assumptions and capabilities that existed at the time the plan was written. Therefore, the longer the plan is on the shelf, the less likely it is to be current, as personnel, conditions, technology, intelligence/information, capabilities, and other conditions change. Keeping the plan current reduces the amount of time necessary to adapt the plan to a crisis when one occurs. Lessons learned during exercises, reviews, and incident responses are used to modify and update the plan. Mandatory exercise requirements for Coast Guard plans are found in reference (j).
- G. Five Planning Processes used by the Coast Guard. The Coast Guard does not maintain a singular planning process, but rather applies the appropriate planning process based on the planning team make up and intended audience that will be required to execute the plan.
1. Joint Operations Planning Process (JOPP). Reference (k), Joint Publication 5-0: Joint Operation Planning, reflects the current DOD doctrine for conducting joint, interagency, and multinational planning activities across the full range of military operations. JOPP is the agreed-on process for all joint services planning. See complete JOPP references and plan format templates in Appendix C.
  2. Federal Plan Development Process (FPDP). The FPDP is DHS's contingency planning process for use by DHS and DHS Components when developing department and component level plans. The FPDP Handbook, promulgated by the DHS Office of Strategy, Planning, Analysis and Risk/Plans Plans Division, provides an overall view of the FPDP and how it is applied in planning. The Handbook is designed to be used in conjunction with the training provided in the DHS sponsored National Planners Course to

provide a concise, standardized, repeatable process to facilitate Federal Agencies in meeting their contingency planning responsibilities. FPDP is comparable to the JOPP and produces the similar types of products. Table C-2 in Appendix C compares and contrasts the FPDP and JOPP processes.

3. Comprehensive Preparedness Guide 101 (CPG-101). CPG 101 provides guidance for developing emergency operations plans. CPG 101 provides methods for planners to conduct community-based planning that engages the whole community by using a planning process that represents the actual population in the community and involves community leaders and the private sector in the planning process. It promotes a common understanding of the fundamentals of risk-informed planning and decision making to help planners examine a hazard or threat and produce integrated, coordinated, and synchronized plans. It is the foundation for state, territorial, tribal, and local emergency planning in the United States. Planners in other disciplines, organizations, and the private sector, as well as other levels of government, may find CPG-101 useful in the development of their emergency operations plans.
4. Operational Planning Process. Codified in NIMS and described in detail in references (d), (e), (f), (g), and (h), the incident action planning process provides a tool to synchronize operations at the incident level especially when multiple organizations are responding and ensures that all incident operations are harmonized and conducted in support of incident objectives. The process is a disciplined system of planning steps and collaboration sessions, which foster partnerships and clearly focus tactical incident operations. The operational planning process provides a consistent rhythm and structure to support incident management and the production of an Incident Action Plan (IAP) for each operational period.
5. Continuity of Operations Planning. The DHS Federal Continuity Directives 1 & 2 (FCD-1 & FCD-2) direct Federal agencies to maintain a capability of continued operations from alternative locations when their primary operating site is rendered unusable. FCD-2 defines the COOP planning processes that are used to identify Mission Essential Functions and manage risk. Reference (h), Coast Guard COOP policy describes when the Coast Guard is required to use the planning processes defined in FCD-2.

- I. Risk Analysis Requirements. Contingency planners will conduct a risk analysis when planning for contingencies identified as a high risk to their unit's AOR. For new plans or current operations, planners should conduct a risk assessment via one of the applicable models. The DHS THIRA model will be used unless specific plan direction indicates use of a different model. The five-steps of the THIRA process include:
1. Identify the threats and hazards of concern. Based on past experience, forecasting, expert judgment, and available resources, identify a list of the threats and hazards of concern to the Unit/community. The Coast Guard is required by law to ensure the proper documentation of risks to protected species and habitat as defined by the Endangered Species Act, Marine Mammals Protection Act, and Magnuson Act.
  2. Give the threats and hazards context. Using the list of threats and hazards, develop context that shows how those threats and hazards may affect the Unit/community.
  3. Examine the core capabilities using the threats and hazards. Using the threat and hazard context, identify potential impacts to the unit/community through the lens of the core capabilities.
  4. Set capability targets. Looking across the potential impacts to the unit/community, in the context of each core capability and coupled with a jurisdiction's desired outcomes, set capability targets.
  5. Apply the results. Plan for the ability to deliver the required level of capability with either unit/community assets or through a cascaded resources process, to identify mitigation opportunities, and to drive preparedness activities.
- J. Risk Factors. When trying to put the threats and hazards into context the following factors should be considered:
1. Probability of losses of life, environmental quality or property;
  2. Presence of protected species, habitat, cultural resources;
  3. The consequences of those losses; and
  4. Ways to reduce the impact of those losses.
- K. Summary. Planning processes used by Coast Guard planners require significant stakeholder engagement since most Coast Guard activities and contingency responses are inherently interagency. In addition, the different levels of Coast Guard units require the use of different planning processes to engage the appropriate stakeholder groups. Figure 3-1 illustrates the planning process/format most likely to be used by each Coast Guard echelon. Plans at the HQ level are normally national in focus and are more likely to be in a structured format like JOPP or FPDP. As more planning partners are integrated into the planning process, there is increased likelihood that CPG-101 or ICS will be used as the planning construct.

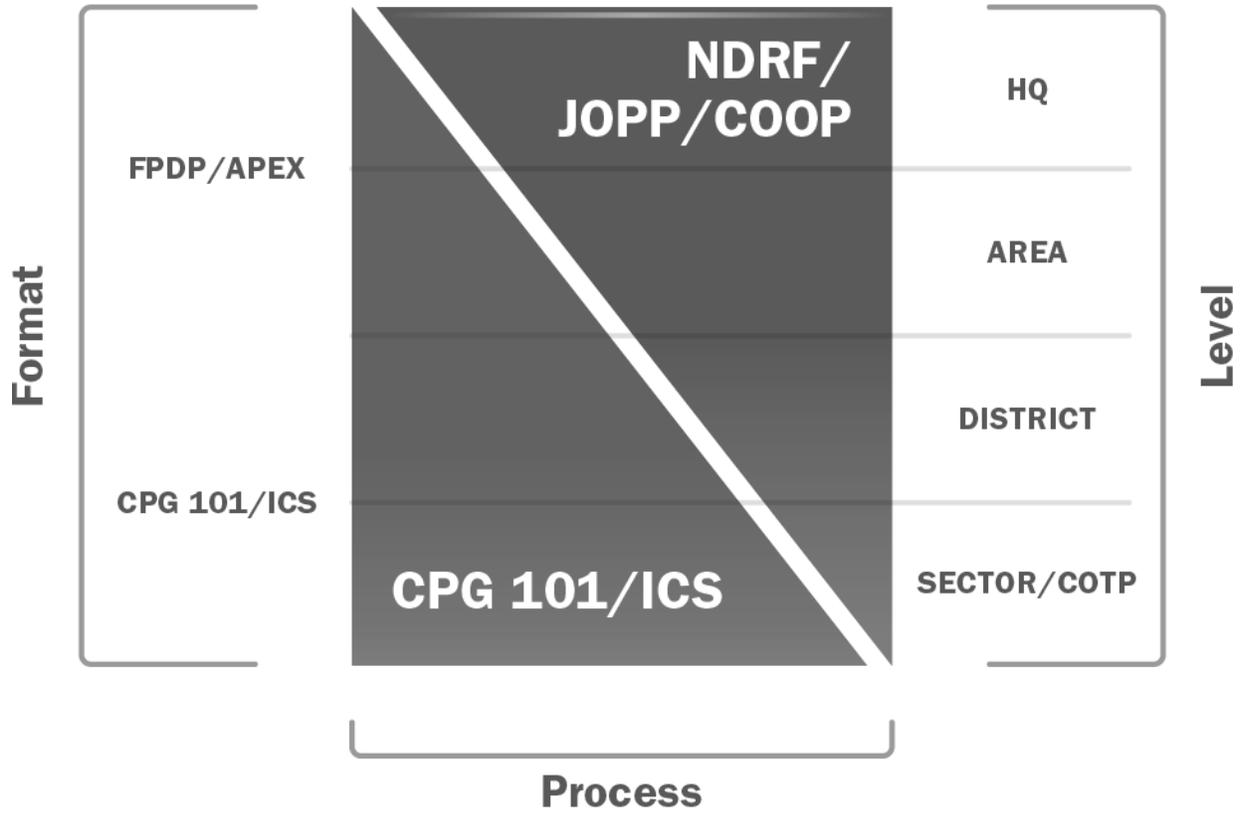


Figure 3-1: Planning Process/Format Matrix

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## CHAPTER 4. RISK BASED DECISION MAKING FOR CONTINGENCIES

- A. Introduction. The definition of National Preparedness in reference (a) refers to actions taken to mitigate threats that pose the greatest risk to the security of our Nation. The first three components of the National Preparedness System, reference (l), address identifying and accessing risk, estimating capability requirements and building and sustaining capabilities. Both of these documents address the use of Risk-Based Decision Making (RBDM) in the development of contingency plans by focusing on mitigating the risks that present the greatest hazard to the community. This Chapter discusses the RBDM approach that should precede any contingency planning process.
- B. Risk-Based Decision Making (RBDM). RBDM is “a process that organizes information about the possibility for one or more unwanted outcomes into a broad, orderly structure that helps Commanders make more informed management choices.” Commanders will complete, or participate in, a risk-based decision-making analysis of their unit’s area of responsibility in order to comprehensively plan for any type of contingency for which their unit may need to respond.” Risk is defined as the product of the consequence of an event and the probability of that event occurring in that area of responsibility. High consequence threats with high likelihood of occurrence are high-risk operations. Periodic review of completed RBDM models, and any resultant changes in the unit plans or Area of Responsibility (AOR), will help to ensure the unit’s readiness to respond to contingencies.
- C. RBDM Approaches. The application of RBDM principles is seen in several risk assessment/management models currently being used by the Coast Guard including:
1. Operational Risk Management (ORM) - An approach focused on internal CG operations at a tactical, asset specific level. The Green, Amber, Red (GAR) model and Risk-Based Maritime Security Response Operations (RBMSRO) Tool, which uses data from the Maritime Security Risk Analysis Model (MSRAM).
  2. Risk-Based Decision-Making Guidelines - Reference (i) outlines guidelines that describe the process of applying RBDM to typical unit operations. This approach can be used for internal operations but is typically focused on operations with external stakeholder involvement.
  3. DHS Threat and Hazard Identification Risk Assessment (THIRA) Model - A process which incorporates the whole community throughout the threat assessment process and includes the reference (a) directed core-capabilities focus. This more holistic perspective can identify unknown constraints and risks that may have significant impact to a response. The full THIRA process is described in reference (g).
- D. RBDM Process. A process involving a series of basic steps that can add value to almost any situation, especially when the possibility exists for serious or catastrophic outcomes. The steps can be used at different levels of detail and with varying degrees of formality, depending on the situation. The key to using the process is in completing each step in the most simple, practical way to provide the information the decision maker needs. RBDM:
1. Helps to determine information about risk and includes other items such as cost, schedule requirements, and public perception.
  2. Ensures that all identifiable factors that affect a decision must be considered.

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3. Provides an orderly decision analysis structure that considers more than just risk.
4. Helps to organize information for logical understanding and choices.

## CHAPTER 5. CONCEPT PLAN DEVELOPMENT AND FORMAT

- A. Introduction. A contingency is any threat or hazard that, would require a response by the Coast Guard. Most Coast Guard activities are relatively short-lived, do not involve more than a few assets and/or agencies, and are guided by standard operating procedures, quick response cards, etc. Some contingencies require the development of a contingency plan due to the anticipated scope and or duration of response requirements. Contingency plans are developed to guide the response to particular anticipated events, threats, or hazards of concern, which can be specified by Coast Guard directives, or identified through a THIRA.
- B. All-Hazards Concept Plan Development. The Coast Guard as a multi-mission force does not allocate and set aside assets waiting for the execution of the contingency plan. Therefore, Coast Guard All-Hazard response plans will be developed as Concept Plans (CONPLANS), outlined in Annex A, for the contingencies listed in Annex B of this Manual. CONPLANS are plans that articulate cooperatively developed objectives, legal authorities and interagency coordination structures which can be expanded upon with relevant details and allocation of forces prior to execution.
- C. Relationship With Other Plans. Coast Guard CONPLANS support and incorporate by reference numerous other plans, including the National Frameworks, the National Oil and Hazardous Substance Pollution Contingency Plan (NCP), Area Maritime Security Plans (AMSP) and Area Contingency Plans (ACP), as applicable to the appropriate appendix in Annex C of the CONPLAN.
- D. CONPLAN Parameters. Five factors are considered when determining a given scenario for inclusion in the Coast Guard All-Hazards CONPLAN:
1. The threat/hazard was identified by a THIRA, or by direction of higher authority;
  2. The anticipated scale, complexity, and/or duration of a response to the threat/hazard is such that existing SOPs provide inadequate response guidance;
  3. It requires a response that is beyond the normal capabilities of existing forces alone as they are currently arranged;
  4. It requires coordination between the Coast Guard and other involved agencies having concurrent jurisdiction; and,
  5. There is a low frequency of occurrence.
- E. Plan Format Requirements.
1. For consistency and completeness, the Coast Guard All-Hazards CONPLAN will be written in a Coast Guard specific, modified APEX Joint Operation Plan format. The standard Joint Operation Plan format has been modified to fit the types of contingencies the Coast Guard typically manages. For example, the “enemy or threat” paragraph has, in many instances, been changed to “incident impact.” The format for a Coast Guard All-Hazard CONPLAN is included as Appendix D of this Manual. The cascading format allows the presentation of information from All-Hazards to a specific contingency in the appendices, tabs, and exhibits to each annex to the plan.
  2. Other plans developed using JOPP will be formatted in accordance with the APEX Operation Plan Format.

3. Coast Guard Area Contingency Plans, Regional Contingency Plans, and Area Maritime Security Plans will be formatted in accordance with references listed in Appendix A of this Manual for each plan.
4. Plans developed using the CPG-101 guidance will be formatted using one of the three format outlines listed in CPG-101. CPG-101 format is used when developing non-standard Coast Guard plans with state and local stakeholders.
5. Plans developed using the FPDP will be formatted in accordance with the DHS Federal plan templates.
6. Plans developed for COOP will be formatted in accordance with reference (h).

## CHAPTER 6. ROLES AND RESPONSIBILITIES

- A. Planning Roles and Responsibilities. Planning is an enterprise-wide effort at all levels of the Coast Guard. Each echelon within the CG is responsible for the development and maintenance of specific plans listed in Appendix A. The overarching program manager for Coast Guard contingency planning is Commandant (CG-5R), Assistant Commandant for Response Policy.
1. Commandant's Leadership Council. The Commandant's Leadership Council establishes Coast Guard strategic preparedness priorities.
  2. Deputy Commandant for Operations (DCO). Commandant (DCO) provides response policy for all levels of the Coast Guard. Commandant (DCO) is charged with the development of and overseeing the execution of operational planning, policy, and international engagement at the strategic level. Additionally, Commandant (DCO) and subordinate headquarters offices establish and maintain relations with interagency partners and maritime stakeholders to support policy development and implementation.
    - a. Assistant Commandant for Response Policy (CG-5R). Commandant (CG-5R) oversees the development of strategic response doctrine and policy guidance for all Coast Guard response missions. These policies encompass preparedness for and execution of seven of the eleven operational maritime missions: law enforcement; search and rescue; ports, waterways, and coastal security; drug interdiction; migrant interdiction; defense readiness; and marine environmental protection.
    - b. Assistant Commandant for Prevention Policy (CG-5P). Commandant (CG-5P) develops and maintains policy, standards, and program alignment for the prevention activities of the Coast Guard to achieve Marine Safety, Security, and Stewardship mission success. The Prevention Directorate contingency planning and preparedness activities are focused on waterways management; navigation safety; boating; commercial vessels; ports and facilities; merchant mariner credentialing; vessel documentation; marine casualty investigation; inspection; and port state control.
    - c. Deputy Director of Incident Management & Preparedness Policy (CG-5RI). With input from the Offices of Contingency Preparedness and Exercise Policy (CG-CPE), Marine Environmental Response Policy (CG-MER), and Search and Rescue (CG-SAR), CG-5RI as Director of Incident Management and Preparedness Policy will:
      - (1) Contribute Coast Guard and maritime perspectives in the development and maintenance of national response and contingency plans.
      - (2) Ensure the contingency preparedness program aligns with federal planning and execution processes.
      - (3) Provide Coast Guard capabilities and levels of effort information to DHS contingency plans.
      - (4) Provide contingency data for inclusion to the Commandant's SPD.
      - (5) Coordinate contingency policy metrics with Area Commanders.
      - (6) Act as Review Coordinator for the policy created by subordinate response program managers.

- (7) Act as program manager for the Coast Guard during the Capstone National Level Exercises (NLEs) and Joint Chiefs of Staff (JCS) exercises in coordination with Commandant (CG-5RE).
  - (8) Act as program manager for the Coast Guard After Action Program (CG AAP).
  - (9) Budget for contingency exercises and administer the CPS to capture contingency event AARs, lessons learned, and remedial action issues.
  - (10) Review the Area CONPLANs in coordination with Commandant (CG-5RE).
  - (11) Maintain digital copies or links to digital copies of Headquarters, DCMS, and Area plans in coordination with Commandant (CG-5RE).
- d. Director of Law Enforcement, Maritime Security, & Defense Operations Policy (CG-5RE). With input from the Director of Law Enforcement, Maritime Security, and Defense Operations Policy, through the Offices of Law Enforcement Policy (CG-MLE), Maritime Security Response Policy (CG-MSR), and Counterterrorism and Defense Operations Policy (CG-ODO), Commandant (CG-5RE) will:
- (1) Provide Coast Guard and maritime perspectives in the development and maintenance of national response plans as per Table 6-2.
  - (2) Provide law enforcement and security preparedness data for inclusion to the Commandant's Strategic Planning Direction (SPD).
  - (3) Coordinate enforcement and security policy metrics with Area Commanders.
  - (4) Act as Review Coordinator for the policy created by subordinate response program managers.
  - (5) Act as program manager for the Coast Guard during the JCS exercises in coordination with Commandant (CG-5RI).
  - (6) Review the Area CONPLANs in coordination with Commandant (CG-5RI).
  - (7) Maintain digital copies or links to digital copies of Headquarters, Deputy Commandant for Mission Support (DCMS), and Area plans in coordination with Commandant (CG-5RI).
- e. Assistant Commandant for Capability (CG-7). Commandant (CG-7) serves as the Coast Guard's capabilities manager, translating policy and operational needs into the Coast Guard capabilities required to support steady-state and contingency operations. Commandant (CG-7) will:
- (1) Develop and maintain force organization requirements for each contingency in coordination with program managers.
  - (2) Develop and maintain force packages in coordination with Commandant (CG-CPE).
  - (3) Identify current and future resource gaps in coordination with Commandant (CG-095), the Areas, and Coast Guard Force Readiness Command (FORCECOM).
  - (4) Identify and prioritize resource gap solutions considering contingency-specific preparedness metrics and the Commandant's SPD.

3. Deputy Commandant for Mission Support (DCMS). Commandant (DCMS) is the contingency preparedness support manager. Commandant (DCMS) is charged with the development and maintenance of contingency preparedness support doctrine, an All-Hazards Contingency Support Plan (9930 Plan), and operational support TTP and training in coordination with FORCECOM. Commandant (DCMS) will develop and maintain the Contingency Preparedness Assessment (CPA) criteria as a component of the Sector Standardization (STAN) Team assessment process in coordination with Commandant (CG-CPE). Additionally, Commandant (DCMS) will direct DCMS units to provide contingency preparedness support to operational commanders in coordination with FORCECOM.
  - a. Force Readiness Command (FORCECOM). FORCECOM is tasked with enhancing mission execution by providing clear Tactics, Techniques, and Procedures (TTP), relevant training and quality assessments of unit preparedness, and will:
    - (1) Identify current and future resource gaps in coordination with Commandant (CG-095), the Areas, and Commandant (CG-7).
    - (2) Develop and maintain operational TTP and training in coordination with preparedness program managers.
    - (3) Develop and maintain comprehensive preparedness assessment capabilities to support preparedness program managers.
  - b. Director of Operational Logistics (DOL). The Director of Operational Logistics, Office of Contingency and Deployable Logistics, is the direct representative of Commandant (DCMS) for logistics matters supporting Coast Guard operations. The Director of Operational Logistics (DOL-4) maintains a 24/7 watch in the Atlantic Area Command Center to link current operational issues with support and logistics services across the entire maritime domain, and will:
    - (1) Review and coordinate DCMS input to all USCG and DOD operational plans, doctrine and policy.
    - (2) Manage the DCMS Contingency Logistics Working Group (CLWG).
    - (3) Maintain rosters of points of contact (POCs) responsible for each DCMS Deployable Support Element (DSE).
    - (4) Provide supervision over the Logistics Support Element (LSE), deploying team members to support Area, District, or Sector Commanders, as required.
    - (5) Coordinate the strategic mobility required to move deployable teams and units during contingency response.
    - (6) Provide the Logistics Section Chief and Logistics Section Staff to the Area Incident Management Team (IMT) when requested.
    - (7) Develop a DCMS Status Report for submission to Area Commanders and DCMS leadership.
    - (8) Serve as AREA logistics staff during contingency response operations.

4. Contingency Alignment of Coast Guard Headquarters Mission Program Managers. Coast Guard contingencies align with Coast Guard statutory mission program offices, as shown in Table 6-1. These offices will provide operational contingency preparedness guidance and direction.

Table 6-2: Preparedness Program Office Assignments

Contingency	Mission Program Office
Chemical, Biological, Radiological, or Nuclear (CBRN) Attack	Commandant (CG-721)
Civil Disturbance	Commandant (CG-MLE)
Communicable Disease	Commandant (CG-CPE)
Short Notice Maritime Response	Commandant (CG-ODO)
Cyber Incident Response	Commandant (CG-2), Commandant (CG-FAC), Cyber Command
Foreign Humanitarian Assistance/Disaster Response	Commandant (DCO-I), (CG-ODO), (CG-CPE)
Homeland Defense	Commandant (CG-ODO)
Marine Transportation System Disruption	Commandant (CG-FAC)
Mass Migration	Commandant (CG-MLE)
Mass Rescue Operations	Commandant (CG-SAR)
Military Outload (MOL)	Commandant (CG-MSR)
Natural/Manmade Disaster	Commandant (CG-CPE)
Oil and Hazardous Substances	Commandant (CG-MER)
Combatant Commander Support	Commandant (CG-ODO)
Ports, Waterways, and Coastal Security (PWCS) Anti-Terrorism	Commandant (CG-MSR)

CGHQ programs will:

- a. Develop and maintain contingency-specific preparedness policy and associated metrics in coordination with Commandant (CG-CPE).
- b. Upon request from the Areas, provide a planning directive for the contingency requested to outline detailed planning requirements for the Areas, Districts, and field units. Planning Directive considerations are included in Appendix E.
- c. Review relevant lessons learned found in CPS and develop improvement plans, as appropriate; to continuously improve contingency-specific preparedness policy and metrics.
- d. Monitor contingency-specific preparedness program performance in the field using the contingency-specific preparedness metrics.

