



COMDTINST 5200.4
November XX, 2008

COMMANDANT INSTRUCTION 5200.4

Subj: U.S. COAST GUARD MISSION MANAGEMENT SYSTEM

Ref: (a) ISO 9001, Quality Management System – Requirements

1. **PURPOSE.** The purpose of this Instruction is to set policy for the ongoing development, use and improvement of the Coast Guard, Quality Management System (QMS) in accordance with reference (a). The Coast Guard QMS is called the Mission Management System (MMS). The MMS has been formally adopted by the Prevention Directorate to ensure fulfillment of its domestic and international obligations for marine safety and security. Mandated by the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers (STCW) Convention and the Voluntary Member State Audit Scheme, the MMS is a tool used to meet the obligations for these two international instruments. In addition, the MMS assists the Prevention Directorate in the deployment of laws and regulations into USCG policy and procedures at all levels of the organization. The MMS is currently posted for use on CG Central. Commandant (CG-546), Office of Quality Assurance and Traveling Inspectors, is the program administrator for the MMS. The MMS includes program specific manuals containing policy, objectives, and references the procedures. The system is aimed at achieving quality assurance, program consistency, customer focus, organizational effectiveness, and continual improvement.
2. **ACTION.** Areas, districts, and sectors commanders, commanders of maintenance and logistics commands, Commander, Deployable Operations Group, commanding officers of headquarters units, assistant commandants for directorates, Judge Advocate General, and special staff offices at Headquarters shall ensure the provisions of this Instruction are followed. Internet release is authorized.
3. **PROCEDURE.** Several programs currently benefit from the use and improvement of their MMS as described below:

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	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A																										
B	1	1	1																							
C					1								1													1
D																										
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NON-STANDARD DISTRIBUTION:

- a. Merchant Mariner Licensing and Documentation (MLD) Program: Program managers shall continue their use of the MLD MMS to fulfill internal and external requirements, including those of the International Maritime Organization (IMO) conventions/regulations, Code of Federal Regulations (CFR), Title 46 Shipping, USCG policy, and ISO 9001. Personnel shall continue their use and improvement of the MLD Program policies, objectives, and procedures as specified
- b. Regulatory Development Program (RDP): Program managers shall continue to use the RDP MMS to fulfill internal and external requirements, including those of the IMO conventions/regulations, congressional laws, United States Code, USCG policy, and ISO 9001. Personnel shall continue their use and improvement of the RDP Program policies, objectives, and processes as specified.
- c. Marine Inspection, Investigation and Port Safety and Security Programs (MPS): Program managers shall implement the MPS MMS to fulfill internal and external requirements, including those of the IMO conventions, CFR Titles 33 Ports and Waterways and 46 Shipping, USCG policy, and ISO 9001. Personnel shall continue their use and improvement of the MPS Program policies, objectives, and processes as specified.
- d. Commandant (CG-546) is responsible for coordinating the development, maintenance and monitoring of the MMS across the Coast Guard. This includes devising a document coding scheme, process analysis/mapping to document procedures and identify necessary improvements, training users and auditors, documenting results in the Mission Management System Database (MMSD). Additional program administrator responsibilities includes overseeing the MMS website (currently under development), document/version control, and assisting areas, districts and sectors with root cause analysis associated with preventive and corrective actions to stop occurrence or recurrence of nonconformities. Commandant (CG-546) staff coordinates and conducts audits of the system and its processes at headquarters offices, area offices, district offices, training centers and sector units as required for ensuring effectiveness of the MMS in fulfilling Coast Guard missions. Areas, districts, and sectors are to utilize their trained lead/internal auditors to cross-audit and learn from each other. Lead auditors at CG-546 will ensure that the audit results are entered and tracked in the MMSD. This includes best practices, areas of strength, areas for improvement, nonconformities, and observations, preventive and corrective actions. Leadership advised by Commandant (CG-546) staff shall continue to discuss the performance of the MMS at regular management reviews to agree on necessary changes to achieve performance plan goals.