- e. Provide subject matter expert (SME) support to the National Command Center during real-world events to facilitate strategic objective development.
5. Area Commanders. Area Commanders will provide operational contingency preparedness direction to subordinate units, and coordinate directly with and offer operational input to CGHQ Program Managers regarding preparedness policy. Area Commanders will:
- a. Develop and promulgate the annual Operational Planning Direction (OPD).
  - b. Promulgate preparedness guidance to subordinate commands as required.
  - c. Assist Commandant in development of preparedness metrics for assessing the contingency preparedness of subordinate units and track subordinate units' preparedness.
  - d. Develop, validate, and maintain an All-Hazards CONPLAN and Continuity of Operations (COOP) concept plan.
  - e. Review and approve subordinate units' All-Hazards Contingency and COOP CONPLANS.
  - f. Ensure subordinate unit resources are adequately organized, trained, and equipped to meet their contingency preparedness responsibilities.
  - g. Analyze subordinate unit resource requirements and shortfall reports and prioritize resource needs for the Area resource management plan.
  - h. Execute DOD Principal Planning Agent (PPA) responsibilities with assigned Combatant Commanders and their components.
  - i. Issue Orders (ALERTORDs, OPORDERs, etc.) for all emerging incidents, major contingencies, and exercises occurring within the Area of Responsibility (AOR), as appropriate.
  - j. Coordinate Coast Guard preparedness with interagency partners and stakeholders.
  - k. Verify the level of plan development needed at the Area and subordinate unit level through the Multi-Year Training and Exercise Plan (MTEP) risk ranking process outlined in reference (j).
6. District Commanders. District Commanders will provide operational contingency preparedness direction to subordinate units, and coordinate directly with and offer operational input to Area and CGHQ regarding preparedness policy. District Commanders will:
- a. Develop, validate, and maintain an All-Hazards Contingency and COOP concept plans.
  - b. Review and approve subordinate units' All-Hazards Contingency and COOP planning documents [e.g., plans, supporting annexes, Quick Response Cards (QRCs)] for completeness and compliance with Coast Guard policy and federal mandates (e.g., Endangered Species Act section 7, National Historical Preservation Act, Marine Mammal Protection Act, Magnuson Act, etc).

- c. Ensure that district resources are adequately organized, trained, and equipped to meet their contingency preparedness responsibilities.
  - d. Analyze district and subordinate unit resource requirements and shortfall reports and prioritize resource needs for the District resource management plan.
  - e. Maintain close coordination with DCMS units for contingency support policy and capabilities, mobilization system operation, and logistics support.
  - f. Provide contingency planning support and oversight to subordinate units through Incident Management Preparedness Advisors (IMPAs).
  - g. Train, equip, and exercise District personnel in support of joint operations with DOD units per Area direction.
  - h. Verify the level of plan development needed at the district and subordinate unit level through the THIRA and MTEP risk ranking process outlined in reference (1).
7. Sector Commanders and Marine Safety Unit Commanding Officers with Captain of the Port Authority. Sector Commanders and Marine Safety Unit (MSU) Commanding Officers with Captain of the Port Authority (COTP) serve as first responders and will develop a robust incident management skill set among their personnel. They will provide operational contingency preparedness direction to subordinate units, and coordinate directly with and offer operational input to their respective next higher echelon regarding preparedness policy. Sector Commanders and MSU Commanding Officers with COTP authority will:
- a. Develop, validate, and maintain AOR specific plans, including COOP capability preparedness, in accordance with the requirements in Appendix A.
  - b. Review and approve subordinate units' All-Hazards Contingency Preparedness and COOP planning documents (e.g., plans, supporting annexes, QRCs) for completeness and compliance with Coast Guard policy and federal mandates (e.g., Endangered Species Act 7, National Historic Preservation Act, Marine Mammal Protection Act, Magnuson Act).
  - c. Ensure all unit elements clearly understand their roles in the contingency planning process and actively participate in the process.

**CHAPTER 7. PLAN REVIEW AND MAINTENANCE**

- A. Introduction. Plans must be reviewed regularly and exercised so they remain effective as preparedness and response tools. Adherence to the Preparedness Cycle as described in Chapter 2 and the planning process in Chapter 3 will provide Commanders all the elements needed to develop effective contingency plans; ensure compliance with chain of command priorities and strategic direction; engage, involve and address stakeholders priorities; identify new or changed risks; identify and develop sensible Courses of Action (COAs) to address known gaps; incorporate best practices; and validate planning objectives. Once plans are revised, units must continually develop exercises that challenge or use actual responses to validate their planning assumptions and objectives.
- B. Plan Review. The purpose of plan review is to ensure that Coast Guard contingency plans are consistent with the requirements set forth in all applicable planning directives and current for conditions in the units AOR.

Coast Guard plans will be reviewed annually and updated in accordance with Appendix A, Table A-1 of this Manual. After the plan is updated, it is submitted for review to the Review Coordinator and approval by the Approving Authority identified in Table 7-1. Plan originators will ensure plan approval dates, revision dates, and links to the plan are maintained within the CPS Plans Module.

When possible, operational and contingency plans will not be classified unless specifically directed to be classified. This allows for wider use within the Coast Guard and other stakeholders planning and response units. Coast Guard military operations plans are normally classified at the same level as the supported Combat Commander (CCDR) or Naval Component Commander (NCC) plan. When multiple plans are aggregated they may become classified (i.e., COOP).

- 1. Review and Approval Chain. Table 7-1 describes the Coast Guard’s typical plan review and approval chain. See plan-specific policy for specific guidance (e.g., Defense Plan input is approved by Area Commander.)

Table 7-1: Plan Review and Approval Chain

Plan Originator/Signatory	Review Coordinator	Approving Authority
Headquarters Units or DCO	Commandant (CG-CPE)	Specific Headquarters Program Manager
DCMS	Area (LANT-5 or PAC-5)	Area (LANT or PAC COS)
Area	Commandant (CG-CPE), (CG-MER), (CG-MSR), or, CG-FAC	Commandant (CG-5RI), (CG-5RE) or (CG-5P)
District	Area (LANT-5 or PAC-5)	Area (LANT-5 or PAC-5)
Sector	District (dx) will ensure plan review and concurrence	District (d/dx/dr)

Many plans will have the potential to impact other Federal and State, Tribal, or Territorial ordinances. With the proper core planning team, these potential conflicts can be avoided during the COA development and plan writing phase. However, in all cases, these

statutory requirements must be documented and approved by various potential trustee agencies as part of the plan writing process. Prior to routing for Coast Guard review, these interagency approvals will also be completed.

2. Review Criteria. Approval of a contingency plan or annex is dependent on the following criteria:
  - a. Adequacy. This refers to whether the planning document provides a sufficient response to achieve stated objective(s). The review assesses the validity of the assumptions and compliance with service policy and trustee requirements.
  - b. Feasibility. This refers to whether the tasks in the contingency plan can be accomplished using available resources. The primary factor is whether the available resources are being used within the scope of their capabilities.
  - c. Consistency. Consistency determines the degree to which the contingency plan aligns with Coast Guard policy. The plans are also reviewed to ensure that they are consistent with applicable federal, state, and local law and produce no unacceptable political consequences for the Coast Guard, DHS, or the United States.
  - d. Acceptability. This refers to whether the planned actions are worth the expected costs (political, dollars, environmental impact) and risks to responding personnel and equipment. Reviewers assess whether the mission can be accomplished with the available resources, without undue risk of personnel injury or death, damage or loss of equipment, or unacceptable risk to execution of other missions.
- C. Plan Approval and Dissemination. Unless otherwise directed by the chain of Command or policy, the plan originator determines the distribution and sets requirements for copies of supporting plans. Distribution will be limited to those commands, agencies, and key stakeholders with a role in the contingency plan or a need to know its contents. Distributing plans may also be limited by classification or handling criteria (Secret, FOUO, or SSI). At a minimum, plans will be distributed as follows:
  1. Area Plans. One copy to each District, direct report subordinate units as required within the respective Area, the other Area, DOD, and interagency partners as appropriate, and to Commandant (CG-CPE) and appropriate program managers.
  2. District Plans. One copy to the respective Area and one copy each to field-level commands within the District's AOR, adjacent Districts within the same Area, and other partners/stakeholders as deemed appropriate.
  3. Field-level Plans. One copy to the respective District and one copy each to adjacent Sectors and other partners/stakeholders as deemed appropriate.

Use of electronic distribution, inter/intranet websites, and collaborative planning environments, such as CGPortal and Homeport, is highly encouraged and mandated for certain plans. ACPs will be posted on the publically accessible portion of Homeport; AMSPs will be posted on the limited access portion of Homeport. The plan originator will provide guidance on electronic distribution.

## CHAPTER 8. PLANNER TRAINING AND SUPPORT

A. Contingency Planner Training, Qualification and Subspecialty Assignment. Planners need the skills to facilitate the planning processes and to understand the various incident management structures the Coast Guard uses. The sections below outline the requirements to obtain the Contingency Planner qualification and for obtaining the Apprentice, Journeyman, and Master Contingency Planning levels within the Contingency Planning Subspecialty. Additional training and resources that will support the continued professional growth of a Contingency Planner is also presented.

1. Contingency Planner (MARECP) Qualification. All contingency planners should aspire to achieve this level on completion of their tour at any level in the organization. (Sector, District Area/HQ) Any junior member assigned to a CP position should also work to ensure he or she has some operational competencies to support the planning skill sets as well as experience in the design, development, execution, and evaluation of multi-agency exercises using the Homeland Security Exercise and Evaluation (HSEEP) Program criteria.
2. OAR-18 Contingency Planning Subspecialty Competency. This competency has three levels, Apprentice, Journeyman, and Master. The competency levels provide a formal way of measuring the level of proficiency a planner has obtained. Each level may require demonstrated skills, knowledge levels, particular qualifications, and/or a requisite minimum number of years in a certain billet type.
  - a. Apprentice Level. Officers at this level are considered entry level contingency planning professionals.
    - (1) Apprentice level personnel perform Contingency Planning (Sector, District, Area, FORCECOM Exercise Support Team, or joint service tour) duties and are actively engaged in the cycle of Coast Guard preparedness including the development, training, and updates of Contingency Plans.
    - (2) To obtain the Apprentice Level OAR-18 Competency the following requirements must be completed:
      - (a) Contingency Planner (MARECP) qualification.
      - (b) Basic Preparedness and Exercise Course (BPEC).
      - (c) IS-230 (series) Fundamentals of Emergency Management (FEMA).
      - (d) IS-235 (series) Emergency Planning (FEMA).
      - (e) IS-453 (series) Introduction to Homeland Security Planning (FEMA).
  - b. Journeyman Level.
    - (1) Obtaining a Journeyman level competency will require performing Contingency Planning functions at a minimum of two separate units for a minimum of four years.
    - (2) In addition to the tour/year requirement, Contingency Planners must complete these advanced education/certification requirements:
      - (a) Master Exercise Practitioner (MARMEP) (FEMA)

- (b) ICS Type 3 Planning Section Chief (PSC3)
  - (c) ICS-440 Planning Section Chief Course
  - (d) IS-240 (series) Leadership and Influence (FEMA)
  - (e) IS-242 (series) Effective Communication (FEMA)
  - (f) IS-454 (series) Fundamentals of Risk Management (FEMA)
  - (g) IS-547 (series) Introduction to Continuity of Operations (FEMA)
- c. Master Level.
- (1) To obtain the Master Planner certification, Journeyman Planners must complete at least two tours with a minimum of six years performing contingency planning functions.
  - (2) In addition, they must complete these advanced education/certifications:
    - (a) Team Leader Facilitator Course (USCG 500203)
    - (b) Defense Support of Civil Authorities (DSCA) Phase 1 (DOD)
    - (c) IS-15 (series) Special Events Contingency Planning (FEMA)
    - (d) IS-293 (series) Mission Assignment Overview (FEMA)
    - (e) National Planners Course (DHS)
- d. Waivers. Waivers may be granted for OAR-18 requirements if members' assignments include high level engagement in exercise, training, and interagency coordination. Waivers will be sent to Commandant (CG-CPE-1) for approval.
3. Additional Training. In addition to required courses, there are numerous opportunities available to Contingency Planners at each competency level to support their professional development and to further enhance their planning skills. Some examples of development opportunities include:
- a. Planning Courses.
    - (1) IS-56 (series) Hazardous Materials Contingency Planning (FEMA)
    - (2) IS-156 (series) Building Design for Homeland Security for Continuity of Operations (FEMA)
    - (3) IS-662 (series) Improving Preparedness and Resilience through Public-Private Partnerships (FEMA)
  - b. Exercise Courses/Experience.
    - (1) IS-120 (series) Introduction to Exercises (FEMA)
    - (2) IS-130 (series) Exercise Evaluation and Improvement Planning (FEMA)
    - (3) Serve as a Lead Controller in a Full-Scale Exercise (FSE) or a Functional Exercise (FE)
    - (4) Serve as a Lead Evaluator in a FSE or FE and actively participate drafting the Exercise AAR

- c. DOD Courses.
    - (1) Joint Professional Military Education-1 (JPME-1) Training
    - (2) APC 02: Joint Operational Planning (JOP) AFR-AFDL-010212 (DOD)
  - d. Continuity of Operations Planning Courses.
    - (1) IS-522 (series) Exercising Contingency Plans for Pandemics (FEMA)
    - (2) IS-545 (series) Reconstitution Planning (FEMA)
    - (3) IS-546 (series) Continuity of Operations Planning Awareness (FEMA)
  - e. Emergency Management Courses.
    - (1) Integrated Emergency Management Course (FEMA – resident course)
  - 4. Training resources.
    - a. Armed Forces Institute Advanced Distributed Learning Service - <https://golearn.csd.disa.mil/kc/login/login.asp?bInAccess=TRUE>
    - b. Federal Emergency Management Agency Independent Study Courses - <http://training.fema.gov/is/>
    - c. Department of Defense Joint Knowledge Online Site -<http://jko.jten.mil/>
- B. Planner Support. In addition to the job aids that can be found on the CG-CPE Coast Guard Portal, planners have a support network of Contingency Planners throughout the Coast Guard who can assist with any contingency planning questions or issues that arise. Additional resources for planners include:
- 1. District Incident Management Preparedness Advisors (IMPA) network;
  - 2. The Contingency Preparedness School at Training Center Yorktown;
  - 3. Planning staff at the next higher echelon; and,
  - 4. Peer networks.

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**APPENDIX A:**  
**REQUIRED COAST GUARD PLANS**

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- A. This appendix contains the plans or incident-specific annexes that are required by policy. Planners are to review annual strategic contingency planning and operations planning guidance issued by Commandant, Area, and District commands through the Strategic Planning Direction (SPD) and Operational Planning Direction (OPD) for current priorities and updates to these required contingency plans.

Table A-1: Commandant Required Plans

Unit	Plan	Originating Source(s)	Commandant Directive(s)	Program Owner	Review Frequency
Headquarters	National Maritime Transportation Security Plan (NMTSP)	Marine Transportation Security Act of 2002; 46 United States Code (U.S.C.) §§ 70103, 14 U.S.C. §§ 2, 46 U.S.C. Chapter 37, 33 U.S.C. §§ 1221 et seq., National Security Presidential Directive (NSPD)-41/Homeland Security Presidential Directive (HSPD)-13, 33 C.F.R. 103, and the Security and Accountability For Every (SAFE) Port Act		Commandant (CG-FAC)	As Needed
	International Oil Spill Joint Contingency Response Plans (JCP) including: CANUS, MEXUS, U.S. – Russia JCP, Multilateral Arctic JCP, and Caribbean JCP	14 U.S.C. §§ 2, 14 U.S.C. §§ 89, and 14 U.S.C. §§ 141	COMDTINST M16000.14 (series)	Commandant (CG-MER)	As Needed
	National Contingency Plan (NCP)	46 U.S.C. §§ 9605, HSPD-5, and 40 C.F.R. 300	COMDTINST M16000.14 (series) and COMDTINST 16471.3 (series)	Commandant (CG-MER)	As Needed

Table A-1: Commandant Required Plans (continued)

Unit	Plan	Originating Source(s)	Commandant Directive(s)	Program Owner	Maintenance Frequency
Headquarters (continued)	Cyber Incident Response Plan	PPD-8 and DHS MD11060.1	Cybersecurity Strategic Implementation Plan	Commandant (CG-2) Cyber Command	TBD
	National Search and Rescue Plan	International Search and Rescue plan and Treaties	COMDTINST M16130.2 (series), COMDTINST 16711.2 (series)	Commandant (CG-SAR)	As Needed
	Continuity of Operations Plan (COOP)	14 U.S.C. § 3, Executive Order (EO) 12656, Presidential Decision Directive 67 (PDD-67), and Federal Continuity Directives (FCD) 1 and 2	COMDTINST M3010.15 (series)	Commandant (CG-CPE)	Annual Review
Area	USCG All Hazards Contingency Preparedness Concept Plan (9700/9800 CONPLAN)	USCG Statutory Missions and PPD-8	COMDTINST M3010.11 (series)	Commandant (CG-CPE)	Annual Review
	Continuity Of Operations Plan (COOP)	14 USC §§ 3, Executive Order 12656, PDD-67, and FCD 1 and 2.	COMDTINST M3010.15 (series)	Commandant (CG-CPE)	Annual Review
	Ports, Waterways, and Coastal Security Anti-Terrorism Plan Annex (PWCS AT)	Coast Guard Statutory Mission; COMDTINST M16600.6(series)	COMDTINST M16600.6 (series); COMDTINST M16000.12 (series)	Commandant (CG-MSR)	Annual Review/ as needed
District	All-Hazards CONPLAN	Coast Guard Statutory Missions and PPD-8	COMDTINST M3010.11 (series)	various	Annual review/ as needed
	Regional Contingency Plan (RCP)	40 C.F.R. 300.105	COMDTINST M16000.14 (series) and COMDTINST 16471.3 (series)	Commandant (CG-MER)	Annual review/ as needed
	Continuity Of Operations Plan (COOP)	14 U.S.C. § 3, Executive Order 12656, PDD-67, and FCD 1 and 2	COMDTINST M3010.15 (series)	Commandant (CG-CPE)	Annual review/ as needed

Table A-1: Commandant Required Plans (continued)

Unit	Plan	Originating Source(s)	Commandant Directive(s)	Program Owner	Maintenance Frequency
District (continued)	Mass Rescue Operations Plan	National SAR Plan, CG Statutory Missions	COMDTINST M16130.2 (series), COMDTINST 16711.2 (series)	Commandant (CG-SAR)	Annual review
	Area of Responsibility (AOR) Specific Annex to the International JCP including: CANUS, MEXUS, U.S. – Russia JCP, Multilateral Arctic JCP, and Caribbean JCP	14 U.S.C. §§ 2, 14 U.S.C. §§ 89, and 14 U.S.C. §§ 141	COMDTINST M16000.14 (series)	Commandant (CG-MER)	Annual review/ as needed
	Ports, Waterways, and Coastal Security Anti-Terrorism Plan Annex (PWCS AT)	Coast Guard Statutory Mission; COMDTINST M16600.6(series)	COMDTINST M16600.6 (series); COMDTINST M16000.12 (series)	Commandant (CG-MSR)	Annual Review/ as needed
All Commanders of Units with Captain of the Port Authority	Area Maritime Security Plan (AMSP) including the MTS Recovery and Salvage Plan Annexes	Marine Transportation Security Act of 2002 and 46 U.S.C. §§ 70103; Security and Accountability For Every Port Act of 2006	COMDTINST M16600.6, COMDTINST 16000.28 (series), COMDTPUB P16700.4 (series), and Navigation and Vessel Inspection Circular (NVIC) 9-02 (series), NVIC 2-10	Commandant (CG-FAC)	Formal review and update every 5 years.
	Area Contingency Plan (ACP)	40 C.F.R. 300.105	COMDTINST M16000.14 (series) and COMDTINST 16471.3 (series), NVIC 2-10	Commandant (CG-MER)	Annual review and formal update every 4 years

Table A-1: Commandant Required Plans (continued)

Unit	Plan	Originating Source(s)	Commandant Directive(s)	Program Owner	Maintenance Frequency
All Commanders of Units with Captain of the Port Authority (continued)	Military Outload Plan Annex <sup>1</sup>	National Port Readiness Network Memorandum Of Understanding (MOU) on Port Readiness – (series) and MOU Between Coast Guard – Military Surface Deployment and Distribution Command (SDDC)	COMDTINST M16600.6 (series) and COMDTINST M16000.12 (series)	Commandant (CG-MSR)	Annual Review/ as needed
	Supplement to the District Mass Rescue Operations Plan <sup>2</sup> Annex	National Search and Rescue (SAR) Plan and Coast Guard Statutory Missions	COMDTINST M16130.2 (series) and COMDTINST 16711.2 (series)	Commandant (CG-SAR)	Annual Review
	Continuity Of Operations Plan (COOP) <sup>3</sup>	14 U.S.C. §§ 3, Executive Order 12656 PDD-67, and FCD 1 and 2.	COMDTINST M3010.15 (series)	Commandant (CG-CPE)	Annual Review
	Ports, Waterways, and Coastal Security Anti-Terrorism Plan Annex (PWCS AT)	Coast Guard Statutory Mission; COMDTINST M16600.6(series)	COMDTINST M16600.6 (series); COMDTINST M16000.12 (series)	Commandant (CG-MSR)	Annual Review/ as needed
Deputy Commandant for Mission Support (DCMS)	DCMS Contingency Support Plan 9930-10	Coast Guard Statutory Missions and PPD-8	COMDTINST M3010.11 (series)	DCMS	Annual Review
	Continuity of Operations Plan (COOP) <sup>4</sup>	14 U.S.C. §§ 3, Executive Order 12656, PDD-67, and FCD 1 and 2	COMDTINST M3010.15 (series)	Commandant (CG-CPE)	Annual Review

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<sup>1</sup> Designated Strategic Ports

<sup>2</sup> At the Sector Commanders discretion based on the use of a risk-based assessment of the unit's AOR IAW COMDTINST 16711.1

<sup>3</sup> Supporting plan to the LANTAREA/PACAREA All-Hazards CONPLANS

<sup>4</sup> As directed by DCMS

Table A-1: Commandant Required Plans (continued)

Unit	Plan	Originating Source(s)	Commandant Directive(s)	Program Owner	Maintenance Frequency
	Continuity of Operations Support Plan <sup>5</sup>	14 U.S.C. §§ 3, Executive Order 12656, PDD-67, and FCD 1 and 2	COMDTINST M3010.15 (series)	DCMS	Annually
	Emergency Operations Plan (EOP)			DCMS	As needed
Force Readiness Command (FORCECOM)	Continuity Of Operations Plan (COOP)	14 U.S.C. §§ 3, Executive Order 12656, PDD-67, and FCD 1 and 2	COMDTINST M3010.15 (series)	FORCECOM	Annually

\*DOD plans that the Areas are required to support

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<sup>5</sup> Supporting plan to the LANTAREA/PACAREA COOP Plan

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**APPENDIX B:**  
**COAST GUARD CONTINGENCIES**

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A. Introduction. This appendix identifies the primary contingencies that Coast Guard commands should be prepared to develop plans to support. Area and District Commanders will promulgate preparedness guidance to subordinate commands as required to ensure appropriate plans are developed. This is not an all encompassing list of contingencies and commands should consider conducting their own threat and risk assessment to ensure appropriate contingency plans are developed. Included for each contingency is a definition, Commanders Intent, originating source for the requirement, COMDT policies and the Headquarters Mission Program Office or Offices that maintain policy oversight for that contingency.

B. Severe Weather or Disasters.

Definition. A natural disaster is a major adverse event resulting from natural processes of the Earth (e.g., flood, hurricane, volcanic eruption, earthquake, or landslide) that causes economic disruption, environmental damage, or human losses. A manmade disaster is a major adverse event resulting from human intent, negligence, or error (e.g., equipment failure, power outage, industrial accident, or arson) that causes economic disruption, environmental damage, or human losses.

Commander's Intent. When a natural or manmade disaster occurs, the Unit will first conduct self-preservation tasks including crew accountability and dependant evacuation, if applicable. The Unit should then be prepared to respond with organic resources for up to 72 hours prior to receiving outside support. Plans will detail how to incorporate surge resources and supplies from the District and unaffected Sector(s) The Coast Guard will coordinate domestic actions with federal, state, local, and tribal partners to prevent, protect, mitigate, respond to and recover from a natural or manmade disaster, to save and sustain lives, protect the environment and property as well as ensure continuity of Coast Guard operations, maintain the nation's confidence and maritime critical infrastructure.

Originating Source of Requirement. 14 United States Code (U.S.C.) §§ 2, 88, & 141, Federal Water Pollution Control Act § 311(d), PPD-8, the National Frameworks.

COMDT Policy. COMDTINST 16000.22 (series).

Primary Coast Guard Plans Directed to Address this Contingency. NMTSP, CANUS/MEXUS, NCP, COOP, Coast Guard 9700/9800 Concept Plans (CONPLANS), Regional Contingency Plans (RCP), and ACPs.

Headquarters Mission Program Office. Commandant (CG-CPE).

C. Communicable Diseases.

Definition. Communicable diseases are illnesses transmitted through direct contact with an infected individual or indirectly. Because they can spread quickly from person to person, communicable diseases can severely disrupt the Marine Transportation System (MTS), the economy, and Coast Guard operations. Due to the nature of their missions, Coast Guard personnel are at a high risk for exposure to communicable diseases such as influenza, tuberculosis, cholera, diphtheria, plague, smallpox, yellow fever, viral hemorrhagic fevers, and severe acute respiratory syndrome (SARS).

Commander's Intent. The Coast Guard will protect the health of its workforce while ensuring the safe performance of statutory missions in a communicable disease environment. The Coast Guard will support the DHS, the Department of Health and Human Services (HHS) and

coordinate with other federal, state, local, and tribal partners to minimize the potential for maritime traffic to spread communicable diseases and minimize the impact of communicable disease on the service, the Maritime Transportation System (MTS), as well as national supply lines.

Originating Source of Requirement. PPD-8, Executive Order (EO) 13295 (as amended April 2005), and the National Strategy for Pandemic Influenza Implementation Plan.

COMDT Policy. COMDTINST M3121.2 (series)

Primary Coast Guard Plans Directed to Address this Contingency. Coast Guard 9700/9800 CONPLAN and COOP Plans.

Headquarters Mission Program Offices. Commandant (CG-CPE) and Commandant (CG-112).

D. Oil & Hazardous Substances.

Definition. The Oil Pollution Act of 1990 established preparedness as a cornerstone of effective pollution response and enhanced the nation's prior oil and chemical response authorities. Oil and hazardous substances (HAZSUB) contingency preparedness ensures prompt and effective response to discharge or release, or substantial threat of discharge or release, of oil or HAZSUB, thereby eliminating or minimizing the threat to human health and safety and the environment.

Commander's Intent. When an oil or HAZSUB incident occurs within a unit area of responsibility, the unit will first conduct self-preservation, crew accountability and dependent evacuation assessments, as applicable. Consequence management and response activities should be based on pre-planned response actions to identified risks from AOR vessel traffic and facilities as reflected within the interagency preparedness plans at Sector (Area Contingency Plan (ACP)), District (Regional Contingency Plan (RCP)), and National levels (National Contingency Plan (NCP)), as well as the internal Coast Guard activities, such as fueling procedures and pollution discharge prevention plans at a boat station or cutter. Applicable international partners will be engaged, when appropriate, as reflected in Joint Contingency Plans. CG 9700/9800 CONPLANs should include Coast Guard capability requirements detailed in the RCP and ACPs to ensure the appropriate level of surge capability is factored into force planning calculations.

Originating Source of Requirement. Federal Water Pollution Control Act – Section 311(j), Oil Pollution Act of 1990 (Section 4202(a)), 33 U.S.C. §1321(j), National Contingency Plan (NCP), 40 CFR 300, PPD-8, and the National Response Framework (NRF).

COMDT Policy. COMDTINST M16000.14 (series), COMDTINST 16450.1, COMDTINST 16451.1, COMDTINST 16451.9, COMDTINST 16465.41 series, COMDTINST 16470.1 (series), COMDTINST 16471.3 (series), COMDTINST M16455.1 (series)

Primary Coast Guard Plans Directed to Address this Contingency. NCP, CANUS/MEXUS Joint Contingency Plans, Coast Guard 9700/9800 CONPLAN, RCP, ACP, and USCG Cutter Oil Pollution Emergency Plan.

Headquarters Mission Program Offices. Commandant (CG-MER) for external oil spill preparedness planning and Commandant (CG-45) for internal Coast Guard pollution discharge preparedness and planning.

E. Mass Rescue Operations.

Definition. The processes and procedures to prepare for, prevent, and if necessary, to respond to and mitigate a Mass Rescue event.

Commander's Intent. Units will, in cooperation with the response community, plan realistic mass rescue scenarios, including people, property and environmental elements put at risk by those scenarios. Units will also develop objectives and tactics that can be feasibly applied to mitigate those risks; and define a clear delineation of roles and responsibilities among the many afloat and ashore resources in executing those strategies and tactics in such a large scale event.

Originating Source of Requirement. 14 U.S.C. §88(b), National SAR Plan, PPD-8, and NRF.

COMDT Policy. COMDTINST 16711.2, M16000.11 series, M16130.2 (series).

Primary Coast Guard Plans Directed to Address this Contingency. Mass Rescue Operations (MRO) and Coast Guard 9700/9800 CONPLAN.

Headquarters Mission Program Office. Commandant (CG-SAR).

F. Marine Transportation System Disruption.

Definition. Marine Transportation System (MTS) Disruption is defined as any significant delay, interruption, or stoppage in the flow of maritime trade caused by a natural disaster, heightened threat level, an act of terrorism, or any transportation security incident (as defined in Section 70101(6) of title 46, United States Code).

Commander's Intent. USCG MTS contingency preparedness will design a focused approach for response to and facilitation of recovery from disasters that adversely affect the MTS and security of the international supply chain. The preparedness plan should include Critical Infrastructure/Key Resources (CI/KR) cross-sector interdependencies that have a marine transportation nexus, either directly or through inter-modal transportation links.

The MTS recovery regimen must also take into consideration continuity of operations, business continuity, maritime security, and force protection issues that continue during post-incident recovery activities.

Originating Source of Requirement. National Strategy for Maritime Security (NSMS) National Security Presidential Directive (NSPD)-41/Homeland Security Presidential Directive (HSPD)-13, PPD-8, Maritime Infrastructure Recovery Plan (MIRP), Maritime Transportation Security Act of 2002, Security and Accountability for Every Port Act of 2006, National Response Framework, National Infrastructure Protection Plan (NIPP), National Maritime Transportation Security Plan (NMTSP), DHS Strategy to Enhance International Supply Chain Security, (Jul 2007), and the Customs and Border Protection/U.S. USCG Joint Protocols for the Expeditious Recovery of Trade.

COMDT Policy. COMDTINST 16000.28 (series).

Primary Coast Guard Plans Directed to Address this Contingency. NMTSP, Area Maritime Security Plans (AMSP), Coast Guard 9700/9800 CONPLANs.

Headquarters Mission Program Office. Commandant (CG-FAC).

G. Foreign Humanitarian Assistance and Disaster Relief.

Definition. Foreign Humanitarian Assistance (FHA) and Disaster Relief (FDR) comprises activities conducted outside the United States and its territories to save lives, directly relieve or reduce human suffering, protect property, and reduce the economic impacts of disasters on foreign land, inland waters, and coasts of affected nations.

Commander's Intent. The USCG will conduct Foreign Humanitarian Assistance/Disaster Response when directed or when criteria for immediate lifesaving are met, or as directed by the Department of State (DOS) Office of U.S. Foreign Disaster Assistance (OFDA) and/or United States Agency for International Development (USAID).

Note: FHA/FDR activities are normally in support of the DOS OFDA and USAID. Support may be provided in response to a written request (e.g. 14 USC 141 Assistance Authority) or through direct personnel/materiel support to a geographic combatant commander (GCC) that is supporting DOS/USAID or the affected country(ies) through limited 72-hour response authority as per Appendix B to JP 3-29. USCG derives its authorities to engage in foreign disaster relief operations from specific requests and allocations of funds from USAID/OFDA, and legislative authorizations (Foreign Assistance Act). Additionally, The Coast Guard maintains an MOU with USAID signed in 2011 under which USAID can directly request USCG assistance to respond to foreign disasters.

Origination Source of Requirement. Memorandum of Understanding (MOU) between USAID and the USCG, Jun 2011.

COMDT Policy. COMDTINST M3010.11 (series).

Primary Coast Guard Plans Directed to Address this Contingency. Commandant (CG-MER), USCG 9700/9800 CONPLAN, IMO and ICAO SAR Agreements.

Headquarters Mission Program Offices. Commandant (DCO-I), Commandant (CG-ODO), and Commandant (CG-5RI).

H. Chemical, Biological, Radiological, or Nuclear Attack.

Definition. This attack is a threatened or actual attack involving the intentional release of Chemical, Biological, Radiological, or Nuclear (CBRN) materials, posing a real, potential, or perceived threat to public health, safety, property, or the environment. This contingency differs from the Oil and HAZSUB contingency in that the release of these materials is intentional. Due to the intent to harm, additional measures and restrictions may be required not only in the immediate area of attack, but potentially throughout the Nation.

Commander's Intent. The Unit will first conduct self-preservation actions, crew accountability, and dependant evacuation assessments, as applicable, when a CBRNE event is imminent or has occurred. All USCG forces engaged in CBRNE operations will have the appropriate levels of protection and training. USCG forces conducting military unique operations or expeditionary CBRNE operations in support of DOD will be equipped at least to DOD standards.

Originating Source of Requirement. Homeland Security Presidential Directives (HSPD) 7, 15, and 19, PPD-8, National Implementation Plan for the War on Terror (NIP-WOT), NIPP, and the National Security Strategy.

COMDT Policy. COMDTINST 3400.3 (series), COMDTINST 3400.4 (series), COMDTINST 3850.1 (series), COMDTINST M16114.42 (series), COMDTINST 16600.2 (series), COMDTINST 16614.1 (series), COMDTINST M3450.4 (series), COMDTINST M3710.3 (series), COMDTINST M3800.6 (series), COMDTINST M3820.12 (series), COMDTINST M16247.1 (series), COMDTINST M16600.3 (series), COMDTINST M16601.12 (series).

Primary Coast Guard Plans Directed to Address this Contingency. USCG 9700/9800 CONPLAN, NCP, RCP, ACP.

Headquarters Mission Program Offices. Commandant (CG-MER) and Commandant (CG-721)

#### I. Mass Migration.

Definition. Mass migration is a large movement of undocumented aliens that is of such magnitude and duration as to overwhelm the normal amount of resources allocated to Coast Guard Alien Migrant Interdiction Operations (AMIO) steady state operations.

Commander's Intent. During mass migration, the Coast Guard will interdict vessels as well as provide SAR assistance to vessels bound for the United States. The Coast Guard will also provide assistance to other federal agencies in the processing, investigation, and prosecution of boat owners suspected of violating United States law.

Originating Source of Requirements. 14 U.S.C. §88(b), Immigration and Nationality Act, as amended (8 U.S.C. §1182(f) and §1185(a) (1)), Executive Order 13276 (as amended by EO 13286), Executive Order 12807, Presidential Decision Directive 9, DHS OPLAN Operation Vigilant Sentry (OVS), and PPD-8.

COMDT Policy. COMDTINST M16247.4 (series), COMDTINST M16247.1 (series), COMDTINST M16000.11 (series), COMDTINST M16130.2 (series), and COMDTINST 16711.12 (series).

Primary Coast Guard Plans Directed to Address this Contingency. Homeland Security Task Force - Southeast (HSTF-SE), Operation Vigilant Sentry, Coast Guard 9700/9800 CONPLAN, and MRO.

Headquarters Mission Program Office. Commandant (CG-MLE).

#### J. Civil Disturbance.

Definition. Civil disturbance definitions and operations for the Coast Guard fall into five categories:

- a. Protecting Coast Guard property from illegal incursions and damage during civil disorder.
- b. Fulfilling statutory responsibilities in the maritime domain during civil disorder. An example is Coast Guard security duties during security zone enforcement of a commercial vessel.
- c. Lending support under the NRF Emergency Support Function 13 (ESF #13). This ESF requires all federal public safety and security capabilities and resources to support the full range of incident management activities associated with potential or actual incidents requiring a coordinated federal response.

- d. Providing support under 10 U.S.C. Chapter 15, which states the President may use the military to enforce federal law or to protect constitutional rights. If federal, state, and local police forces (including the National Guard operating under state control) are insufficient to adequately respond to a civil disturbance or other serious law enforcement emergency, the Governor may request, through the Attorney General, federal military assistance under Title 10 U.S.C. Chapter 15.
- e. Incorporating Coast Guard units into a DOD task force specifically organized to counter civil disturbances.

Commander's Intent. Depending on the category of civil disturbance, the Coast Guard will coordinate with partner law enforcement agencies and respond to restore and maintain order. Commanders should only deploy properly trained, qualified, and equipped personnel, particularly when the use of force is possible.

Originating Source of Requirement. COMDTINST M5530.1C, Physical Security and Force Protection Program, PPD-8, NRF Emergency Support Function #13, 10 U.S.C. Chapter 15, U.S. Northern Command (USNORTHCOM) CONPLAN 3502.

COMDT Policy. COMDTINST 16000.22 (series).

Primary Coast Guard Plans Directed to Address this Contingency. Coast Guard 9700/9800 CONPLAN.

Headquarters Mission Program Office. Commandant (CG-MLE).

#### K. Ports, Waterways, and Coastal Security.

Definition. Ports, Waterways, and Coastal Security (PWCS) encompasses the protection of the U.S. Maritime Domain and the U.S. MTS; the prevention and disruption of terrorist attacks, sabotage, espionage, or subversive acts; and the security-related response to and facilitated recovery from both potential and actual acts. The PWCS mission includes steady state Maritime Security Level 1 (MARSEC 1) and contingency levels of operations (Maritime Security Level 2 (MARSEC 2) and Maritime Security Level 3 (MARSEC 3))

Commander's Intent.

IAW established National Directives and Department and Agency doctrine and policies, Coast Guard Operational Commanders will conduct PWCS mission activities to deny the use and exploitation of the U.S. MTS by terrorists as a means for attacks on U.S. Territory, domestic population centers, vessels, critical infrastructure and key resources. COMDTINST M16600.6 (series) requires Area, District, Sector and MSUs with COTP authority to develop, maintain, and exercise comprehensive contingency plans for Coast Guard PWCS (AT) activities at elevated MARSEC levels. Coast Guard plans developed under COMDTINST M16600.6 (series) will be coordinated with other law enforcement, public safety, and private sector partners to increase vigilance and patrolling per pre-established MARSEC Level 2 and 3 plans as well as established State and Local protocols per heightened DHS National Terrorism Advisory System (NTAS) levels. When specific intelligence indicates imminent attack, or after an attack has occurred, MARSEC 2 or 3 may be directed by the Commandant for specific locations. There may be more pronounced surges and potentially a curtailment of certain noncritical mission activities to increase resource availability. On direction of MARSEC 2 or 3, Operational Commanders will

immediately increase Maritime Domain Awareness (MDA) activities to support operations to protect and defend the public and the MTS.

Originating Source of Requirement. National Strategy for Homeland Security, NSPD 46/HSPD 15 - NIP-WOT, NIPP, 46 USC §70103 MTSA 2002, Security and Accountability for Every Port Act of 2006, 33 USC §1226 Port and Waterways Safety Act, 33 CFR §6, NMTSP, PPD-8, National Frameworks.

COMDT Policy. COMDTINST 16000.28 (series), COMDTINST 16601.28 (series), COMDTINST M16600.6 (series), COMDTPUB P16700.4. Additional guidance on Area Maritime Security Plan (AMSP) planning can be found in Navigation and Vessel Inspection Circular (NVIC) 9-02 (series)).

Primary Coast Guard Plans Directed to Address this Contingency. Coast Guard 9700/9800 CONPLAN, AMSP.

Headquarters Mission Program Offices. Commandant (CG-MSR) and Commandant (CG-FAC).

L. Short Notice Maritime Response (SNMR).

Definition. SNMR is defined as a time-sensitive response to interdict, board, and control a vessel believed to pose a threat of terrorism or proliferation of Weapons of Mass Destruction (WMD) to the United States. SNMR begins when the operational commander is informed by intelligence of a threat and ends when positive control is attained, the threat assessed, and disposition determined. Rapid coordination, planning, and deployment of resources are integral to mission success. SNMR does not include Prevention operations, such as deliberately planned antiterrorism actions, including those implemented for a National Special Security Event or other events for which the consequences of or vulnerability to terrorism requires extra vigilance and over deterrence.

Commander's Intent. When required the Coast Guard shall conduct SNMR operations in support of Port, Waterways, and Coastal Security (PWCS), Homeland Defense (HLD), and Homeland Security (HLS). The Coast Guard may either operate unilaterally or in support of dedicated Department of Defense (DoD) or Department of Justice (DOJ) personnel. The Coast Guard shall ensure all assets and personnel are properly trained, equipped, and supported to respond proficiently and professionally to the complex and challenging threats they may face.

Origination Source of Requirement. CJCS CONPLAN 7599 (Classified SECRET//USA, AUS, CAN, GBR); CJCS CONPLAN 0300-14: (Classified SECRET//ACCM); DOD CONPLAN 8099-08: Combating Weapons of Mass Destruction (Classified SECRET); Maritime Counter-proliferation Interdiction (MCPI) EXORD (Classified SECRET//NF); NORTHCOM: CONPLAN 3310-07: Aerospace Warning, Aerospace Control and Maritime Warning for North America (Classified SECRET//REL TO USA CAN); CONPLAN 3400-12: Homeland Defense (HD) (Classified SECRET//REL TO USA CAN); CONPLAN 3405-12: Department of Defense Nuclear Weapon Incident Response (Classified SECRET//NF); CONPLAN 3407-11: Defense support to Prevent a Chemical Biological, Radiological, Nuclear, or High-Yield Explosive (CBRNE) Attack in the Homeland (Classified SECRET//NF); CONPLAN 3475-08: USNORTHCOM Regional Campaign for War on Terrorism (Classified SECRET//NF); CONPLAN 3500-11: CBRNE Response (UNCLASS);

COMDT Policy. COMDTINST M16600.6 (series), COMDTINST 3400.3 (series), COMDTINST 3400.4 (series), and COMDTINST M16601.12 (series).

Primary Coast Guard Plans Directed to Address this Contingency. USCG 9700/9800 CONPLAN.

Headquarters Mission Program Office. Commandant (CG-ODO).

M. Military Outload.

Definition. For the purposes of this Manual, Military Outload (MOL) is a contingency level PWCS operation conducted in fulfillment of USCG responsibilities under the National Port Readiness Network MOU on Port Readiness to ensure safe and secure movement of military personnel and cargo through U.S. strategic military and strategic commercial seaports and related intermodal systems in the event of mobilization, as well as support to overseas contingency operations or other national emergencies or major disasters. MOL operations are the summation of a suite of protection activities that include the following (see amplification and activity requirements COMDTINST M16600.6 (series)) :

- a. Establishment of a security zone or other applicable limited access area;
- b. Escorts of laden MOL vessels in and out of ports of embarkation and debarkation;
- c. Conduct of positive control measures (PCM);
- d. Pre-inspections of the anticipated transit route;
- e. Facility Security Inspections and spot checks of the MOL facility;
- f. Underwater inspection of the MOL facility's pier;
- g. Coordination and, as required, security on the shoreside portion of the pier of the MOL facility; and,
- h. HAZMAT stowage and compatibility inspection of marine bound containers at DOD installations and MOL facility.

Commander's Intent. Units will conduct MOL planning per the requirements listed in the origination sources listed below (COMDTINST M16600.6 (series), the National Port Readiness Network (NPRN) MOU, and NVIC 9-02 (series)).

Origination Source of Requirement. Maritime Security Response Operations Manual, COMDTINST M16600.6 (series), NPRN MOU on Port Readiness (series), MOU between the USCG and the Military Traffic Management Command (MTMC) (which became the Military Surface Deployment and Distribution Command (SDDC) on Port Safety and Security (series).

COMDT Policy. COMDTINST M16600.6 (series), COMDTINST M16000.12 (series), COMDTINST M3010.11 (series), COMDTINST M3010.12(series), COMDTINST M3010.13 (series), NVIC 9-02 (series).

Primary Coast Guard Plans Directed to Address this Contingency. USCG 9700/9800 CONPLAN.

Headquarters Mission Program Office. Commandant (CG-MSR).

N. Cyber Incident Response.

Definition. A Cyber event can degrade or disrupt access to cyber systems used in execution of USCG operations and/or impact the Marine Transportation System (MTS) safety, security, or general operations.

Commander's Intent. The USCG will work with federal, state, local, and MTS partners to mitigate the effects of responding to, and facilitate recovery from, degradation or disruption of USCG and MTS operations resulting from a cyber event. As a component of existing AMSPs, units are required to develop a contingency plan that addresses the techniques, tactics, and procedures required to mitigate a cyber event.

Originating Source of Requirement. PPD 7, PPD 8, National Strategy to Secure Cyberspace, National Infrastructure Protection Plan (NIPP), National Cyber Incident Response Plan, DHS MD11060.1, USCG Publication 2-0.

COMDT Policy. Cybersecurity Strategic Implementation Plan, and COMDTINST M3800.6 (series).

Primary Coast Guard Plans Directed to Address this Contingency. USCG Cyber Command Cyber Event Response Plan, USCG CONPLAN (9700/9800).

Headquarters Mission Program Offices. Commandant (CG-2), USCG Cyber Command, and Commandant (CG-FAC).

O. Homeland Defense.

Definition. Homeland defense entails defense of U.S. territory from direct attack by state and non-state actors to counter and defeat maritime threats DOD maintains alert Navy ships and aircraft and has standing procedures to provide U.S. Northern Command (USNORTHCOM), U.S. Pacific Command (USPACOM), and North American Aerospace Defense Command (NORAD) with additional forces as necessary to conduct maritime homeland defense (MHD) operations. A Memorandum of Agreement between DOD and DHS for the Inclusion of the U.S. Coast Guard in Support of Maritime Homeland Defense establishes a standing command and control (C2) construct that incorporates the Coast Guard Area Commanders into the DOD MHD C2 structure (under Title 10 authority) and authorizes the Area Commanders to rapidly transfer Coast Guard forces to USNORTHCOM or USPACOM for the conduct of MHD operations. Commander, Coast Guard Atlantic Area serves as Commander, Coast Guard Defense Force East (CGDEFOR EAST) reporting to USNORTHCOM (through Joint Forces Maritime Component Commander-North (JFMCC-N)) for execution of MHD missions in the USNORTHCOM area of responsibility (AOR), and Commander, Coast Guard Pacific Area serves as Commander, Coast Guard Defense Force West (CGDEFOR West) reporting to USNORTHCOM or USPACOM (through JFMCC-N or U.S. Pacific Fleet, respectively) for execution of MHD missions in the applicable AOR. Additionally, Annex H of the 2008 MOA between Secretary of Defense and Secretary of Homeland Security for Use of USCG Capabilities and Resources in Support of the National Military Strategy, Maritime Operational Threat Response (MOTR) Support states that is appropriate for the Coast Guard to support DOD in cases when DOD is assigned as the lead MOTR agency for MHD and counterterrorism (CT) missions.

Commander's Intent. Area Commanders will conduct planning for USCG support to MHD missions as required by CDRUSNORTHCOM and/or CDRUSPACOM (or their designated joint

forces maritime component commanders (JFMCC)) as applicable. Planning should address the conduct of MHD missions under the direction of CGDEFORs as well as the rapid transfer of appropriate USCG forces to the combatant commanders (CCDR) for the execution of MHD operations under DOD C2.

Origination Source of Requirement. The MOA between the Department of Defense and the Department of Homeland Security for the inclusion of the U.S. Coast Guard in support of Maritime Homeland Defense designated Coast Guard Atlantic and Pacific Area Commanders as Commander, Defense Force East and West respectively. The agreement outlines the MHD C2 relationships between CG Defense Force East/West and USNORTHCOM/USPACOM.

COMDT Policy. COMDTINST M3010.11 (series).

Primary Coast Guard Plans Directed to Address this Contingency. USCG 9700/9800 CONPLAN.

Headquarters Mission Program Office. Commandant (CG-ODO).

#### P. Defense Readiness Mission Support.

Definition. Combatant Commander Support is conducted as part of the USCG's responsibility to support DOD contingency operations. Under Title 14 U.S.C. § 1, the Coast Guard is "at all times an armed force of the United States." As a component of the Armed Forces, the Coast Guard maintains readiness to carry out military operations in support of the policies and objectives of the U.S. government. The Coast Guard's Defense Readiness mission supports the National Military Strategy and Department of Defense (DOD) operations by ensuring Coast Guard assets are capable and equipped to deploy and conduct joint operations in support of the combatant commanders. The Coast Guard executes Defense Readiness by providing forces to DOD to perform joint military operations worldwide. Coast Guard assets and personnel have deployed and operated under the control of DOD commands conducting major combat operations, humanitarian assistance, in support of combating terrorism operations and other missions. The 2008 MOA Between Secretary of Defense and Secretary of Homeland Security for Use of USCG Capabilities and Resources in Support of the National Military Strategy (revised 2010) documents Coast Guard national defense roles, missions, and functions and identifies Coast Guard capabilities appropriate for use by the CCDRs in support of DOD contingency operations worldwide."

Commander's Intent. The term "Principal Planning Agent (PPA) is a USCG planning term that delineates Coast Guard linkages to the CJCS, Joint Staff, other Services, DOD Unified Commands and applicable naval components for planning and coordination. DCMS, Areas, and certain Coast Guard Headquarters directorates execute PPA responsibilities as assigned by DCO memoranda. The PPAs will serve as the principal interface with DOD as assigned. PPAs will develop supporting plans or appendices as required to describe Coast Guard support for applicable DOD contingency plans. Appendix C provides detailed guidance for execution of PPA planning responsibilities.

Originating Source of Requirement. Title 14 U.S.C. § 1. National Military Strategy of the United States. 2008 MOA between Secretary of Defense and Secretary of Homeland Security for use of USCG capabilities and resources in support of the National Military Strategy. 2004 MOA

between the Department of Defense and the Department of Homeland Security for the inclusion of the U.S. Coast Guard in support of Maritime Homeland Defense.

COMDT policy. Commandant (DCO) Decision Memo - Principal Planning Agent (PPA) Relationships, dated 04 April 2012 (incorporated in this manual).

Primary Coast Guard Plans Directed to Address this Contingency. USCG 9700/9800 CONPLAN.

Headquarters Mission Program Offices. Commandant (CG-ODO) and Commandant (DCO-I).

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**APPENDIX C:**  
**PLANNING POLICY FOR SUPPORT TO THE**  
**DEFENSE READINESS MISSION**

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- Ref: (a) MOA between the Department of Defense and the Department of Homeland Security for the inclusion of the U.S. Coast Guard in support of Maritime Homeland Defense (30 Nov 2004)
- (b) Memorandum of Agreement between the Department of Defense and Department of Homeland Security on the use of U.S. Coast Guard Capabilities and resources in support of the National Military Strategy (20 May 2008)
- (c) Contingency Preparedness Planning Manual, Volume II, COMDTINST M3010.12 (Series)
- (d) Coast Guard Force Deployment Planning And Execution (FDP&E) Policy Manual, COMDTINST M3122.1 (series)
- (e) Unified Command Plan 2011, N. 288-11, (Apr 8, 2011)
- (f) Chairman of the Joint Chiefs of Staff Manual (CJCSM), 3122.01A, Joint Operation Planning and Execution System (JOPEs), Volume I, Planning Policies and Procedures (Sep 29, 2006)

NOTE: The above references apply only to this appendix

- A. Introduction. This appendix provides practical background information for all United States Coast Guard (Coast Guard) planners and specific guidance for those who conduct planning, in conjunction with Department of Defense (DOD) staffs, for the employment of Coast Guard forces in the execution of DOD missions under DOD command authority. Background information includes a description of the Coast Guard's defense role; the Defense Readiness mission; strategic guidance for DOD planning; Coast Guard Principal Planning Agents (PPA) to DOD; DOD and Coast Guard force management processes. Finally, the DOD planning process is discussed in conjunction with policy guidance outlining Coast Guard PPA responsibilities in execution of the DOD planning process.
- B. Background. To effectively conduct planning in support of the Defense Readiness mission in conjunction with DOD counterparts, Coast Guard planners must have a basic understanding of the Coast Guard's National Defense role; the Defense Readiness mission; DOD planning guidance (i.e., the Joint Strategic Planning System); and the Coast Guard and DOD force management processes. This section provides a brief overview of those elements.
1. The Coast Guard's National Defense Role. To conduct planning for the defense readiness missions, planners must be familiar with the Coast Guard's role in national defense in wartime and in peacetime. Title 14 (14 USC 1) specifies that the Coast Guard is "a military service and a branch of the armed forces of the United States at all times" and must "maintain a state of readiness to function as a specialized service in the Navy in time of war."
  2. Coast Guard's Wartime Role. The Coast Guard has served in all our Nation's wars, primarily with the U.S. Navy as a naval augmentation force providing specialized capabilities as required for the defense of our Nation. Title 14 (14 USC 2) states that "upon the declaration of war (if Congress so directs in the declaration), or when the President directs, the Coast Guard will operate as a service in the Navy, and will so continue until the President, by Executive order, transfers the Coast Guard back to the Department of Homeland Security." The President may also direct that only a portion of the Coast Guard, rather than as a whole, be transferred to the Navy. If the Coast Guard

transfers in its entirety, the Commandant will report to the Secretary of the Navy for statutory matters and to the Chief of Naval Operations for operational matters. A Presidential executive order is required to transfer the Coast Guard (or any of portion thereof) back to DHS.

3. Coast Guard's Peacetime Role. As a branch of the armed forces, the Coast Guard maintains its readiness to carry out military operations in support of the policies and objectives of the U.S. government. As a critical component of the U.S. National Fleet with the U.S. Navy and Marine Corps, our forces maintain a high state of readiness to defend the Homeland or support defense missions anywhere in the world. Today, the Coast Guard routinely deploys forces in support of Combatant Commander (CCDR) theater security cooperation operations on a routine basis and stands ready to deploy forces in support of military contingency operations overseas or in the Homeland. Since SecDHS cannot execute defense operations, Coast Guard forces are transferred to operate under SecDef authority, serving under the command authority (normally operational control, or OPCON) of the appropriate CCDR. Such transfers of OPCON to DOD are normally subject to the express approval of the Commandant of the Coast Guard (COMDT) and the Secretary of Defense (SecDef).
4. Coast Guard's Role in Homeland Defense. By the provisions in reference (a), the Coast Guard Area Commanders are included in the DOD's Maritime Homeland Defense (MHD) command and control (C2) structure and can rapidly transfer of Coast Guard forces to USNORTHCOM or the U.S. Pacific Command (USPACOM) to conduct MHD operations. Specifically, reference (a):
  - a. Establishes a standing operational C2 construct for Coast Guard forces to conduct MHD missions under the authority and command of DOD and allows for the use of Coast Guard forces by USNORTHCOM or USPACOM to conduct MHD operations.
  - b. Assigns the Coast Guard Area Commanders as Title 10 MHD commanders under DOD control and authority of USNORTHCOM and USPACOM. Commander, Coast Guard Atlantic Area serves as Commander, Coast Guard Defense Force East (CGDEFOR EAST) reporting to USNORTHCOM (through Joint Forces Maritime Component Commander-North (JFMCC-N)) for execution of MHD missions in the USNORTHCOM AOR, and Commander, Coast Guard Pacific Area serves as Commander, Coast Guard Defense Force West (CGDEFOR West) reporting to USNORTHCOM or USPACOM (through JFMCC-N or U.S. Pacific Fleet, respectively) for execution of MHD missions in the applicable AOR.
  - c. Expedites the transfer of forces to DOD for emergent missions by authorizing the Area Commanders to assign appropriate Coast Guard forces to USNORTHCOM or USPACOM under CCDR operational control (OPCON) to conduct homeland defense missions without requiring a formal request for forces (RFF).
5. The Coast Guard Defense Readiness Mission. The Coast Guard fulfills its national defense role through execution of the Defense Readiness mission. One of the Coast Guard's 11 missions, the Defense Readiness mission supports the National Military

Strategy (NMS) and Department of Defense (DOD) operations globally by ensuring Coast Guard assets are capable and equipped to deploy and conduct joint operations in support of the CCDRs. More specifically, reference (b) identifies eight roles, missions and functions in which Coast Guard capabilities, areas of traditional Coast Guard expertise, may be used in support of the CCDRs in execution of the NMS. As such, these functions comprise appropriate tasks and employment for Coast Guard forces executing the defense readiness mission under the command authority of the DOD. To effectively participate in the development and review of DOD plans that include Coast Guard forces, planners should become familiar with Reference (b) and ensure that tasks assigned to Coast Guard forces relate to these functions, briefly described below.

- a. Maritime Interception/Interdiction Operation (MIO). MIO is conducted to enforce the seaward portion of certain sanctions against another nation, group of nations, terrorist organizations, or in national self-defense. It may include stopping, boarding, searching, diverting, or redirecting vessel traffic.
- b. Military Environmental Response Operations. Includes responding to incidents of pollution in and around the battlespace, or to significant environmental incidents in a post-hostilities/post-natural disaster phase of operations.
- c. Port Operations, Security, and Defense (POSD). Conducted to ensure port and harbor areas are maintained free of hostile threats, terrorist actions, and safety deficiencies that would be a threat to the deployment of military resources during contingencies, in both Sea Ports of Embarkation (SPOE) and Sea Ports of Debarcation (SPOD). POSD also ensures the safe and efficient operation of all vessels and facilities within the port, harbor, and harbor approach environment.
- d. Theater Security Cooperation (TSC). DOD activities involving other nations to shape the security environment in peacetime, including efforts to develop partner nation capabilities; improve interoperability; reassure allies and coalition partners; influence targeted countries and terrorist groups; promote transparency; convey democratic ideals; deter aggression; and help relieve sources of instability before they become military crises.
- e. Maritime Coastal Sea Control Operations. OCONUS operations to ensure the unimpeded use of offshore areas by U.S. and friendly forces; safe passage of strategic sealift to and from ports, harbors, and anchorages; surveillance and reconnaissance of seaways; interdiction of enemy shipping; icebreaking to assure access for DOD forces; and force protection of maritime logistics forces. Operations will likely include Ports, Waterways, and Coastal Security (PWCS)-type missions, including tile protection of offshore facilities, such as petroleum production platforms, deepwater port facilities, sea-to-shore pipelines, and sea bases; as well as conducting and coordinating Search and Rescue for U.S. and allied forces.
- f. Combating Terrorism (CT) Operations. CT is defined by DOD as those actions, including antiterrorism and counterterrorism, taken to oppose terrorism throughout

the entire threat spectrum. The Coast Guard maintains legal authorities, proficiencies, forces, and platforms directly applicable to CT operations. Coast Guard forces can assist DOD in conducting CT operations via core Coast Guard competencies, such as anti-smuggling, migrant interdiction, counter-piracy, rule of law, counter-proliferation, and port security. Examples of areas where these competencies are used include South East Asia, the Caspian Sea, the Niger Delta, West Central Africa/Gulf of Guinea, and the Americas.

- g. Maritime Operational Threat Response (MOTR) Support. The President’s MOTR Plan aims for coordinated U.S. Government response to threats against the United States and its interests in the Maritime Domain. Coast Guard forces provide a wide range of maritime constabulary and military authorities, capabilities, competencies, and partnerships to support DOD when DOD is designated as the lead MOTR agency for a response.
  
- 6. Coast Guard Principal Planning Agents. Coast Guard planners, principally at the CGHQ [Deputy Commandant for Operations (DCO) and Deputy Commandant for Mission Support (DCMS)] and Area levels, execute the bulk of Coast Guard-DOD planning. They fill a critical role as Principal Planning Agents (PPA) by representing Coast Guard equities to the Joint Planning and Execution Community, or JPEC, which includes Combatant Commanders (CCDR) and their subordinate Naval Component Commander (NCC) planning staffs, and Service Functional Commands during the development of the CCDR’s contingency plan and the NCC’s supporting plan.
  - a. PPA Assignments. The term “PPA” is a Coast Guard term that refers to the establishment of planning linkages between Headquarters (HQ) and Area staffs and CCDRs, NCCs, and the functional combatant commands (FCC). These linkages provide DOD with consistent Coast Guard points of contact (POC) for contingency/crisis action planning activities as well as coordination of ongoing operations. PPA assignments are promulgated via DCO memorandum, which designates PPAs and authorizes them to conduct planning activities with DOD counterparts at the strategic and operational levels. Table C-1 depicts PPA assignments per DCO’s memorandum of April 2012.
  
  - b. PPA roles. Each PPA has a particular role as principal POC with their DOD counterpart. PPAs must also coordinate with other PPAs as appropriate to ensure unity of effort.

Table C-1: Coast Guard-DOD Principal Planning Agent Relationships

Point of Coordination	DCMS	DCO <sup>1</sup>	LANTAREA <sup>1,2</sup>	PACAREA <sup>1,2</sup>	CG-2 (CYBERCOM)
Joint Chiefs/Service Chiefs		PPA			
<b>Functional Commanders</b>					
USSOCOM <sup>3</sup>			PPA <sup>2</sup>		

<b>Point of Coordination</b>	<b>DCMS</b>	<b>DCO<sup>1</sup></b>	<b>LANTAREA<sup>1,2</sup></b>	<b>PACAREA<sup>1,2</sup></b>	<b>CG-2 (CYBERCOM)</b>
USTRANSCOM	PPA				
USSTRATCOM		PPA			
USCYBERCOM					PPA
<b>Geographic Commanders</b>					
USNORTHCOM			PPA <sup>4</sup>	PPA <sup>4</sup>	
USSOUTHCOM			PPA		
USCENTCOM			PPA		
USAFRICOM			PPA		
USPACOM				PPA	
USEUCOM			PPA		
<b>Naval Component Commanders</b>					
	<b>DCMS</b>	<b>DCO<sup>1</sup></b>	<b>LANTAREA<sup>1,2</sup></b>	<b>PACAREA<sup>1,2</sup></b>	<b>COMDT CG-2 (CYBERCOM)</b>
USFFC			PPA <sup>3</sup>		
NAVCENT			PPA		
NAVEUR/NAVAF			PPA		
NAVSOUTH			PPA		
PACFLT				PPA	
Numbered Fleets			PPA <sup>5</sup>	PPA <sup>5</sup>	
Notes:					
<p>1. PPAs will ensure the participation of DCMS staff elements, as applicable, to ensure DCMS participation in logistics support planning (e.g., force mobilization, sustainment, and demobilization). This includes the development and maintenance of Adaptive Planning and Execution (APEX) database reference files.</p> <p>2. The Area Commander with OPCON of a particular Deployable Specialized Forces (DSF) element will act as PPA to all DOD points of coordination on behalf of that DSF element.</p> <p>3. Since USSOCOM operations are world-wide and span both Area AORs, the Area assigned as PPA will ensure the equities of the other Area are considered in planning and coordination activities as applicable.</p> <p>4. Since the USFFC and USNORTHCOM AORs spans both Area AORs, the Area assigned as PPA will ensure the equities of the other Area are considered in planning and coordination activities as applicable.</p> <p>5. Each Area Commander will act as PPA for planning for the Numbered Fleet(s) who operate within their respective AORs.</p>					

- (1) DCO. Each of the military services are represented within the contingency planning process to ensure planned force employment is appropriate for the units chosen, and to ensure that the Service is prepared to discharge its responsibility for generating and sustaining forces. DCO, as the Coast Guard's service representative, is PPA to the Joint Staff for apportionment of Coast Guard forces for contingency planning and the allocation of Coast Guard forces in response to CDR requests for capabilities and forces in support of ongoing

security cooperation activities or emergent, crisis-based requirements. To ensure unity of effort, DCO will coordinate all apportionment and allocation decisions with the other PPAs via the CG Global Force Management Board (GFMB). DCO's PPA functions are normally executed through CG-ODO-1, Office of Counterterrorism & Defense Operations. CG-ODO-1, acting as the Coast Guard service representative, will:

- (a) Attend planning conferences or other related meetings as requested by the PPA.
  - (b) Coordinate Headquarters concurrent clearance of apportionment of Coast Guard forces in CCDR/NCC plans.
  - (c) Except per the provisions of reference (a), coordinate the transfer of Coast Guard forces from DHS to DOD operational or tactical control when necessary.
  - (d) Maintain current copies of CCDR plans and CCDR/NCC plans that contain Coast Guard forces.
- (2) Area Commanders. Since Area Commanders provide the preponderance of Coast Guard forces allocated for rotational or contingency operations in support of the CCDRs/NCCs, they are given the lead for conducting force apportionment and employment planning in support of applicable CCDR/NCC contingency plans.
- (3) Deputy Commandant for Mission Support. As PPA to USTRANSCOM and logistics planning (i.e., APEX/JOPEX/Time Phased Force Deployment Data (TPFDD)) subject matter experts, DCMS, via Director of Operational Logistics (DOL) staff, will support the Area Commanders execution of their PPA responsibilities to the CCDRs in regards to logistical planning matters.
- c. Inter-PPA coordination:
- (1) To ensure the CCDRs have a single point of contact for planning and ensure unity of effort, DCO will not interact directly with CCDRs on planning issues except by the request of or in conjunction with the PPA.
  - (2) To ensure Coast Guard enterprise-wide alignment regarding support to DOD, the PPAs will keep each other informed regarding any and all matters, including the development of future Coast Guard capabilities that may be employed in support of the DOD. CG GFMB meetings provide an excellent venue to facilitate such alignment.
- d. Key PPA references. The following section lists operational and logistics information critical for the execution of PPA responsibilities:

- (1) Reference (c) lists Coast Guard Force Elements (including cutters, aircraft, deployable specialized forces, cutter augmentation details, aircrew, etc.) that may be apportioned in support of DOD contingency plans. It provides fact sheets for each element that includes key employment and logistics information, such as:
    - (a) Unit Type Code (UTC): used in DOD's Adaptive Planning and Execution (APEX) planning database to identify units for transportation and movement within DOD logistics systems.
    - (b) General Description: Lists basic information and appropriate missions/employment.
    - (c) Force Element Composition: Operating environment; Command, Control, Communications, Computers, Intelligence, Surveillance and Reconnaissance (C4ISR) capabilities; specialized equipment; armament; etc.
    - (d) Characteristics: dimensions, C4ISR systems, armament, crew, performance, etc.
    - (e) Planning Factors: factors that may affect the deployment timeline, support requirements, or employment of the unit, such as pre-deployment training requirements, equipment that must be provided by the receiving command, etc.
    - (f) Type Unit Characteristics (TUCHA): APEX data required for movement planning (number of personnel, weights, dimensions, whether unit is air transportable, etc.)
    - (g) Logistics Factor File (LFF): APEX data that provides estimates of the unit's daily consumption rate for ammunition, Petroleum, Oil, and Lubricants (POL), provisions, spare parts, etc.
  - (2) Unit Required Operational Capability (ROC) and Projected Operational Environment (POE) statement. Coast Guard unit ROC and POEs are promulgated as ROC and POE Statements Coast Guard/Naval Warfare Mission Areas and Required (ROC/POE), COMDTINST 3501.26 (series) for each unit type. ROC and POE statements describe the mission areas, environment, and operational capabilities for which each unit was designed and organized, as well as types and locations of expected unit operations.
7. Joint Strategic Planning System (JSPS). To execute their PPA responsibilities, Coast Guard planners should possess a basic understanding how the DOD translates strategic security guidance into direction for development of CCDRs campaign and contingency plans. The JSPS is the system by which the Chairman of the Joint Chiefs of Staff (CJCS), in coordination with the Joint Chiefs of Staff (JCS) and the CCDRs, conducts deliberate planning and provides military advice to the President and SecDef. JSPS

products provide guidance and instructions on DOD policy, strategy, plans, forces, and resource requirements and allocations essential to execution of the National Security Strategy (NSS) and other Presidential directives. They also provide a means to evaluate extant U.S. military capabilities, to assess the adequacy and risk associated with current programs and budgets, and to propose changes for consideration by the President, the Secretary of Defense, and Congress. Figure C-1 illustrates the relationship between national strategic guidance, JSPS products, and joint Operation Plans (OPLANs) developed in APEX. A brief overview of key JSPS products follows (see reference (c) for additional detail).

- a. National Security Strategy (NSS). National defense guidance originates with the NSS. Signed by the President, the NSS outlines U.S. national security concerns and how the administration plans to address them using all instruments of national power.
  - b. Unified Command Plan (UCP). The UCP, signed by the President, sets forth basic guidance to the CCDRs, establishing their missions and responsibilities; addresses assignment of forces; and delineates their geographic AORs. CCDR planners use this guidance to derive tasks and missions for the development and modification of their plans.
  - c. National Defense Strategy (NDS). SecDef issues the NDS, which describes how the Armed Forces will fight and win America's wars and support NSS objectives as well as providing strategic guidance on deliberate planning, force development, and intelligence.
  - d. Guidance for Employment of the Force (GEF). SecDef issues the GEF biennially, providing direction to CCDRs for operational planning, force management, security cooperation, and posture planning. The GEF translates NSS and NDS priorities into direction for operational activities and planning guidance for operations and other activities into a single, overarching document. The GEF is essential for CCDR deliberate planning--providing assumptions, strategic end states, and the required level of planning detail for CCDR campaign plans and contingency plans.
  - e. Joint Strategic Capabilities Plan (JSCP). Signed by the CJCS, the JSCP implements campaign, contingency, and posture planning guidance reflected in the GEF. Together, the GEF and JSCP provide CCDRs guidance to accomplish tasks and missions based on near-term military capabilities, including specific planning guidance for preparation of campaign and contingency plans, including the level of planning detail required for contingency plans.
- C. Global Force Management Implementation Guidance (GFMIG). The GFMIG is promulgated by SecDef biennially, with quarterly updates. The GFMIG integrates DOD assignment, apportionment, and allocation guidance into a single document, providing planners direction on assignment of forces to CCDRs, the force allocation process, and Service (including Coast Guard) apportionment tables used by planners in sourcing forces to contingency plans.

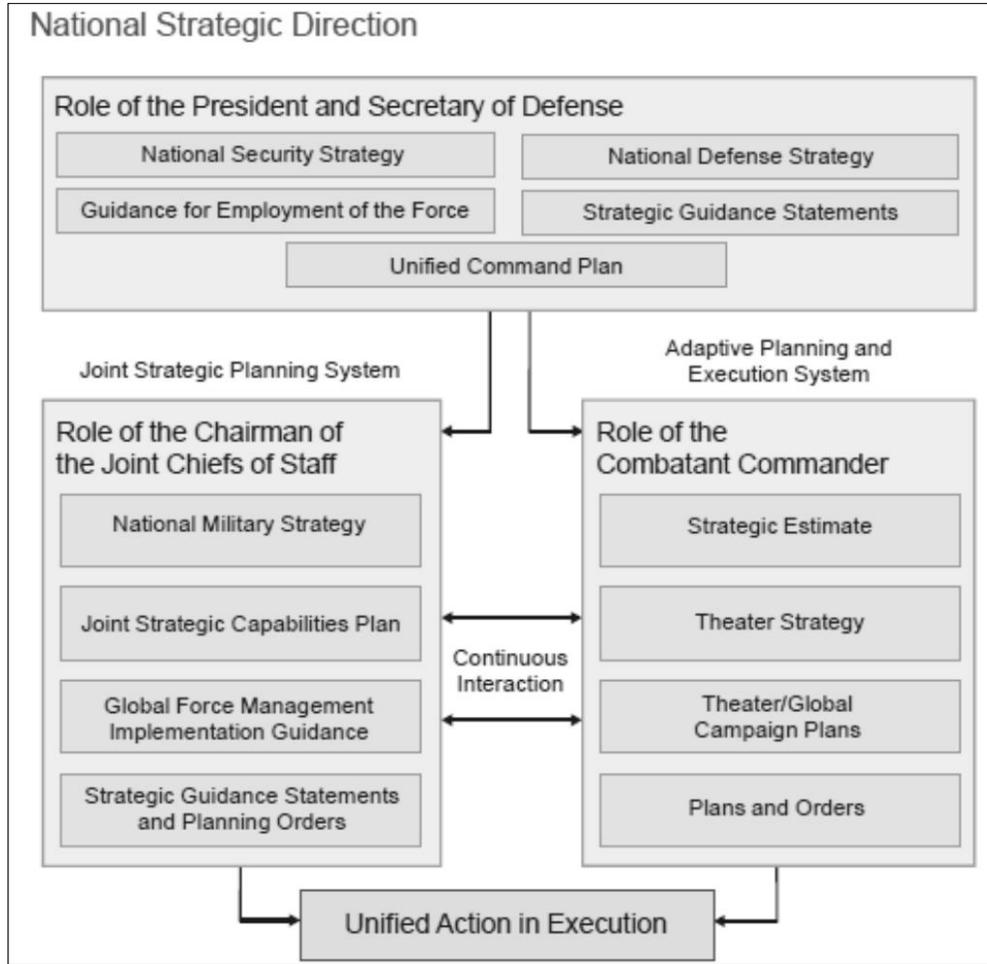


Figure C-1: National Strategic Direction and the Joint Strategic Planning System

1. Adaptive Planning and Execution (APEX). Joint planning occurs within APEX, the DOD system of policies, processes, procedures, and reporting structures, supported by communications and information technology, that is used to monitor, plan, and execute mobilization, deployment, employment, sustainment, redeployment, and demobilization activities. APEX facilitates Joint Operation Planning Process (JOPP) by integrating various processes such as Global Force Management, Defense Readiness and Reporting System (DRRS), Logistics, Transportation, and Intelligence. The APEX application and databases (accessed via Global Command and Control System-Joint on the SIPRNET) provide planners a collaborative planning environment to develop and maintain plans. PPAs must be proficient with APEX applications in order to properly participate in defense contingency planning. DOL staffs have qualified APEX operators with editing permissions and are responsible for maintaining Coast Guard APEX data (Area staff members are encouraged to obtain read access to the APEX databases. APEX draws information from numerous data files or databases, such as:

- a. Type Unit Characteristics (TUCHA). Describes the capabilities of each type unit in narrative form and defines the unit in terms of total personnel; categories of cargo; weight of equipment and accompanying supplies; volume of equipment categorized as bulk, outsize, oversize, or non-air-transportable; and numbers and dimensions of individual units of equipment. The Services (including the Coast Guard) maintain these files and update them regularly.
  - b. Time-Phased Force Deployment Data (TPFDD). That part of APEX containing information regarding the time it takes to deploy units to support the operation plan, routing of forces, movement data associated with deploying forces, estimates of cargo and personnel movements, estimates of transportation requirements, etc.
2. CCDR/NCC Plans. CCDR global campaign plans, Theater Campaign Plans (TCP), and contingency plans are developed per GEF/JSCP guidance. TCPs “operationalize” CCDR strategies to achieve GEF strategic end states by executing GEF/JSCP tasks. TCPs focus on steady-state activities, such as ongoing operations, military engagement, security cooperation, deterrence, and other activities. CCDR contingency plans are conceptually branches of the TCPs to account for the possibility that steady state activities could fail to prevent aggression, preclude large-scale instability in a state or region, or mitigate the effects of a major disaster. The CCDR will task their NCCs to prepare supporting plans (specifying the level of detail as required) for applicable contingency plan. CCDR/NCC staffs reference the GFMIG apportionment tables when sourcing forces to their plans.
  3. DOD and Coast Guard Force Management in support of DOD missions. A brief discussion of how the DOD and Coast Guard manage forces to support ongoing DOD operations, emergent operations, and apportion forces to contingency plans follows.
    - a. DOD Force Management. The GFMIG integrates DOD assignment, apportionment, and allocation guidance into a single document, providing planners direction on assignment of forces to CCDRs, the force allocation process, and Service (including Coast Guard) apportionment tables used by CCDRs for sourcing forces to execute contingency plans. It is important to understand the key terms of force management—assignment, allocation, and apportionment; descriptions of these terms follow.
      - (1) Assignment. SecDef directs the military departments to assign DOD forces to the CCDRs via the GFMIG (even years) or the Forces for Unified Commands Memorandum (Forces For) (odd years). During peacetime, while assigned to the DHS, the Coast Guard is not a “military department;” therefore, Coast Guard forces are not assigned to the CCDRs. During wartime, if the Coast Guard were operating as a service in the Navy, Coast Guard forces might be assigned to a CCDR.

- (2) Allocation. Allocation is the SecDef-authorized transfer of forces to fill CCDR's requests for additional forces. Allocation consists of two types--rotational force allocation and emergent force allocation, as follows:
- (a) Rotational. Transfer of forces in response to a CCDR's annual request for forces for execution of TCP activities and ongoing operations during the upcoming fiscal year. Approved force allocations and deployment of forces in support of rotational force requirements are promulgated via the SecDef approved Global Force Management Allocation Plan (GFMAP).
  - (b) Emergent. Transfer of forces in response to a CCDR's request for additional forces, usually due to a contingency situation, that cannot be met using available assigned or already allocated forces.
- (3) Apportionment. Apportionment provides planners with an indication of the forces and capabilities, in addition to those already assigned, that may be available to execute a contingency plan. Forces apportioned may not be those actually allocated for execution. The CJCS-approved force apportionment tables (which include Coast Guard forces) are promulgated via GFMIIG during odd-numbered years and posted on the Joint Staff (JS) J-8 Web site during even-numbered years.
- b. Coast Guard Global Force Management (GFM) Process. COMDTINST 3120.4 (series) provides a Coast Guard GFM process and governance structure, designed to align with the DOD GFM process, to manage the apportionment, allocation, and assignment of forces both within the Coast Guard and in support of other Agencies and Departments. It establishes a Global Force Management Board (GFMB) comprised of representatives from DCO, Mission Support Organization, Force Readiness Command (FORCECOM), and Area Commands. Coast Guard GFM force sourcing decisions for support to DOD plans and operations are made as follows:
- (1) Rotational Allocation: The GFMB will make risk-based recommendations regarding allocation of Coast Guard forces to support CCDR rotational requests. These requests are categorized as "GFMAP" and "Non-GFMAP." GFMAP requests include major cutter deployments with Naval forces, Port Security Unit support to Joint Task Force (JTF) Guantanamo Bay, and patrol boat support to USCENTCOM. "Non-GFMAP" requests are generally in support of Joint Inter-Agency Task Force (JIATF) counterdrug operations, polar icebreaking, rotary wing air intercept, etc. The Commandant, after reviewing the risk-based recommendations of the GFMB, will determine Coast Guard's allocation in support of the DOD's GFMAP. The allocation of Coast Guard forces provided to support DOD rotational force requests is promulgated via DCO's annual Strategic Planning Direction (SPD).
  - (2) Emergent Allocation: CCDRs submit a request for forces (RFF) for Coast Guard assets to support their emergent operational requirements to the

CJCS/JCS (JS 31). The JS 31 validates the RFF, and, if valid, passes the RFF to CG-ODO-1 (the Coast Guard's Executive Agent for DOD GFM interaction). CG-ODO-1 reviews the RFF for Coast Guard equities; staffs the RFF with DCO, DCMS, and the Areas; compiles the sourcing recommendations; and submits the recommended sourcing solution the appropriate HQ office for approval. Depending on the duration of the request, either DCO-D, DCO, or the Commandant approves/disapproves the RFF, and CG-ODO-1 passes it back to the JS 31 (see reference (d) for additional detail on this process).

- (3) Apportionment: The GFMB will make risk-based recommendations regarding apportionment of Coast Guard forces for CDRR contingency planning. The Commandant, after reviewing the GFMB's recommendations, will determine Coast Guard apportionment, which is promulgated via the Coast Guard table in the GFMIG.

## 2. DOD Planning Systems and Processes.

- a. The Joint Operation Planning Process (JOPP). In conducting joint operation planning, DOD uses JOPP. JOPP consists of a set of logical steps to examine a mission; develop, analyze, and compare alternative COAs; select the best COA; and produce a plan or order. CDRR staffs will use JOPP for both contingency planning and crisis action planning (CAP) per references (c), (e) and (f). NCC staffs will use the Navy Planning Process (NPP) per reference (e).<sup>6</sup> JOPP, NPP and the Federal Plan Development Process (FPDP) are very similar; Coast Guard planners familiar with the FPDP should experience little difficulty working with their DOD counterparts utilizing JOPP/NPP. Table C-2 depicts FPDP and JOPP; note that the differences are in terminology, not actual process or product.

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<sup>6</sup> Note: The services have develop specialized service-specific planning processes (e.g., Navy Planning Process), but these processes are based on JOPP and simply integrate service missions/functions/tasks into JOPP.

Table C-2: FPDP-JOPP Processes

Federal Plan Development Process			Joint Operations Planning Process		
Planning Phase	Planning Step(s)	Product(s)	Planning Function	Planning Step	Product(s)
Phase 1: Understand the Situation	Initiate Preparations for Planning	Identified planning team planning guidance alert notifications	Strategic Guidance	Planning Initiation	Assumptions, end states, and commander's mission statement.
	Conduct Research				
Phase 2: Determine Goals and Objectives Products:	Information Analysis COA Development	Identified facts, assumptions, threat analysis objectives, tasks, resources mission statement		Mission Analysis	
Phase 3: Plan Development	COA Analysis COA Comparison COA Approval	Approved COA	Concept Development	COA Analysis & Wargaming COA Comparison COA Approval	Approved COA
Phase 4: Plan Preparation and Review	Plan Preparation Plan Approval & Dissemination	Approved plan promulgated to community of interest	Plan Development Produces an approved plan or order.	Plan or Order Development	Approved plan or order
Phase 5: Plan Refinement or Execution	Plan Refinement Plan Execution	Modified or new plan if necessary branch or sequel plans if necessary	Plan Assessment	N/A	Refined, adapted, terminated, or executed plan

b. Using JOPP, CCDR/NCC. CCDR/NCC contingency plans are developed to one of four levels of planning detail as required by higher level guidance (i.e., JSCP, or higher echelon) as follows:

- (1) Level 1: Commander's Estimate. This level involves the least amount of detail and focuses on producing multiple COAs to address a contingency. The commander's estimate provides SecDef with an analysis of the various COAs available and contains a recommended COA.

- (2) Level 2, Base Plan (BPLAN): This level's plan describes the Concept of Operations (CONOPS), major forces, concepts of support, and anticipated timelines for completing the mission. It normally does not include annexes or Time-Phased Force and Deployment Data (TPFDD).<sup>7</sup>
  - (3) Level 3, Concept Plan (CONPLAN): This level's plan is an OPLAN in an abbreviated format that may require considerable expansion or alteration to convert it into an OPLAN or Operation Order (OPORD). It includes a plan summary, a BPLAN, and usually the following annexes: A (Task Organization), B (Intelligence), C (Operations), D (Logistics), J (Command Relations), K (Communications), S (Special Technical Operations), V (Interagency Coordination), and Z (Distribution). It may also include a TPFDD. Coast Guard 9700/9800 plans are CONPLANS.
  - (4) Level 4, Operation Plan (OPLAN): This level's plan is a complete and detailed plan containing a full description of the CONOPS, all applicable annexes, and a TPFDD. It identifies specific forces, functional support, and resources required to execute the plan and estimates for their flow into the theater. OPLANs can be quickly developed into an OPORD.
- c. Principal Planning Agent Responsibilities. Per JOPP, CCDR/NCC plans are developed via the four planning functions depicted in Table C-2. During execution of these functions, the applicable PPA will work with the CCDR/NCC planning staff throughout the planning process. PPA responsibilities relevant to each function are the following:
- (1) Strategic Guidance Function. This function is used to formulate politico-military assessments at the strategic level, develop and evaluate military strategy and objectives, apportion and allocate forces and other resources, formulate concepts and strategic military options, and develop planning guidance leading to the preparation of COAs. The CCDR crafts theater and operational objectives that support strategic objectives via an analysis of existing strategic guidance, such as the JSCP and GEF for deliberate planning or a CJCS warning order (WARNORD), planning order (PLANORD), or alert order (ALERTORD) in CAP. It includes mission analysis, threat assessment, and development of assumptions. To facilitate collaboration and coordination, the CCDR/NCC may issue a planning directive, per reference (d), via record message. The directive will provide the mission, commander's analysis; proposed courses of action (COA), commander's guidance on various planning topics; tasks for supporting commands; and a schedule for plan development. Collaboration may be executed via conferences, video teleconferences (VTC), Defense Collaborations Services, etc.

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<sup>7</sup> The TPFDD includes time-phased force data, non-unit cargo and personnel data, and movement data for the operation plan or operation order, or ongoing rotation of forces. This data is developed and maintained in the APEX database.

(a) PPA responsibilities:

- [1] If the plan includes a TPFDD, verify access to the plan's TPFDD database (via APEX).
- [2] Verify access to applicable collaboration tools (e.g., CCDR/NCC web portals, Defense Connect Online, etc.)
- [3] Coordinate scheduling of and ensure attendance at planning conferences.

(2) Concept Development Function. During concept development, tasks are derived, COAs are developed, the best COA is determined, and the CCDRs estimate is developed. The commander may use the collaborative environment or a concept development conference to assess options in conjunction with subordinate/supporting commands, the Services, Joint Staff, etc.

(a) PPA responsibilities:

- [1] Carefully examine the planned employment and operating environment for Coast Guard capabilities and forces apportioned in support of each COA in the contingency plan. Ensure they are consistent with the information in reference (c) and unit ROC and POE statement, as applicable, and advise CCDR/NCC planners of discrepancies.
- [2] Ensure that Coast Guard forces apportioned to the plan are limited to those listed in the GFMIG, Appendix 6 (Coast Guard Apportionment Table) bin, as applicable to the particular CCDR/mission.

Note: If the intended apportionment of Coast Guard forces to the plan exceeds the Coast Guard GFMIG table or the planned employment of Coast Guard forces is deemed inappropriate, and the PPA cannot resolve discrepancy, DCO will be informed. DCO will support the PPAs in resolving this or similar force planning issues with the CCDRs/NCCs. Subsequent apportionment negotiations will be conducted collaboratively with PPA and DCO participation.

(3) Plan Development. This function is used to fully develop campaign plans, contingency plans, or orders, with applicable supporting annexes, and to refine preliminary feasibility analysis. This function fully integrates mobilization, deployment, employment, sustainment, conflict termination, redeployment, and demobilization activities. The CCDR briefs the final plan to SecDef (or a designated representative) during the final plan approval in-progress review (referred to as "IPR F"). Plan development activities, and associated PPA roles and responsibilities, follow:

- (a) Force Planning. Force planning consists of determining force requirements by operational phase, mission, and operating area. The GFMIG apportionment tables provide the number of forces reasonably expected to be available for planning. These tables should be used as a beginning assumption in planning. As the plan is refined, there may be forces identified that are required above and beyond those apportioned. A Time-Phased Force and Deployment List (TPFDL) may be included in a CONPLAN with TPFDD, or OPLAN. It identifies types and/or actual units required to support the operation plan and indicate origin and ports of debarkation or ocean area. It may also be generated as a computer listing from the TPFDD.

[1] PPA responsibilities:

- [a] Carefully examine the planned employment and operating environment for Coast Guard capabilities and forces apportioned in support of each COA. Ensure they are consistent with the information in reference (c) and unit ROC and POE statement, as applicable, and advise CCDR/NCC planners of discrepancies.
- [b] Ensure that Coast Guard forces apportioned in the TPFDL are limited to those listed in the GFMIG, Appendix 6 (Coast Guard Apportionment Table) bin, as applicable to the particular CCDR/mission.

Note: If the intended apportionment of Coast Guard forces to the plan exceeds the Coast Guard GFMIG table, or the planned employment of Coast Guard forces is deemed inappropriate and the PPA cannot resolve discrepancy, DCO will be informed. DCO will support the PPAs in resolving this or similar force planning issues with the CCDRs/NCCs. Subsequent apportionment negotiations will be conducted collaboratively with PPA and DCO participation.

- [2] To ensure the continued appropriate employment and support of Coast Guard forces during plan execution, the PPAs should ensure that the Coast Guard is suitably represented by LNOs and/or planner representatives within the NCC and/or subordinate staffs. If the scope of Coast Guard support is substantial, consideration should be given to the inclusion of a Coast Guard flag billet at the Commander, NCC (CNCC) staff level. The Coast Guard flag should have overall visibility on the employment of Coast Guard forces. If the subordinate Combined Task Force LNOs/planning representatives are unable to resolve issues at their level, the Coast Guard flag can advocate or intervene as appropriate to resolve them at the CNCC staff level.

(b) Support Planning. Support planning determines the TPFDD sequencing of the personnel, logistic, and other support necessary to provide mission support, distribution, maintenance, medical support, personnel services support, and sustainment for the joint force in accordance with the CONOPS. The NCC will identify and update support requirements in coordination with Defense Logistics Agency, and USTRANSCOM. USTRANSCOM and other transportation providers identify air, land, and sea transportation resources and develop transportation schedules to support movement requirements identified by the CDR.

[1] PPA Responsibility: Refer to reference (c) for Coast Guard unit support requirements and ensure support requirements for Coast Guard forces are adequately addressed. Ensure DOL participation to provide logistical planning expertise for the in-theater supplying, equipping, servicing, and maintenance of Coast Guard assets and administrative/health care support for personnel. Normally Coast Guard support requirements are incorporated into the NCC's support plan. If sustainability issues arise, attempt to resolve them with the NCC, keeping DCO informed. If issues cannot be resolved at the PPA level, advise DCO. In conjunction with DCO, develop and submit alternative sustainment proposal(s) to the NCC.

(c) Deployment and Redeployment Planning. Deployment decisions are based on the anticipated operational environment, which may be permissive uncertain, or hostile. The anticipated operational environment (OE) dictates the deployment concept, mobility options, predeployment training, and force integration requirements. CDRs must develop a deployment concept and identify specific predeployment standards. The Services must ensure that predeployment standards specified by the supported CDR are met and their personnel and forces arrive in the supported theater fully prepared to perform their mission. Detailed planning ensures that required personnel, equipment, and materiel deploy; unit training is exacting; missions are fully understood; deployment changes are minimized during execution; and the flow of personnel, equipment, and movement of materiel into theater aligns with the CONOPS.

[1] PPA responsibility: Refer to reference (c) and unit ROC and POE statements and ensure the Coast Guard units are not deployed or employed in an OE that exceeds their capabilities. In conjunction with appropriate DCMS element, attend TPFDD refinement, logistic, and transportation conferences. Identify training, medical, asset and/or personnel outfitting requirements required by CDR predeployment standards and/or by the operating environment. Coordinate with DOL staff to determine whether Coast Guard assets can fulfill predeployment requirements and meet the TPFDD deployment timeline. If discrepancies arise, advise CDR/NCC planners and assist with solutions.

- (d) Shortfall Identification. During plan development the CCDR/NCC staffs identify capability shortfalls and associated mission risks. Where possible, shortfalls are resolved through planning adjustments and coordination with supporting commanders. If shortfalls include Coast Guard forces and cannot be resolved, the PPA should attempt to resolve the shortfalls as described in “Force Planning”, above.

[1] PPA responsibility: Since unresolved shortfalls are reported to CJCS, who coordinates with the Service Chiefs for resolution, it is critical that DCO, as PPA to the Joint Staff, is informed and that further apportionment negotiations be conducted collaboratively by the PPA and DCO.

- (e) Contingency Sourcing. Ideally 4 to 6 months prior to IPR F, the CCDR may request, or CJCS may direct, force providers to contingency source the plan. This effort, led by the JS, assesses the ability to source the plan, as well as other planning assumptions and guidance provided for the sourcing effort. Force providers verify the forces in the TPFDD are relevant, ready, and available based on a readiness data at a specified point in time; identify shortfalls and substitute forces as required; validate TUCHA data, and assess their ability to meet the force deployment timeline in the TPFDD. The effort results in a fully sourced TPFDD containing TUCHA data and is meant to provide the level of fidelity to enable USTRANSCOM to conduct Transportation Feasibility and Logistics Sustainability analyses. Contingency sourcing represents a “snapshot in time” of readiness and an assessment of the plan’s feasibility. Issues identified during the effort will be referred to the planners for resolution. Once transportation feasibility has been achieved and is acceptable to the supported CCDR, the supported CCDR completes the documentation of the final contingency plan or OPORD and coordinates access to the transportation-feasible TPFDD as appropriate.

[1] PPA responsibilities: The contingency sourcing process is essentially an emergent RFF “exercise.” To provide CCDR/NCC planners the desired level of fidelity, the process should be staffed using the Coast Guard GFM Sourcing Process (as an actual RFF would be) per Reference (e).

[a] Commandant (CG-ODO-1) reviews the RFF/Request for Assistance (RFA) for all Coast Guard equities as the Coast Guard’s Executive Agent for DOD GFM interaction.

[b] Commandant (CG-ODO-1) staffs the RFF/RFA with DCO, DCMS, LANTAREA, and PACAREA PPAs; compiles the sourcing recommendations; and submits the Coast Guard approved sourcing solution to the Joint Staff.

- (f) Plan Assessment. Plan assessment typically follows plan development and continues on a regular basis as circumstances related to the contingency change. Planners adjust the plan or order based on results of the above activities, revised intelligence, or changes to strategic guidance. Refinement continues even after execution begins, with changes typically transmitted in the form of FRAGORDs rather than revised copies of the plan or order.

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**APPENDIX D:**  
**CONCEPT PLAN (CONPLAN) FORMAT**

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- A. Introduction. This appendix describes Coast Guard's CONPLAN 9700/9800 series format and minimum content planners should use when developing or revising the plans. In addition to the guidance provided in this Appendix planners will review Reference (m), which contains DOD specific requirements that may be applicable to the Coast Guard's CONPLAN 9700/9800 series plans. The Joint Chiefs of Staff of Department of Defense (DOD) have developed Reference (m), Joint Staff Adaptive Planning And Execution (APEX) Planning Formats and Guidance, CJCSM 3130.03 which outlines the format required for the Coast Guard when planning for joint operations or operations under Title 10, which is used for all DOD mission activities.
- B. Concept Plan Organization.
1. Plan Summary. The plan summary (Figure D-1) describes the purpose of the plan, planning assumptions, intended activities, and resources to perform missions, mission partners, communication arrangements, and the desired end state. This summary is useful for briefing newly assigned personnel.

<p>[Classification Marking]</p>
<p>(U) [CONPLAN Title] [Number]</p>
<p><u>(U) Plan Summary</u></p>
<p>1. (U) Purpose.</p> <p>a. (U) [Describe the purpose for executing the contingency plan and the desired end state. Example: This summary provides Unites States Coast Guard (Coast Guard) decision makers with the major aspects of this plan. It is based on planning factors and estimates available at the time of preparation and is subject to modification in the context of a specific contingency. The information contained herein must be updated before use in adopting courses of action (COAs) in a particular situation.]</p>
<p>2. (U) Conditions for Implementation/Execution.</p> <p>a. (U) Situation. [Provide an overall description of the issue faced by the operating forces; where the incident will occur; and what other agencies or commands may be involved in the response.]</p> <p>b. (U) Legal Considerations. [List the significant legal authorities on which contingency response organizations are based. For a natural disaster response, this includes the Robert T. Stafford Emergency Assistance Act (Public Law 93-288 as amended by Public Law 100-707).]</p>
<p>3. (U) Operations to be Conducted. [Provide general information regarding the operations to be conducted, including:]</p> <p>a. (U) Forces Assigned. [Other Coast Guard units assigned to the response, other government agencies (OGA), non-government agencies (NGA), military forces, etc.]</p> <p>b. (U) Deployment. [Generally state where the units will be operating within the mission's AOR. Summarize the requirements to relocate Coast Guard units from their home ports (or to deploy personnel from their normal duty stations). Special attention is needed since deployed units (or personnel) have special logistics and personnel support requirements. For the plan to be executable, these requirements must be identified and provided for in the administration and logistics paragraph of the plan.]</p> <p>c. (U) Employment. [Describe how Coast Guard units will be used for the contingency operation envisioned in the plan. Any operational phases or levels must be described in detail.]</p> <p>d. (U) Supporting Plans. [Plans that, in addition to the overall CONPLAN, provide detailed information that supports the operation. An example would be the DCMS 9930-12 OPLAN which provides logistical support information.]</p> <p>e. (U) Collateral Plans. [OGA, NGA plans that would be used to support the overall plan of the operation.]</p> <p>..</p>

Figure D-1: Sample Plan Summary

2. Base Plan. A Basic Plan describes the concept of operations, major forces, concepts of support, and anticipated timelines for completing the mission. The Basic Plan is the minimum requirement of any OPLAN or CONPLAN. The most effective and efficient model for this is the five part plan. Maintaining this fundamental information ensures standardization throughout the Coast Guard preparedness community. The Basic Plan does not include annexes Figure D-2 demonstrates an outline of the Basic Plan.

The foundational structure is:

- a. **S**ituation
  - b. **M**ission
  - c. **E**xecution
  - d. **A**dministration and Logistics
  - e. **C**ommand & Control
- (Note acronym SMEAC)

<p><u>PLAN [Number]</u></p> <p><u>TITLE</u></p> <p><u>REFERENCES</u></p> <ol style="list-style-type: none"><li>1. <u>Situation.</u><ol style="list-style-type: none"><li>a. General (Optional)</li><li>b. Area of Concern</li><li>c. Area of Responsibility</li><li>d. Area of Interest</li><li>e. Area of Operations</li><li>f. Incident Impact, Incident, or Enemy</li><li>g. Pre-Incident Conditions (optional)</li><li>h. Support from Other Agencies</li><li>i. Assumptions</li><li>j. Legal Considerations</li></ol></li><li>2. <u>Mission.</u></li><li>3. <u>Execution.</u><ol style="list-style-type: none"><li>a. CONOPS<ol style="list-style-type: none"><li>(1) Commander's Intent</li><li>(2) General<ol style="list-style-type: none"><li>(a) Deployment</li><li>(b) Employment</li></ol></li></ol></li><li>b. Tasks</li><li>c. Coordinating Instructions</li></ol></li><li>4. <u>Administration and Logistics</u><ol style="list-style-type: none"><li>a. Concept of Support</li><li>b. Logistics</li><li>c. Personnel</li><li>d. Public Affairs</li><li>e. Geospatial Information and Services</li><li>f. Medical Services</li></ol></li><li>5. <u>Command and Control</u><ol style="list-style-type: none"><li>a. Command</li><li>b. Command, Control, Communications, and Computer Systems<ol style="list-style-type: none"><li>(1) Commanders Critical Information Requirements</li></ol></li></ol></li></ol>
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Figure D-2: Operation Order Outline

3. CONPLAN Organization.

a. Plan Format. The basic structure of the CONPLAN outlined in Figure D-3 consists of:

- (1) Base Plan as described in Figure D-4.
  - (a) Annexes
  - (b) Appendices (as needed)
    - [1] Tabs (as needed)
      - [a] Enclosure (as needed)
- (2) Figures and tables may be used as needed within the appropriate Appendix, Tab, or Enclosure to add clarity and emphasis.
- (3) Headers and Footers and Page Numbering.
  - (a) Each page, of the CONPLAN will have the classification of that particular section printed, in capital letters, at both the top and bottom of each page. For example, if the entire Annex D is unclassified, UNCLASSIFIED will be printed in both the header and footer of that annex. Paragraph 4, below further discusses plan classification details.
  - (b) Page numbers are located at the bottom of the page and centered. For example, page C-1-A-3 denotes, page 3 of Tab A to Appendix 1 to Annex C.
- (4) Paragraph, Titles, and Formatting. Figure D-3
- (5) Outlines Proper Paragraph Formatting.

- 1. Paragraph titles are upper and lower case and underlined (e.g., Situation).
- 2. Subparagraphs and subtitles are upper and lower case and underlined (e.g., CONOPS), except forces, commands, or agencies.
- 3. Forces, commands, and agencies are capitalized and underlined only in titles (e.g., COMLANTAREA).
- 4. When a paragraph is subdivided, it must have at least two subdivisions. When paragraphs are subdivided, they will be numbered and lettered as follows:
- 5.
  - a.
    - (1)
      - (a)
        - [1]

Figure D-3: Proper Paragraph Formatting

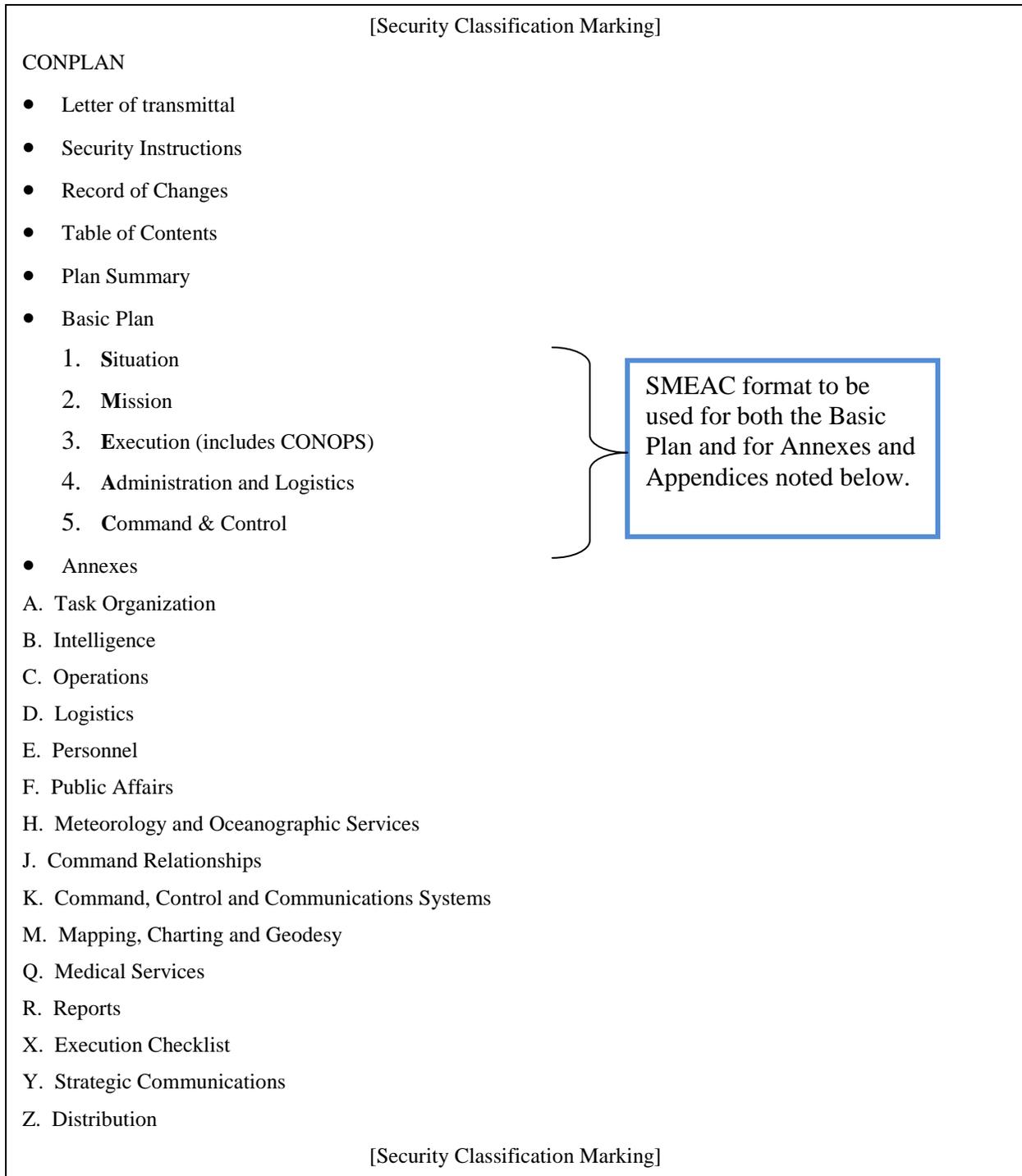


Figure D-4: Outline of Joint Operation Formatted Operation Plan

- b. Annexes. The following Annexes are not required but may be incorporated, as desired by the supported commander:
  - (1) Annex G - Civil Affairs
  - (2) Annex I - Reserved
  - (3) Annex L - Environmental Concerns
  - (4) Annex N - Space Operations
  - (5) Annex O - Reserved
  - (6) Annex P - Host-Nation Support
  - (7) Annex S - Special Technical Operations
  - (8) Annex T - Consequence Management
  - (9) Annex U - Notional Counter-Proliferation (CP) Decision Guide
  - (10) Annex V - Interagency Coordination
  - (11) Annex W - Contingency Contracting
- 4. Plan Details. Planners will be particularly attentive to the following:
  - a. Use references liberally, including short/long titles.
  - b. Use single-spaced text.
  - c. Use proper paragraph identification and indentation, regardless of format used.
  - d. Use the proper page numbering system (annex-appendix-page).
  - e. Include command address and revision date with each plan element (annex, appendices, etc.).
  - f. Tasks will be organized in alignment with PPD-8 mission areas:
    - (1) Common Tasks.
    - (2) PPD-8 Prevention Tasks.
    - (3) Protection Tasks.
    - (4) Mitigation Tasks.
    - (5) Response Tasks.
    - (6) Recovery Tasks.
  - Note: Examples of how to separate CONPLAN tasks by PPD-8 mission areas can be found on the CGPortal Coast Guard Preparedness website: [Coast Guard Portal](#)
  - g. Include the appropriate official's signature on Basic Plan and Annexes;
  - h. Spell out abbreviations and/or acronyms when first used in the plan. Ensure that all abbreviations and/or acronyms used in the plan are included within the glossary.
  - i. Use the correct classification markings.
  - j. Use two-sided copying.

- k. Ensure the plan approval letter is in the front of the plan.
- l. Because changes will most likely be made, plans should be stored in standard 3-ring binders with clear front, back, and spinal inserts.

5. Plan Classification.

- a. Classification. To the extent possible, plans should be Unclassified. If necessary, classified information will be contained within a separate supplement. The unclassified nature of the plan allows for wider use within the Coast Guard and amongst other agency planning and response organizations. Coast Guard military plans are normally classified at the same level as the supported Combatant Commander or Naval component plan.
- b. Guidance. Additional classification guidance is contained in Classified Information Management Program, COMDTINST M5510.23 (series).
- c. Information Security and Classification Markings. All plan development, formatting, maintenance, distribution, and release will be in accordance with the Classified Information Management Program, COMDTINST M5510.23 (series).

C. Concept Plan Documentation, Identification, and Distribution.

1. Documentation.

- a. In developing and writing a plan, documentation is the final step in the process prior to plan review and approval. The plan includes a summary, the basic plan, a series of detailed annexes, and other administrative documents describing the unit's concept in detail.
- b. Since the plan may be available for use by outside agencies, it is highly recommended that a comprehensive glossary containing abbreviations, acronyms, and definitions be included at the end. Annexes are provided in order to provide great detail of the basic subjects: commands supporting the plan (task organization), intelligence, operations, logistics, personnel, and other crucial subjects. Within the Annexes are various appendices that provide more detail about the annex. The better, and comprehensive, the detail, the more useful the plan will be when it comes time to executing it.

2. Identification.

- a. Coast Guard plans will be assigned a 4-digit plan identification number (PID). Area Commanders will assign PIDs to the district and port-level operational commanders. PIDs do not change when the plan is revised, reprinted, or converted into an OPORD. OPORDs, for which no plan currently exists, will use sequential numbers assigned by the command, followed by the fiscal year (i.e., 01-03, 02-03, etc.).
- b. The Joint Staff has assigned the Coast Guard four-digit PIDs from 9700-9999 for its military plans.
- c. COMLANTAREA for Atlantic Area units will use PID series beginning with 97. The first two positions of the PID number must be numbered 97, with the two positions following District specific numbers as defined in the 9700 CONPLAN.

- d. COMPACAREA for Pacific Area units will use PID series beginning with 98. The first two positions of the PID number must be numbered 98, with the two positions following District specific numbers as defined in the 9800 CONPLAN.
- e. Deputy Commandant for Operations, Deputy Commandant for Mission Support, Assistant Commandants, and designated headquarters unit plans will use PID series beginning with 99. The first two positions of the PID number must be numbered 99, with the two positions following Base specific numbers as defined in the 9900 plan.
- f. Units where a 9900 series identifier is appropriate will contact Commandant (CG-CPE) for PID assignment.

Table D-1: Coast Guard Plan Identification Assignments

LANTAREA 9700	PACAREA 9800
District 1 – 9710	District 11 – 9810
District 5 – 9750	District 13 – 9830
District 7 – 9770	District 14 – 9840
District 8 – 9780	District 17 – 9870
District 9 – 9790	
Headquarters - 9900	
DCMS – 9930	

3. Department of Defense Plan Identification Assignment Number.

Table D-2: Department of Defense Plan Identification Assignments

PID Number Blocks	Assignments		PID Number Blocks	Assignments
0001 through 0599	Joint Staff		4000 through 4999	USEUCOM
0600 through 0699	HQ USA		5000 through 5999	USPACOM
0700 through 0799	HQ USN		6000 through 6999	USSOUTHCOM
0800 through 0899	HQ USAF		7000 through 7499	AFRICOM
0900 through 0999	HQ USMC		7500 through 7999	USSOCOM
1000 through 1999	USCENTCOM		8000 through 8999	USSTRATCOM
2000 through 2999	USJFCOM		9000 through 9599	USTRANSCOM
3000 through 3399	NPP		9600 through 9699	RESERVED
3400 through 3999	USNORTHCOM		9700 through 9999	COMDT COGARD

a. Plan Titles.

- (1) The short title of each plan identifies the unit preparing the plan, the type of plan, and the PID. Use the unit's Plain Language Address (PLA) from the CGMS Message Address directory in the short title. Use the originator's official command title in the long title. Area and Districts may omit the geographic location. Examples are:
- (2) Short Title: COMPACAREA CONPLAN 9800-10  
CCGDTHIRTEEN CONPLAN 9813-08
- (3) Long Title: Commander, Pacific Area All-Hazards Contingency Response Plan 9800-10  
Commander, Thirteenth District All-Hazards Contingency Response Plan 9813-08

b. Plan Year Suffix. The two-digit fiscal year suffix is assigned when a new plan is developed or a reprint/revision is completed. The suffix remains intact when partial revisions, or approval of a plan for the subsequent fiscal year occurs.

c. Distribution.

- (1) Unless otherwise directed the plan originator determines the distribution and sets requirements for copies of supporting plans. Distribution will be limited to those commands and agencies with a role in the plan or a need to know its contents. Contingency plans will normally be distributed complete with all annexes and other attachments to the appropriate Coast Guard's response partners for specific contingencies.
- (2) At a minimum, plans will be distributed as such:
  - (a) Area Plans. One copy to each District, direct report subordinate units as required within the respective Area, the other Area, DOD, and interagency partners as appropriate, and to Commandant (CG-CPE) and appropriate program managers.
  - (b) District Plans. One copy to the respective Area and one copy each to field-level command within the District's AOR, adjacent Districts within the same Area, and other partners/stakeholders as deemed appropriate.
  - (c) Field-level Plans. One copy to the respective District and one copy each to adjacent Sectors and other partners/stakeholders as deemed appropriate.
- (3) Use of electronic distribution, inter/intranet websites, and collaborative planning environments (CGPortal, Homeport) is highly encouraged and mandated for certain plans. (i.e., ACPs will be posted on the publically accessible portion of Homeport. AMSPs will be posted on the limited access portion of Homeport.)

D. Description of CONPLAN Annex Content.

1. Annex A. Task Organization.

- a. Describes the organization that the commander feels will be needed to accomplish the tasking. It is determined after consideration of the unit's mission, and those missions assigned in subordinate units. Its purpose is to establish groupings into which the

command will be divided to accomplish its mission and to establish command relationships. It may also be the organization under which the commander normally operates, under normal circumstances of an OPLAN.

- b. At a minimum, the task organization lists all major commands or task groupings directly subordinate to the commander issuing the basic operation order of plan. All organizations that directly support the operation are listed and designed as “support,” although not under the command of the supported commander.
- c. Annex A will include Appendix 1 and may include Appendix 2 and 3. An example of Annex A can be found in Joint Operation Planning and Execution System, Volume II, CJCSM 3122.05, Appendix B, Enclosure (E).
  - (1) Appendix 1 – Crosswalk between CONPLAN and PPD-8 Core Capabilities List, provided as Table D-3.
  - (2) Appendix 2 – Shortfall Identification
- d. Appendix 1 – Plan Crosswalk with National Core Capabilities.
  - (1) Coast Guard CONPLANs should be aligned with the PPD-8 Core Capabilities (see Chapter 1 for list of Core Capabilities) and sub-divide tasks within the CONPLAN by PPD-8 Mission Area. This is required to ensure alignment between Coast Guard plans and the National Frameworks, FIOPs, and any DHS Operations Plans. Commandant (CG-CPE) will use this crosswalk to inform DHS Operations Planning of Coast Guard planning efforts and eliminate the need for a headquarters CONPLAN.
  - (2) Table D-3 details where PPD-8 Core Capabilities align with the Coast Guard CONPLAN sections.

Table D-3: Core Capabilities Crosswalk

PPD-8 Core Capabilities	CONPLAN Location
Planning	Base Plan
Public Information and Warning	Annex F
Operational Coordination	Annex A and V
Forensics and Attribution	Annex C Appendix 27 and 31
Intelligence and Information Sharing	Annex B and K
Interdiction and Disruption	Annex C Appendix 27, 30, and 31
Screening, Search, and Detection	Annex C Appendix 27, 30, and 31
Access Control and Identity Verification	Annex C Appendix 27, 30, and 31
Cybersecurity	Annex B, and K
Intelligence and Information Sharing	Annex B, C, J, K, M, and V
Interdiction and Disruption	Annex B Appendix 27 and Annex C
Physical Protective Measures	Annex C Appendix 27, 30, and 31

Table D-3: Core Capabilities Crosswalk (continued)

PPD-8 Core Capabilities	CONPLAN Location
Risk Management for Protection Programs and Activities	Annex C Appendix 30
Supply Chain Integrity and Security	Annex C Appendix 25 and 30
Community Resilience	Not a Core Capability of the Coast Guard
Long-Term Vulnerability Reduction	Not a Core Capability of the Coast Guard
Risk and Disaster Resilience Assessment	Annex C Appendix 25
Threats and Hazard Identification	Annex C All Appendices
Critical Transportation	Annex C Appendix 25
Environmental Response/Health and Safety	Annex C Appendix 22, 23, and 27
Fatality Management Services	Annex C Appendix 24
Infrastructure Systems	Annex C Appendix 25
Mass Care Services	Annex C Appendix 23, 24, and 27
Mass Search and Rescue Operations	Annex C Appendix 24
On-Scene Security and Protection	Base Plan and Annex C Appendix 30
Operational Communications	Annex K
Public and Private Services and Resources	Annex C Appendix 23 and Annex V
Public Health and Medical Services	Annex C Appendix 24 and Annex V
Situational Assessment	Base Plan and Annex C All Appendices
Economic Recovery	Not directly supported by the Coast Guard
Health and Social Services	Not directly supported by the Coast Guard (supported through ESF-8)
Housing	Not directly supported by the Coast Guard
Infrastructure Systems	Annex C Appendix 25
Natural and Cultural Resources	Annex C Appendix 23

## 2. Annex B. Intelligence.

- a. Provides detailed information and/or intelligence concerning the situation/contingency at hand. The information is based on previously completed intelligence estimates.
- b. Summarize the physical, economic, political, medical, social, religious, psychological aspects and conditions of the operational area as they may influence the concept of the plan. Do not repeat information included in the general situation discussed in the Basic Plan. Include sufficient analysis of the operational area to permit development of appropriate supporting plans. Include complete information or reference documents and reports containing required intelligence. Intelligence may be in many forms depending on the contingency.

- c. Intelligence Estimates will be approved by Commandant (CG-2), Assistant Commandant for Intelligence and Criminal Investigations, for national level plans, and will be approved by the approving official for each CONPLAN as described in Table 7-1.
  - d. Information required would include:
    - (1) Priority intelligence requirements
    - (2) Signals intelligence
    - (3) Counterintelligence
    - (4) Targeting intelligence
    - (5) Human-resource intelligence
    - (6) National intelligence support team
    - (7) Intelligence estimate
    - (8) Intelligence products
    - (9) Intelligence collection plan
    - (10) Intelligence operations
    - (11) Annex B may include the following Appendices:
      - (a) Appendix 1 - Priority Intelligence Requirements (PIR)
      - (b) Appendix 2 - Signals Intelligence (SIGINT)
      - (c) Appendix 3 - Counterintelligence (CI)
      - (d) Appendix 4 - Targeting
      - (e) Appendix 5 - Human-Resource Intelligence (HUMINT)
      - (f) Appendix 6 - Intelligence Support to Information Operations (IO)
      - (g) Appendix 7 - Imagery Intelligence (IMINT)
      - (h) Appendix 8 - Measurement and Signature Intelligence (MASINT)
      - (i) Appendix 9 - Captured Enemy Equipment (CEE)
      - (j) Appendix 10 - National Intelligence Support Team (NIST)
  - e. Example of Annex B and further detail can be found in JOPES Volume 2, Appendix B, Enclosure (E).
3. Annex C. Operations.
- a. Provide substantive guidance for planning and executing operations for a wide range of possible contingencies. Annex C appendices provide plans for the employment of forces, guidance required for the conduct of specific operations, amplifying information for the CONOPS, etc.

- b. Each appendix to Annex C will describe a different contingency. In this manner, the specifics of each contingency may be addressed. Multiple Appendices can be used simultaneously depending on the threat or incident.
- c. Operations Task Alignment with Presidential Policy Directive 8. Annex C Tasks should be sub-divided to align with PPD-8 mission areas:
  - (1) Common Tasks
  - (2) PPD-8 Prevention Tasks
  - (3) Protection Tasks
  - (4) Mitigation Tasks
  - (5) Response Tasks
  - (6) Recovery Tasks
- d. Coast Guard Specific Contingency Operations Appendices.
  - (1) Contingencies are aligned with the list of required contingencies in Chapter 3.
  - (2) The organization of the CONPLAN Annex C established below is developed in coordination with the Areas. Areas are authorized to modify the organizational construct of CONPLAN (9700/9800) Annex C as long as both Areas maintain the same organizational construct.
  - (3) Areas will inform Commandant (CG-CPE) of any agreed on changes to this organization via a joint memorandum.
  - (4) Commandant (CG-CPE) will submit a Commandant Change Notice on receipt of the Area memo reflecting the new Area CONPLAN organization in this Manual.
  - (5) Disaster Operations Grouping.
    - (a) Appendix 21 - Natural/Manmade Disaster
      - [1] Tab A - Earthquakes
      - [2] Tab B - Severe/Heavy Weather/Ice Storms
      - [3] Tab C - Tsunami
      - [4] Tab D - TBD
      - [5] Tab E - TBD
    - (b) Appendix 22 - Communicable Disease
      - [1] Tab A - Pandemic Influenza, including H1N1
      - [2] Tab B - Ebola Virus Disease (EVD)
    - (c) Appendix 23 - Oil Spill/HAZMAT
    - (d) Appendix 24 - Mass Rescue Operations (MRO)
    - (e) Appendix 25 - Marine Transportation System (MTS) Disruption

- (f) Appendix 26 - Foreign Humanitarian Assistance/Disaster Response
- (6) Homeland Security Operations Grouping.
  - (a) Appendix 27 - Chemical, Biological, Radiological, or Nuclear (CBRN) Attack
    - [1] Tab A - Chemical/Biological Attack
    - [2] Tab B - Radiological/Nuclear Attack
    - [3] Tab C - TBD
  - (b) Appendix 28- Mass Migration
  - (c) Appendix 29 - Civil Disturbance
  - (d) Appendix 30 - Ports, Waterways, and Coastal Security (PWCS) MARSEC II and III (Anti-Terrorism)
  - (e) Appendix 31 - Counter-Terrorism
  - (f) Appendix 32 - Military Outload
  - (g) Appendix 33 - Cyber Incident Response
- (7) Homeland Defense Operations Grouping
  - (a) Appendix 34 - Homeland Defense
    - [1] Tab A - Short Notice Maritime Response
  - (b) Appendix 35 - OCONUS Combatant Commander Support
- (8) Department of Defense-Specific Operations Appendices. Appendices 1–18 are DOD specific, although Coast Guard commands may be involved and required to maintain these appendices (refer to Area and/or district guidance).
  - (a) Appendix 1 - Nuclear Operations
  - (b) Appendix 2 - Combating Weapons of Mass Destruction
  - (c) Appendix 3 - Information Operations (IO)
  - (d) Appendix 4 - Special Operations (SO)
  - (e) Appendix 5 - Personnel Recovery (PR) Operations
  - (f) Appendix 6 - {Removed}
  - (g) Appendix 7 - {Removed}
  - (h) Appendix 8 - Rules of Engagement
  - (i) Appendix 9 - Reconnaissance
  - (j) Appendix 10 - Air Base Operability (ABO)
  - (k) Appendix 11 - Combat Camera (COMCAM)
  - (l) Appendix 12 - Noncombatant Evacuation Operations (NEO)
  - (m) Appendix 13 - Explosive Ordnance Disposal (EOD)

- (n) Appendix 14 - Amphibious Operations (AO)
  - (o) Appendix 15 - Force Protection
  - (p) Appendix 16 - Critical Infrastructure Protection
- e. Annex D. Logistics.
- (1) Logistics is the science of planning and carrying out the movement, sustainment, and maintenance of operations. Logistics provides the commander with the wherewithal to conduct successful contingency response operations.
  - (2) Information included would be:
    - (a) Distribution and allocation of sources of supply, including funding
    - (b) External support
    - (c) Maintenance of equipment
    - (d) Transportation
    - (e) Mortuary affairs
    - (f) Ammunition
    - (g) Aviation logistical support
  - (3) Funding.
    - (a) Typically, operational units, Headquarters units, Districts, Areas, Force Readiness Command (FORCECOM) and Deputy Command for Mission Support (DCMS) do not have funds set aside to pay for the incremental costs associated with responding to contingencies. However, a lack of identified funds to pay for the response to the contingency should not slow down local commands from taking appropriate and immediate action. Responding units should notify their budget/finance hierarchy as soon as practical, using the chain of command up to the appropriate allotment fund control manager at Headquarters. Normally, larger commands can adjust their spend plans to fund some or all of the incremental cost, depending on the amount. If the total incremental cost of responding to the contingency is large enough (typically, when a presidential declaration of disaster is issued for that specific incident and associated response), the Coast Guard should request Mission Assignment(s) from Federal Emergency Management Agency (FEMA) or it can request supplemental funds from Congress and the president. Sustainment data for deployable Coast Guard forces has been compiled by DCMS and formatted for DOD automated systems. Base sustainment data may be queried through DCMS, Director of Operational Logistics (DOL), or Area/District-DOL-4 representatives.
    - (b) Funding processes for response operations funded by the FEMA under a Mission Assignment (MA), issued to the Coast Guard from FEMA, will follow the policies and processes outlined in Federal Emergency Management Agency (FEMA) Mission Assignments: Operational Acceptance and Execution, COMDTINST 3006.1 (series).

- (4) Diversion of Resources. Typically, most costs of responding to a contingency are actually the diversion of programmed Coast Guard resources from their intended activities (fisheries patrols, commercial vessel inspections, etc.).
- (5) Incremental Costs. In addition to the diversion of resources, there is often some level of incremental cost associated with responding to contingencies. In the short run, these costs can include travel, per diem, contract support, and the use of consumable supplies. Commands should carefully track these incremental costs and be prepared to justify reimbursement. While the diversion of resources with limited incremental cost is often quite effective in the short run, it is not a sustainable strategy. At some point, additional resources from sources such as the Coast Guard Reserve, DOD, and other DHS elements must be applied. In these cases, cost tracking will be coordinated by Commandant (CG-832).
- (6) Cost Tracking.
  - (a) Just as important as finding a source to fund the response is the ability to centrally track expenditures. The size and scope of the response typically drives the type of cost accounting that is needed. Options included setting up a distinct federal project disaster project code, using one or more program elements (PEs) or creating a unique cost center that could be used Coast Guard wide. Therefore, it is crucial that you involve the finance/budget hierarchy to ensure that the right cost tracking method is established from the beginning.
  - (b) Operational commanders must ensure accurate cost documentation of the response operations conducted within their AOR to provide the Coast Guard every opportunity to recoup contingency response costs from Congress, the president, or FEMA (when working under a Mission Assignment in accordance with the Stafford Act).
- (7) Annex D may include the following Appendices:
  - (a) Appendix 1 - Petroleum, Oils, and Lubricants (POL) Supply
  - (b) Appendix 2 - Joint Subsistence, Food Service Support and Water Management
  - (c) Appendix 3 - Mortuary Affairs
  - (d) Appendix 4 - Sustainability Analysis
  - (e) Appendix 5 - Mobility and Transportation
  - (f) Appendix 6 - Engineering Support Plan
  - (g) Appendix 7 - Nonnuclear Ammunition
  - (h) Appendix 8 - Logistics Automation
  - (i) A sample Annex D can be found in Enclosure 2 of this Manual.
  - (j) Examples of Annex D Appendices and further detail can be found in JOPES Volume 2, Appendix B, Enclosure (E).

(8) Annex E. Personnel.

- (a) Outline how personnel support to the operation(s) will be provided. Planners should refer to and use approved Coast Guard planning factors and formulas as found in Reference (k). Consult applicable Coast Guard and Mission Support publications for further guidance. Specific information to be included:
- [1] Coast Guard Personnel Accountability
  - [2] Reporting procedures.
  - [3] Replacement policies.
  - [4] Personnel Support operations, refer to Obtaining Personnel Resources to Meet Surge Requirements, COMDTINST 5400.1 (series).
  - [5] Rotation policies.
  - [6] Casualty reporting.
  - [7] Evacuation and reconstitution
  - [8] Decorations and awards.
  - [9] Pay and allowances.
  - [10] Travel procedures.
  - [11] Leave policy.
  - [12] Reserve call-up procedures; refer to Obtaining Personnel Resources to Meet Surge Requirements, COMDTINST 5400.1 (series) and the Coast Guard Manpower Mobilization and Support Plan, COMDTINST M3061.1 (series).
  - [13] Policies for use of Auxiliary personnel, refer to the Auxiliary Manual, COMDTINST M16790.1 (series).
- (b) Annex E may include the following Appendices:
- [1] Enemy Prisoners of War (EPW), Civilian Internees (CI), and Other Detained Persons including migrant interdiction.
  - [2] Finance and Disbursing.
  - [3] Legal.
  - [4] Military Postal Services.
  - [5] Chaplain Activities.
  - [6] Linguist Requirements.
  - [7] Contingency Contracting (i.e. Basic Orders of Agreement (BOAs)).
  - [8] Use of the Manpower Mobilization Readiness Tracking Tool (MRTT).

- (c) Examples of Annex E Appendices and further detail can be found in JOPES Volume 2, Appendix B, Enclosure (E).
- (9) Annex F. Public Affairs.
- (a) Assign responsibilities and provides guidance for Coast Guard Public Affairs (PA) actions during contingency operations. The planner should list organizations not subordinate to the command that will also contribute to the public affairs effort. Additional PA support may be available when the National Response Framework (NRF) Emergency Support Function (ESF) – 15 is activated. The purpose of this Annex is to outline PA support for the operation in four stages: planning, deployment, operations, and after action evaluation.
  - (b) Planners should ensure that proper procedures for authorizing media personnel on scene is done, and provide details on planned media support. Support will include, messing, billeting, access to transportation and communications facilities at Coast Guard expense, and access to unclassified operational information.
  - (c) Specific information in this annex will include:
    - [1] Public Affairs Guidance (PAG): PAG will contain:
      - [a] Coordination instructions for media inquiries, release of imagery and information.
      - [b] Media posture.
      - [c] Contingency statement (response anyone can use if asked about plan or the operations).
      - [d] 3 to 5 key messages.
      - [e] Supporting talking points
      - [f] Supporting questions and responses.
    - [2] Ground rules for media embeds or embarkations.
    - [3] Process for credentialing or verifying credentials of media.
    - [4] Proposed location(s) for Joint Information Center(s) (JIC) and Media Operations Center(s).
    - [5] Required PA staffing to support plan execution, by type/qual code/skill set.
    - [6] When applicable, preformatted news releases, other supporting PA products.
    - [7] Required equipment list.
    - [8] Other operation specific PA requirements (specific news briefings, media pools, etc.).
    - [9] Appendixes (none included, develop as appropriate)

(10) Annex H. Meteorological and Oceanographic Operations.

- (a) Annex H states the general concept of Meteorological and Oceanographic (METOC) support for Coast Guard units operating under the plan. Planning factors include any significant METOC conditions that may influence the execution of the plan. Other information will be provided as required.
- (b) The National Oceanic and Atmospheric Administration (NOAA) provides a NOAA Scientific Support Coordinator (SSC) to each District can be requested to provide support in the development of this Annex.

(11) Annex J. Command Relationships.

- (a) Detail command relationships for specific operations or functions within the AOR, but not limited to the AOR; and the times or circumstances under which the relationships are in effect. This annex views relationships among Coast Guard support commands, as well as relationships with other agencies and services.
- (b) Annex J may include the following Appendices:
  - [1] Appendix 1--Command relationships diagram
  - [2] Appendix 2--Contingency response staff organization
  - [3] Appendix 3--Responsibilities and duty descriptions for contingency response staff personnel
  - [4] Appendix 4--Coast Guard as the primary and as a support agency to the NRF ESF – 9 and ESF – 10 Organization

(12) Annex K. Command, Control, Communication, and Computer Systems.

- (a) Provide a brief description of the general situation, as it will affect Command, Control and Communication, and Computer (C4) systems planning. The planner should list the organizations that are not subordinate to this command, and the tasks assigned to each entity providing logistics support. The planner should also list the command, control and communications objectives in support of the contingency plan. Special emphasis will be put on any specific guidance and coordination amongst the commands, emphasizing the aspects of the operation that establish C4 requirements and use specific C4 tasks and responsibilities.
- (b) Annex K may include the following Appendices:
  - [1] Appendix 1- Information Assurance (IA)
  - [2] Appendix 2- Satellite Communications
  - [3] Appendix 3- Defense Courier Service
  - [4] Appendix 4- Foreign Data Exchange
  - [5] Appendix 5- Electromagnetic (EM) Spectrum Management
  - [6] Appendix 6- Communications plan

[7] Appendix 7- Frequency list

[8] Appendix 8- Communications capabilities summary

(13) Annex L. Environmental Concerns.

- (a) Summarize the commander's concept of environmental issues and actions required to support the mission. Describe in general terms the different environmental concerns during different phases of the operation. Identify issues and actions that should be addressed during the operation. Identify any environmental factors that will support successful execution. When operating in remote areas or areas impacted by a disaster address certification of local water sources by medical field units, solid and liquid waste management, hazardous material management, flora and fauna protection, archeological and historical preservation, and spill response.
- (b) Additional Environmental Concerns can be found in the Regional Contingency Plans for each District and Area Contingency Plans for each Sector.

(14) Annex M. Geospatial Information and Services.

- (a) Geospatial information provides the framework for contingency operations visualization. It is information produced by multiple sources to common interoperable data standards, and may be presented in the form of printed maps, charts, and publications. (See Joint Publication 2-03)
- (b) Provides Geospatial Information and Services requirements. It should note the incident(s) where geospatial information will be required, the sources of geospatial information support, and any assumptions that affect geospatial Information and Services support required by this plan. Other information may include the capability of Coast Guard units to provide for their own Geospatial Information and Services support through the Coast Guard Enterprise Geographic Information System (E-GIS) systems, <http://egis.uscg.mil/resources/index.html>, how that support will function on implementation of the plan, and identification of military and civilian organizations that can provide geospatial information support.
- (c) Geospatial Information Support may be provided by Commandant (CG-761) Office of C4 and Sensor Capabilities and Commandant (CG-635) Office of Operations Systems Management.
- (d) Annex M may include the following Appendices:
  - [1] Appendix 1- Geospatial Information and Services Requirements List
  - [2] Appendix 2- Geospatial Information and Services Transportation Requirements
  - [3] Appendix 3- Geospatial Information and Services Reports {Note: Identify format, time, methods, and classification of submission.}
- (e) Examples of Annex M Appendices and further detail can be found in JOPES Volume 2, Appendix B, Enclosure (E).

(15) Annex Q. Medical Services.

- (a) State the general concept of medical support needed to meet the mission requirements of the plan. This involves indicating the scope of medical support available from the Coast Guard describing the concept of patient evacuation, and availability of hospital space.
- (b) Annex Q may include the following Appendices:
  - [1] Appendix 1 - Joint Patient Movement System
  - [2] Appendix 2 - Joint Blood Program
  - [3] Appendix 3 - Hospitalization
  - [4] Appendix 4 - Returns to Duty
  - [5] Appendix 5 - Medical Logistics (Class 8A) System
  - [6] Appendix 6 - Force Health Protection, including medical countermeasures
  - [7] Appendix 7 - Host-Nation Health Support
  - [8] Appendix 8 - Medical Planning Responsibilities and Task Identification
  - [9] Appendix 9 - Medical Facilities
  - [10] Appendix 10 - Medical evacuation location
  - [11] Appendix 11 - Emergency medical services

(16) Annex R. Reports.

- (a) Notes the reporting requirements, formats, and frequencies that are found in the appropriate sections of the OPLAN.
- (b) Annex R may include the following Appendices:
  - [1] Appendix 1 - Report format
  - [2] Appendix 2 - Battle Rhythm
  - [3] Appendix 3 - After Action report format

(17) Annex V. Interagency Coordination. This Annex provides clarity and coordination of interagency, non-governmental organization, and private sector coordination including but not limited to jurisdictions, authorities, operations coordination, use of force conflicts and alignment, and cost shares/funding.

(18) Annex X. Execution Checklist.

- (a) This section outlines actions to be taken in the phases outlined as a situation develops into possible contingency operations involving the command's forces:
- (b) Annex X may include the following Appendix:
  - [1] Appendix 1 - Quick Response Card/Sheet or playbook

(19) Annex Y. Strategic Communication.

- (a) Effective communication by the United States must build on coordinated action and information at all levels of the U.S. government to maintain credibility and trust. This will be accomplished through an emphasis on accuracy, consistency, veracity, timeliness, and transparency in words and deeds. Such credibility is essential to building relationships that advance national interests. The implementation of strategic communication is premised on a clear understanding of the objective to be achieved, what audiences must act or be refrained from acting for those desired outcomes to be realized, and what communications (words or actions) are most likely to result in the actions required by the targeted audience.
- (b) Strategic Communication Planning. Within the Coast Guard strategic communication is a process to ensure coordinated, synchronized, and integrated communication capabilities efforts on a broad scope. Strategic communication must address all phases of an operation and, through the employment of the various communication capabilities including social media, plays a vital role in shaping the environment. Based on national objectives and the commander's intent, it is important to define the strategic context of the geographical area or issue; determine the desired end state; clarify the applicable strategic themes and messages; and identify target audiences to enable the various communication capabilities to analyze, plan, execute, and access the necessary supporting efforts to achieve mission expectations. Examples of effective strategic communication includes reassuring key stakeholders; dissuading adversaries; gaining informed public support; lessening anxiety concerning an issue; and creating awareness and acceptance.
- (c) Strategic Communication Concepts.
  - [1] Coordination
  - [2] Synchronization
  - [3] Integration
  - [4] Application
- (d) Annex Y may include the following Appendices:
  - [1] Annex 1 - Messages, Themes, and Target Audiences to Promote
  - [2] Annex 2 - Messages and Themes to Avoid
- (e) Examples of Annex Y Appendices and further detail can be found in JOPEs Volume 2, Appendix B, Enclosure (E).

(20) Annex Z. Distribution. Should be recorded as thus:

Distribution \_\_\_\_\_ Number of Copies. \_\_\_\_\_

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**APPENDIX E:**  
**PLANNING DIRECTIVE**

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A. Introduction. A Planning Directive identifies planning responsibilities for developing Coast Guard plans. It provides direction to develop or revise a contingency plan including guidance and requirements to the supported and supporting commands for plan development. The information below provides an outline to identify topics that should be addressed when developing a comprehensive Planning Directive.

**NOTE THE SECURITY CLASSIFICATION**

What is the Planning Directive for (Specific Plan/Contingency)

Include and References like maps, charts, documents

1. Describe the purpose of the Planning Directive and identify the plan to which it applies (i.e. OPLAN/CONPLAN xxxx-xx). Provide guidance to the organizational elements with responsibility for the contingency/incident.
2. Outline the Mission –
  - a. Clear and concise statement of the mission for the command.
  - b. List the national strategic objectives that comprise the end state and desired effects (if specified), and the tasks, including:
    - (1) Those assigned by higher authorities (e.g. DHS, Federal Interagency Plans, or the President).
    - (2) Those deduced or implied tasks that must be described to convey a clear understanding of the overall operation.
  - c. If the analysis of the operation or task(s) has not progressed to the point where it can be formally stated, present the commander's best estimate of the mission.
3. Include a Commander's Analysis.
  - a. Commander's Intent:
    - (1) Purpose.
    - (2) Desired strategic effects.
    - (3) Key Tasks.
    - (4) End state.
  - b. Describe in broad terms, how the mission is to be carried out by phases (prevent, protect, mitigate, respond, and recover).

4. Assumptions and Constraints.
  - a. State assumptions necessary to continue planning. They will be treated as facts by subordinate commands.
  - b. Describe any constraints that apply to the plan.
5. Forces Apportioned. Give information on the type and availability of Coast Guard forces.
  - a. Assigned forces. Note any additional resources or resource hours added to the steady state mission hours provided through the SOPP.
  - b. Augmenting forces. Note any DCMS support requirements (to include DOL and FORCECOM).
6. Proposed Courses of Action.
  - a. List courses of action (COAs) to be considered. Any of these COAs may be discarded and/or refined and new ones identified and proposed as the planning process continues.
7. Guidance. Some items to consider include:
  - a. Political Considerations.
  - b. Logistics Resources.
  - c. Supporting and Subordinate Commands and Agencies. Give preliminary information about support from adjacent and lower echelons.
  - d. Command and Control. State the command and control organization selected by the commander.
  - e. Other. Include guidance that the commander determines to be necessary.
8. Tasks. Consider the following as appropriate
  - a. Delineate staff responsibilities to begin development of staff estimates.
  - b. Outline Coordinating Instruction for adjacent and subordinate commands, interagency, NGO, and private sector coordination as required.
  - c. Tasks will be organized in alignment with PPD-8 mission areas:
    - (1) Common Tasks.
    - (2) PPD-8 Prevention Tasks.
    - (3) Protection Tasks.
    - (4) Mitigation Tasks.
    - (5) Response Tasks.
    - (6) Recovery Tasks.

9. Administration.

a. Describe the Planning Schedule:

- (1) Planning conferences scheduled.
- (2) Basic Plan completion suspense.
- (3) Annex completion suspense.
- (4) Other milestone events determined necessary.

b. Inter-staff Liaison Instruction.

c. Coordination:

- (1) Action officer designation.
- (2) Reports known or anticipated.
- (3) Security Instruction.

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**APPENDIX F:**  
**KEY DEFINITIONS**

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**Active Duty:** Full-time duty in the active military service of the United States, including active duty or full-time training duty in the Reserve Component.

**Active Duty Operational Support (ADOS):** A tour of active duty for reserve personnel authorized from military and reserve personnel appropriations for work on active or reserve component programs.

**Active Duty for Training (ADT):** A tour of active duty that is used for training members of the Reserve Component to provide trained units and qualified persons to fill the needs of the Armed Forces in time of war or national emergency and such other times as the national security requires.

**Adaptive Planning and Execution (APEX) system:** A Department of Defense system of joint policies, processes, procedures, and reporting structures, supported by communications and information technology, that is used by the joint planning and execution community to monitor, plan, and execute mobilization, deployment, employment, sustainment, redeployment, and demobilization activities associated with joint operations.

**After-Action Report (AAR):** Report that summarizes and analyzes performance in an exercise or actual event. The report for an exercise may also evaluate achievements of the exercise objectives and demonstration of the overall capabilities being exercised.

**Area Commander:** There are two Areas commanded by Vice Admirals. Atlantic Area encompasses the East and Gulf coasts plus the Great Lakes and Puerto Rico. Pacific Area is comprised of the West Coast, Alaska and Hawaii, plus Guam and other Pacific islands. The Area Commander is the principal command & control authority for their zone of responsibility and, as such, can exercise all Coast Guard response authorities with the exception of Federal On-Scene Coordinator (FOOSC) and COTP authorities. See 33 CFR Part 3 for detailed descriptions of each Area AOR.

**Armed Forces of the United States:** A term used to denote collectively all components of the Army, Marine Corps, Navy, Air Force, and Coast Guard.

**Base Plan (BPLAN):** A type of operation plan that describes the concept of operations, major forces, sustainment concept, and anticipated timelines for completing the mission without annexes or time-phased force and deployment data.

**Biological agent:** A microorganism (or a toxin derived from it) that causes disease in personnel, plants, or animals or causes the deterioration of materiel.

**Campaign Planning:** The process whereby combatant commanders and subordinate joint force commanders translate national or theater strategy into operational concepts through the development of an operation plan for a campaign.

**Capability:** The ability of a unit, asset, or resource to perform an assigned task in order to achieve an objective.

**Captain of the Port (COTP):** During contingency operations the COTP has pre-delegated authority to respond to contingencies that affect the safety and efficient use of the nation's ports and waterways. The COTP has both regulatory and legal functions and has certain powers under federal law. The COTP is designated by the Commandant but reports to the District Commander. All Sector Commanders and six Marine Safety Unit (MSU) Commanding Officers are designated as the COTP.

**Catastrophic event:** Any natural or man-made incident, including terrorism, which results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population, infrastructure, environment, economy, national morale, and/or government functions.

**Chemical agent:** A chemical substance that is intended for use in military operations to kill, seriously injure, or incapacitate mainly through its physiological effects.

**Chemical, biological, radiological, and nuclear hazard:** Chemical, biological, radiological, and nuclear elements that could create adverse effects due to an accidental or deliberate release and dissemination.

**Combatant Commander (CCDR):** A commander of one of the unified or specified combatant commands established by the President.

**Command and Control:** The exercise of authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of the mission. Command and control functions are performed through an arrangement of personnel, equipment, communications, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling forces and operations in the accomplishment of the mission.

**Commander and Commanding Officer:** The authority vested, by either rank or assignment, in an individual for the direction, coordination, and control of Coast Guard assets. Command includes the authority and responsibility for effectively utilizing available resources, and organizing, directing, coordinating, controlling, and planning the employment of military forces for the accomplishment of assigned missions. It also includes responsibility for the health, welfare, morale, & discipline of all assigned personnel.

**Commander's Estimate:** A developed course of action designed to provide the Secretary of Defense with military options to meet a potential contingency.

**Commander's Intent:** A clear and concise expression of the purpose of the operation and the desired military end state that supports mission command, provides focus to the staff, and helps subordinate and supporting commanders act to achieve the commander's desired results without further orders, even when the operation does not unfold as planned.

**Common Operational Picture (COP):** A capability for sharing dynamic, geospatially-referenced situational awareness information. A COP provides timely, fused, accurate displays of data, shared across the enterprise, which facilitates collaborative planning and supports situational awareness for all stakeholders. Data disseminated through a COP is drawn from

authoritative data sources, allowing stakeholders to filter and contribute to the COP according to their area of responsibility, mode, or role.

**Concept of Operations (CONOPS):** A verbal or graphic statement that clearly and concisely expresses what the joint force commander intends to accomplish and how it will be done using available resources.

**Concept Plan (CONPLAN):** In the context of joint operation planning level 3 planning detail, an operation plan in an abbreviated format that may require considerable expansion or alteration to convert it into a complete operation plan or operation order.

**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.

**Contingency Planning:** The act of planning for contingencies that can be reasonably anticipated to occur within a unit's operating area.

**Continuity of Operations:** An effort within individual agencies to ensure they can continue to perform their Mission Essential Functions (MEFs) and Primary Mission Essential Functions (PMEFs) during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies. The legal basis for continuity of operations is Executive Order 12656, Assignment of Emergency Preparedness Responsibilities.

**Core Capabilities:** Established in the National Preparedness Goal (NPG), these 31 capabilities represent the critical elements that are required to achieve the NPG.

**Core Competency:** The set of USCG competencies defined in the 2008 MOA between the Secretary of Defense and Secretary of Homeland Security for use of USCG capabilities and resources in support of the National Military Strategy. They include the following:

- a. Maritime Interception/Interdiction Operations (MIO).
- b. Marine Environmental Response Operations (MERO).
- c. Theater Security Cooperation (TSC).
- d. Coastal Sea Control Operations (CSCO).
- e. Rotary Wing Air Intercept (RWAI).
- f. Combating Terrorism Operations.
- g. Maritime Operational Threat Response (MOTR).

**Corrective Action Program (CAP):** A process implemented after incidents or exercises to assess, investigate, identify, and implement appropriate solutions to prevent repeating problems encountered.

**Corrective Actions:** Implementing procedures that are based on lessons learned from actual incidents or from training and exercises.

**Course of Action (COA):** 1. Any sequence of activities that an individual or unit may follow. 2. A scheme developed to accomplish a mission. 3. A product of the course-of-action development step of the joint operation planning process.

**Crisis:** A high-impact, complex incident that requires an extensive, well-coordinated multi-agency and/or multinational, whole community response to save lives, minimize damage, ensure the protection of the U.S. Maritime Domain and Marine Transportation System (MTS), protect the environment, and provide the basis for recovery.

**Crisis Action Planning (CAP):** A process involving the time-sensitive development of joint operation plans and operation orders for the deployment, employment, and sustainment of assigned and allocated forces and resources in response to an imminent crisis.

**Critical Infrastructure and Key Resources (CI/KR):** The infrastructure and assets vital to a nation's security, governance, public health and safety, economy, and public confidence.

**Critical Infrastructure Protection (CIP):** Actions taken to prevent, remediate, or mitigate the risks resulting from vulnerabilities of critical infrastructure assets.

**Critical Information Requirements:** Critical Information Requirements are a comprehensive list of information requirements that are pre-identified in the contingency plan or that the Incident Commander/Unified Command has identified as critical to facilitating timely decision making.

**Defense Coordinating Officer (DCO):** Department of Defense single point of contact for domestic emergencies who is assigned to a joint field office to process requirements for military support, forward mission assignments through proper channels to the appropriate military organizations, and assign military liaisons, as appropriate, to activated emergency support functions.

**Defense Support of Civil Authorities (DSCA):** Support provided by US Federal military forces, Department of Defense civilians, Department of Defense contract personnel, Department of Defense component assets, and National Guard forces (when the Secretary of Defense, in coordination with the governors of the affected states, elects and requests to use those forces in Title 32, United States Code, status) in response to requests for assistance from civil authorities for domestic emergencies, law enforcement support, and other domestic activities, or from qualifying entities for special events.

**Delegation of Authority:** Identification, by position, of the authorities for making policy determinations and decisions. The Delegation of Authority can include objectives, priorities, expectations, constraints, and other considerations or guidelines as needed. Generally, pre-determined delegations of authority take effect when normal channels of direction are disrupted and lapse when these channels are reestablished.

**Detection:** 1. In tactical operations, the perception of an object of possible military interest but unconfirmed by recognition. 2. In surveillance, the determination and transmission by a surveillance system that an event has occurred. 3. In arms control, the first step in the process of ascertaining the occurrence of a violation of an arms control agreement. 4. In chemical, biological, radiological, and nuclear environments, the act of locating chemical, biological, radiological, and nuclear hazards by use of chemical, biological, radiological, and nuclear detectors or monitoring and/or survey teams.

**Deterrence:** The prevention of action by the existence of a credible threat of unacceptable counteraction and/or belief that the cost of action outweighs the perceived benefits.

**Doctrine:** Fundamental principles by which military forces or elements thereof guide their actions in support of national objectives. Doctrine is authoritative but requires judgment in application, and provides decision makers and personnel a standard frame of reference.

**Emergency Preparedness Liaison Officer (EPLO):** A senior reserve officer who represents their Service at the appropriate joint field office conducting planning and coordination.

**Emergency Support Functions (ESF):** A grouping of government and certain private-sector capabilities into an organizational structure to provide the support, resources, program implementation, and services that are most likely to be needed to save lives, protect property and the environment, restore essential services and critical infrastructure, and help victims and communities return to normal, when feasible, following domestic incidents.

**Essential Elements of Information (EEI):** subset of a Critical Information Requirement which provides greater detail on the information needed to meet the Critical Information Requirement.

**Essential Functions:** Functions that enable agencies to provide vital service, exercise civil authorities, maintain the safety and well-being of the general populace, and sustain the industrial/economic base in an emergency. There are three categories of essential functions: NEFs, PMEFs, and MEFs.

**Essential Task:** A specified or implied task that an organization must perform to accomplish the mission that is typically included in the mission statement.

**Exclusive Economic Zone (EEZ):** Waters, seabed, and the subsoil of the seabed seaward of a coastal state's territorial sea and extending no further than 200 nautical miles from the baseline from which the territorial sea is drawn. In this zone, a coastal state may exercise jurisdiction and control over natural resources, both living and nonliving. For a more comprehensive definition of EEZ, see 33 CFR 2.30.

**Federal Continuity Directive (FCD) 1:** This directive provides direction to the Federal executive branch for developing continuity plans and programs. Continuity planning facilitates the performance of executive branch essential functions during all-hazards emergencies or other situations that may disrupt normal operations.

**Federal On-Scene Coordinator (FOSC):** The federal official predestinated by the Environmental Protection Agency or the Coast Guard to coordinate responses under Subpart D of the National Oil and Hazardous Substances Pollution Contingency Plan (40 CFR Part 300) or the government designated to coordinate and direct removal actions under Subpart F of the NCP. A FOSC can also be designated as the Incident Commander.

**Federal Maritime Security Coordinator (FMSC):** Per 33 CFR 103.200 The COTPs are the FMSCs for their respective COTP zones described in 33 CFR part 3. The FMSC: establishes, convenes, and directs the AMSC; appoints members to the AMSC; develops and maintains, in coordination with the AMSC, the AMSP; implement and exercise the AMSP.

**Function:** The appropriate or assigned duties, responsibilities, missions, or tasks of an individual, office, or organization.

**Geospatial Information and Services (GIS):** The collection, information extraction, storage, dissemination, and exploitation of geodetic, geomagnetic, imagery, gravimetric, aeronautical, topographic, hydrographic, littoral, cultural, and toponymic data accurately referenced to a precise location on the Earth's surface.

**Global Command and Control System:** A deployable command and control system supporting forces for joint and multinational operations across the range of military operations with compatible, interoperable, and integrated communications systems.

**High Seas:** All waters seaward of the territorial sea of the United States and other nations. For a more comprehensive definition of High Seas, see 33 CFR 2.32.

**Homeland:** The physical region that includes the continental United States, Alaska, Hawaii, United States territories, and surrounding territorial waters and airspace.

**Homeland Defense:** The protection of United States sovereignty, territory, domestic population, and critical infrastructure against external threats and aggression or other threats as directed by the President.

**Homeland Security:** A concerted national effort to prevent terrorist attacks within the United States; reduce America's vulnerability to terrorism, major disasters, and other emergencies; and minimize the damage and recover from attacks, major disasters, and other emergencies that occur.

**Immediate response:** Any form of immediate action taken in the United States and territories to save lives, prevent human suffering, or mitigate great property damage in response to a request for assistance from a civil authority, under imminently serious conditions when time does not permit approval from a higher authority.

**Incident:** An occurrence or event, natural or human-caused that requires an emergency response to protect life or property.

**Incident Commander (IC):** The IC is the individual responsible for all incident activities, including the development of strategies and tactics and the ordering and release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of the incident assigned. The Coast Guard IC works for the next higher level Operational Commander in the Coast Guard chain of command.

**Incident Command System (ICS):** A standardized on-scene emergency management construct designed to aid in the management of resources during incidents.

**Incident Management:** A national comprehensive approach to preventing, preparing for, responding to, and recovering from terrorist attacks, major disasters, and other emergencies.

**Individual Ready Reserve (IRR):** A manpower pool consisting of individuals who have had some training or who have served previously in the Active Component or in the Selected Reserve, and may have some period of their military service obligation remaining.

**Information Management:** The function of managing an organization's information resources for the handling of data and information acquired by one or many different systems, individuals, and organizations in a way that optimizes access by all who have a share in that data or a right to that information.

**Information Requirements:** In intelligence usage, those items of information regarding the adversary and other relevant aspects of the operational environment that needs to be collected and processed in order to meet the intelligence requirements of a commander.

**Initial Operational Capability (IOC):** The first attainment of the capability to employ effectively a weapon, item of equipment, or system of approved specific characteristics that is manned or operated by an adequately trained, equipped, and supported military unit or force.

**Intelligence:** 1. The product resulting from the collection, processing, integration, evaluation, analysis, and interpretation of available information concerning foreign nations, hostile or potentially hostile forces or elements, or areas of actual or potential operations. 2. The activities that result in the product. 3. The organizations engaged in such activities.

**Intelligence Estimate:** The appraisal, expressed in writing or orally, of available intelligence relating to a specific situation or condition with a view to determining the courses of action open to the enemy or adversary and the order of probability of their adoption.

**Intelligence, Surveillance, and Reconnaissance (ISR):** An activity that synchronizes and integrates the planning and operation of sensors, assets, and processing, exploitation, and dissemination systems in direct support of current and future operations. This is an integrated intelligence and operations function.

**International Maritime Organization (IMO):** A specialized agency of the United Nations consisting of 170 member states. IMO's main task has been to develop and maintain a

comprehensive regulatory framework for shipping including safety, security, environmental, legal, and technical cooperation matters.

**International Ship and Port Facility Security (ISPS) Code:** A 2004 amendment to the Safety of Life at Sea (SOLAS) Convention (1974/1988) on minimum security arrangements that prescribes responsibilities to governments, shipping companies, shipboard personnel, and port and facility personnel to “detect security threats and take preventative measures against security incidents affecting ships or port facilities used in international trade.”

**Joint:** Activities, operations, or organizations, etc. in which elements of two or more Military Departments participate.

**Joint Operation Planning and Execution System (JOPES):** An Adaptive Planning and Execution system technology.

**Joint Operation Planning Process (JOPP):** An orderly, analytical process that consists of a logical set of steps to analyze a mission, select the best course of action, and produce a joint operation plan or order.

**Joint Staff:** 1. The staff of a commander of a unified or specified command, subordinate unified command, joint task force, or subordinate functional component (when a functional component command will employ forces from more than one Military Department), that includes members from the several Services comprising the force. 2. (capitalized as Joint Staff) The staff under the Chairman of the Joint Chiefs of Staff that assists the Chairman and the other members of the Joint Chiefs of Staff in carrying out their responsibilities.

**Joint Task Force (JTF):** A joint force that is constituted and so designated by the Secretary of Defense, a combatant commander, a subunified commander, or an existing joint task force commander.

**Lessons Learned:** Knowledge gained through operational experience (actual events or exercises) that improve performance of others in the same discipline.

**Marine Transportation System (MTS):** Consists of ocean, coastal, and inland waterways, ports, intermodal connections, vessels, and commercial, military, and recreational users.

**Maritime Domain:** All areas and things of, on, under, related to, adjacent to, or bordering on a sea, ocean, or other navigable waterway, including all maritime-related activities, infrastructure, people, cargo, and vessels and other conveyances.

**Maritime Domain Awareness (MDA):** The effective understanding of anything associated with the global maritime domain that could impact the security, safety, economy, or environment of the United States.

**Mission Essential Function (MEF):** A function that must be performed to support or implement the performance of a National, State, or tribal essential function before, during, and after an emergency.

**Mobilization:** 1. The process of assembling and organizing national resources to support national objectives in time of war or other emergencies. 2. The process by which the Armed Forces of the United States or part of them are brought to a state of readiness for war or other national emergency, which includes activating all or part of the Reserve Component as well as assembling and organizing personnel, supplies, and materiel.

**National Incident Management System (NIMS):** A national crisis response system that provides a consistent, nationwide approach for federal, state, local, and tribal governments; the private sector; and nongovernmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

**Nongovernmental Organization (NGO):** An entity with an association that is based on interests of its members, individuals, or institutions. It is not created by a government, but it may work cooperatively with government. Such organizations serve a public purpose, not a private benefit. Examples of NGOs include faith-based charity organizations and the American Red Cross.

**Operational Commander (OC):** Under Title 10 operations the Commandant is the Operational Commander. Under Title 14 operations the Area Commanders, District Commanders, and Sector Commanders are the Operational Commander. The OC is the individual responsible for all operations within a certain area of responsibility. The OC delegates operational authorities to subordinate commands and provides support as needed. Specifically, Area commanders delegate authority to the District commanders to run operations within the District boundaries and the District commander delegate authority to the Sector commander to run operations within the Sector boundaries. The Operational Commander is equivalent to the term Agency Administrator used by FEMA in NIMS.

**Operational Control (OPCON):** The authority to perform those functions of command over subordinate forces involving organizing and employing commands and forces, assigning tasks, designating objectives, and giving authoritative direction necessary to accomplish the mission.

**Operation Order (OPORD):** A directive issued by a commander to subordinate commanders for the purpose of effecting the coordinated execution of an operation.

**Operation Plan (OPLAN):** 1. Any plan for the conduct of military operations prepared in response to actual and potential contingencies. 2. A complete and detailed joint plan containing a full description of the concept of operations, all annexes applicable to the plan, and a time-phased force and deployment data.

**Planning Order (PLANORD):** A planning directive that provides essential planning guidance and directs the initiation of execution planning before the directing authority approves a military course of action.

**Port Security:** The safeguarding of vessels, harbors, ports, waterfront facilities, and cargo from internal threats such as destruction, loss, or injury from sabotage or other subversive acts; accidents; thefts; or other causes of similar nature.

**Preparedness:** The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents.

**Presidential Reserve Call-up:** Provision of a public law (Title 10, United States Code, Section 12304) that provides the President a means to activate, without a declaration of national emergency, not more than 200,000 members of the Selected Reserve and the Individual Ready Reserve (of whom not more than 30,000 may be members of the Individual Ready Reserve), for not more than 365 days to meet the requirements of any operational mission, other than for disaster relief or to suppress insurrection.

**Priority Intelligence Requirement (PIR):** An intelligence requirement, stated as a priority for intelligence support, that the commander and staff need to understand the adversary or other aspects of the operational environment.

**Public Affairs Guidance (PAG):** Constraints and restraints established by proper authority regarding public information, command information, and community relations activities. It may also address the method(s), timing, location, and other details governing the release of information to the public.

**Ready Reserve:** The Selected Reserve and Individual Ready Reserve liable for active duty as prescribed by law (Title 10, United States Code, Sections 10142, 12301, and 12302).

**Request for Assistance (RFA):** A request based on mission requirements and expressed in terms of desired outcome, formally asking the Department of Defense to provide assistance to a local, state, tribal, or other federal agency.

**Reserve Component:** The Armed Forces of the United States Reserve Component consists of the Army National Guard of the United States, the Army Reserve, the Navy Reserve, the Marine Corps Reserve, the Air National Guard of the United States, the Air Force Reserve, and the Coast Guard Reserve.

**Risk:** Probability and severity of loss linked to hazards.

**Risk Assessment:** The identification and assessment of hazards (first two steps of risk management process).

**Risk-Based Decision Making (RBDM):** A process that organizes information about the possibility for one or more unwanted outcomes into a broad, orderly structure that helps Commanders make more informed management choices.

**Risk Management:** The process of identifying, assessing, and controlling risks arising from operational factors and making decisions that balance risk cost with mission benefits.

**Search and Rescue (SAR):** The use of aircraft, surface craft, submarines, and specialized rescue teams and equipment to search for and rescue distressed persons on land or at sea in a permissive environment.

**Territorial Sea:** Twelve nautical miles wide, and refers to the waters adjacent to the coast of the United States and seaward of the territorial sea baseline, which is normally the mean low water line. With respect to other nations, it refers to waters adjacent to that nation's coast that have a width and baseline recognized by the United States (normally 12 nautical miles wide). For a more comprehensive definition of Territorial Sea, see 33 CFR 2.22.

**Time-Phased Force and Deployment Data (TPFDD):** The time-phased force data, non-unit cargo and personnel data, and movement data for the operation plan or operation order or ongoing rotation of forces.

**Unified Command Plan:** The document, approved by the President that sets forth basic guidance to all unified combatant commanders; establishes their missions, responsibilities, and force structure; delineates the general geographical area of responsibility for geographic combatant commanders; and specifies functional responsibilities for functional combatant commanders.

**Warning Order (WARNORD):** 1. A preliminary notice of an order or action that is to follow. 2. A planning directive that initiates the development and evaluation of military courses of action by a supported commander and requests that the supported commander submit a commander's estimate. 3. A planning directive that describes the situation, allocates forces and resources, establishes command relationships, provides other initial planning guidance, and initiates subordinate unit mission planning.

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**APPENDIX G:**  
**ACRONYMS AND ABBREVIATIONS**

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AAP	After Action Program
AAR	After Action Reports
ABO	Air Base Operability
ACP	Area Contingency Plan
ALERTORD	Alert Order
AMIO	Alien Migrant Interdiction Operations
AMS	Area Maritime Security
AMSC	Area Maritime Security Committees
AMSP	Area Maritime Security Plan
AMSTEP	Area Maritime Security Training and Exercise Program
AOR	Area of Responsibility
APEC	Advanced Preparedness and Exercise Course
APEX	Adaptive Planning and Execution
BPEC	Basic Preparedness and Exercise Course
C4ISR	Command, Control, Communications, Computers, Intelligence Surveillance and Reconnaissance.
CANUS	Canadian/United States
CAP	Crisis Action Planning
CBRN	Chemical, Biological, Radiological, and Nuclear
CBRNE	Chemical, Biological, Radiological, Nuclear, Explosive
CCDR	Combatant Commander
CCGD	Commander, Coast Guard District
CE	Commander's Estimates
CEM	Certified Emergency Manager
CFR	Code of Federal Regulations
CG	Coast Guard
CGDEFOR	Coast Guard Defense Force
CGHQ	Coast Guard Headquarters
CGMS	Coast Guard Message System
CI	Counterintelligence
CI	Critical Infrastructure
COA	Course of Action

COCOM	Combatant Command
COE	Concepts of Exercise
COGARD	Coast Guard
COMDT	Commandant of the USCG
COMDTINST	Commandant Instruction
COMDTPUB	Commandant Pub
COMLANTAREA	Commander, Atlantic Area
COMPACAREA	Commander, Pacific Area
CONOPS	Concept of Operations
CONPLAN	Concept Plan
COOP	Continuity of Operations Plan
COTP	Captain of the Port
CP	Counter-Proliferation
CPA	Contingency Preparedness Assessment
CPG	Comprehensive Preparedness Guide
CPPM	Contingency Preparedness Planning Manual
CPS	Contingency Preparedness System
CT	Counter-Terrorism
CTF	Commander, Task Force
CYBERCOM	Cyber Command
DCMS	Deputy Commandant For Mission Support
DCO	Defense Coordinating Officer
DCO	Deputy Commandant for Operations
DET	Detachment
DHS	Department of Homeland Security
DOD	Department of Defense
DOL	Director of Operational Logistics
DRRS	Defense Readiness and Reporting System
DSCA	Defense Support of Civil Authorities
DSE	Deployable Support Element
DSF	Deployable Specialized Forces
E-GIS	Enterprise – Geospatial Information System

EO	Executive Order
EOD	Explosive Ordnance Disposal
EOP	Emergency Operations Plan
EPA	Environmental Protection Agency
ESF	Emergency Support Function
FCC	Functional Combatant Command
FCD	Federal Continuity Directive
FE	Functional Exercise
FEMA	Federal Emergency Management Agency
FMSC	Federal Maritime Security Coordinator
FORCECOM	Force Readiness Command
FOUO	For Official Use Only
FPDP	Federal Plan Development Process
FSE	Full-Scale Exercise
FWPCA	Federal Water Pollution Control Act
GAR	Green, Amber, Red Risk Model
GEF	Guidance for Employment of the Force
GFM	Global Force Management
GFMAP	Global Force Management Allocation Plan
GFMB	Global Force Management Board
GFMIG	Global Force Management Implementation Guidance
GII	Geospatial Information Infrastructure
HAZMAT	Hazardous Materials
HAZSUB	Hazardous Substances
HHS	Health and Human Services
HQ	Headquarters
HSEEP	Homeland Security Exercise Evaluation Program
HSPD	Homeland Security Presidential Directive
HSTF-SE	Homeland Security Task Force Southeast
HUMINT	Human-Resource Intelligence
IA	Information Assurance
IAP	Incident Action Plan

ICS	Incident Command System
IMAT	Incident Management Assist Team
IMH	Incident Management Handbook
IMINT	Imagery Intelligence
IMPA	Incident Management Preparedness Advisors
IMT	Incident Management Team
INCONUS	Inside the Continental United States
IO	Information Operations
IPAWS	Integrated Public Alert and Warning System
JCS	Joint Chiefs of Staff
JFC	Joint Force Commander
JIATF	Joint Interagency Task Force
JIC	Joint Information Center
JMSEL	Joint Master Scenario Events List
JOC	Joint Operations Center
JOPEs	Joint Operation Planning and Execution System
JOPP	Joint Operation Planning Process
JPME	Joint Professional Military Education
JPOC	Joint Planning Orientation Course
JS	Joint Staff/Joint Standards
JSCP	Joint Strategic Capabilities Plan
JSPS	Joint Strategic Planning System
JTF	Joint Task Force
LANT/PAC	Atlantic/Pacific Area
LANTAREA	Atlantic Area
LFF	Logistics Factor File
LSE	Logistics Support Element
MA	Mission Assignment
MARSEC	Maritime Security Condition
MEPP	Master Exercise Practitioner Program
METOC	Meteorological and Oceanographic
MEXUS	Mexico/United States

MHD	Maritime Homeland Defense
MIO	Maritime Interception/Interdiction Operation
MMPA	Marine Mammal Protection Act
MOL	Military Outload
MOTR	Maritime Operational Threat Response
MOU	Memorandum of Understanding
MRO	Mass Rescue Operations
MRTT	Mobilization Readiness Tracking Tool
MSM	Marine Safety Manual
MSRAM	Maritime Security Risk Analysis Model
MSU	Marine Safety Unit
MTEP	Multi-Year Training and Exercise Program
MTMC	Military Traffic Management Command
MTS	Marine Transportation System
MTSA	Maritime Transportation Security Act
NCC	Naval Component Commander
NCP	National Contingency Plan
NDRF	National Disaster Recovery Framework
NDS	National Defense Strategy
NEPA	National Environmental Policy Act
NGO	Non-Governmental Organization
NHPA	National Historic Preservation Act
NIC	National Integration Center
NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NIST	National Intelligence Support Team
NMS	National Military Strategy
NMTSP	National Maritime Transportation Security Plan
NOAA	National Oceanic and Atmospheric Administration
NPP	Navy Planning Process
NPRN	National Port Readiness Network
NRF	National Response Framework

NSSE	National Special Security Event
NVIC	Navigation and Vessel Inspection Circular
OAR	Response Ashore Specialty
OCONUS	Outside of the Continental United States
OPA	Oil Pollution Act
OPCON	Operational Control
OPD	Operational Planning Directive
OPD	Operational Planning Direction
OPLAN	Operation Plan
OPORD	Operations Order
PACAREA	Pacific Area
PAG	Public Affairs Guidance
PCP	Professional Continuity Practitioner
PDD	Presidential Decision Directive
PE	Program Elements
PID	Plan Identification Number
PIR	Priority Intelligence Requirement
PLA	Plain Language Address
PLANORD	Planning Order
POC	Points of Contact
POE	Projected Operational Environment
POSD	Port Operations Security and Defense
PPA	Principle Planning Agent
PPD	Presidential Policy Directive
PRC	Port Readiness Committee
PSMA	Pre-Scripted Mission Assignment
PWCS	Ports, Waterways, and Coastal Security
RAI	Remedial Action Issue
RAMP	Remedial Action Management Program
RBDM	Risk-Based Decision-Making
RBMSRO	Risk Based Maritime Security Response Operations
RCP	Regional Contingency Plan

RFA	Request for Assistance
RFF	Request For Forces
ROC	Required Operational Capability
SAFE	Security and Accountability for Every (SAFE) Port Act of 2006
SAR	Search and Rescue
SARS	Severe Acute Respiratory Syndrome
SIGINT	Signals Intelligence
SIPRNET	Secure Internet Protocol Router Network
SME	Subject Matter Expert
SMEAC	Situation, Mission, Execution, Administration & Logistics, Command & Control
SO	Special Operations
SPD	Strategic Planning Direction
SPOD	Sea Ports of Debarkation
SPOE	Sea Ports of Embarkation
SSC	Scientific Support Coordinator
SSI	Sensitive Security Information
STAN	Standardization
TAD	Temporary Additional Duty/ Temporary Assigned Duty
THIRA	Threat and Hazard Identification Risk Assessment
TO	Task Order
TPFDD	Time-Phased Force and Deployment Data
TPFDL	Time-Phased Force and Deployment List
TRACEN	Training Center
TTP	Tactics, Techniques, and Procedures
TUCHA	Type Unit Characteristics
UCP	Unified Command Plan
USC	United States Code
USCG	United States Coast Guard
USN	United States Navy
WARNORD	Warning Order

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