4. DIRECTIVES AFFECTED. None

5. DISCUSSION.

- a. The Coast Guard Prevention Directorate developed the MMS to ensure fulfillment of its domestic and international obligations. International obligations include IMO Standards for Training, Certification and Watchkeeping (STCW) and Voluntary Member State Audit Scheme (VMSAS) audits which require a quality standard to help ensure compliance. Due to the need for a common standard, the Coast Guard adopted the current version of ISO 9001. ISO 9001 is a recognized International Standard that promotes the adoption of a process approach when developing, implementing and improving the effectiveness of a QMS.

- b. The MMS deploys laws and regulations into USCG policy and procedures (at all levels of command) and other MMS tools. Refer to enclosures (1) and (2) for examples of how the MMS organizes resources into a systematic approach where we continually plan our programs, work our plans, check our progress and take action to improve.
- c. The MMS site on the CG Central will be an updated repository for laws/regulations, USCG policy, manuals, procedures, work instructions, job aids, forms, audit and training schedules.
- d. Participation at all levels makes the MMS a tool for success in fulfilling our missions including our work to modernize the Coast Guard and for delivering exceptional services to our customers in the maritime industry and public alike.

6. RESPONSIBILITIES.

- e. CG-546 has MMS implementation oversight. The implementation includes the training of Area, District and Sector personnel so they can use the MMS; identify and harvest any local routines or forms specific to the region to be included in the MMS; identify any conflicts between the centrally designed MMS and variations necessary to satisfy regional needs; add process controls to the MMS as needed. Part of this implementation is to train and develop internal auditors to help maintain the effectiveness of the MMS. Many auditors have already taken the primary auditor training ISO 9001:2000 Lead Auditor Course. These trained internal auditors; both active duty and civilian can be found throughout the Coast Guard. The list of trained auditors is maintained by CG-546 and posted on CG Central. It is expected that the pool of trained internal auditors will be available periodically to conduct internal audits within their Sectors and other units as permitted.
- f. Commandant (CG-546) is responsible for the MMS and maintaining the MMS e-learning course. Commandant (CG-546) will serve as the clearinghouse for all updates to existing and new MMS documents, internal/external audits, MMSD and MMS site maintenance. Commandant (CG-546) shall work with the training centers to ensure the MMS is included in the curriculum. Commandant (CG-546) shall coordinate training for certified lead auditor courses. Certain lead auditors shall also be certified to IMO-recognized standards.
- g. Each level of command shall ensure its personnel are using the MMS and develop documentation according to its authority as follows:
 - (1) Headquarters offices are responsible for deploying timely program level work instructions to areas, districts, and sectors. Program requirements in the form of messages and e-mail shall only be occasionally authorized for rapid deployment purposes and shall be followed up immediately with documented work instructions linked to the relevant MMS procedure. Program managers are to notify Commandant (CG-546) when there are changes necessary to the core and/or key processes.
 - (2) Areas and district offices are responsible for deploying timely area/district level work instructions to sectors as necessary. They shall provide direct support to sectors for implementing the MMS and participate in audits to monitor effectiveness. Areas and districts shall follow-up on any audit nonconformities or observations, and ensure proper corrective actions are carried out. Nonconformities are system failures that occur whenever

there is a breakdown of a procedure. Typically but not in all cases, a nonconformity requires a root cause analysis to determine what happened. When this analysis is done, system users can then make the adjustments necessary to prevent a reoccurrence. System wide nonconformities will be documented and tracked by CG-546, while local nonconformities will be documented and tracked at the District level using the Mission Management System Database (MMSD).

- (3) Sector units are responsible for developing field level work instructions (SOP's) to personnel as necessary. They shall participate in regional audits and have one unit representative lead auditor trained to assist with MMS quality initiatives. These Sector responsibilities do not require full time staffing but they do require some commitment. The unit representative will assist CG-546 by providing local oversight of the MMS. The unit representative will help to identify process changes that may be needed, draft corrective action plans and push suggested system improvements up through the chain-of-command to affect continual improvement as required by the ISO 9001 Standard. CG-546 will provide the necessary support to ensure the unit representative is properly resourced and trained to carry out MMS requirements and responsibilities.

- h. For any questions or suggestions regarding this Instruction, please contact the Commandant (CG-546) at MMS@uscg.mil.

7. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this instruction and have been determined to be not applicable.

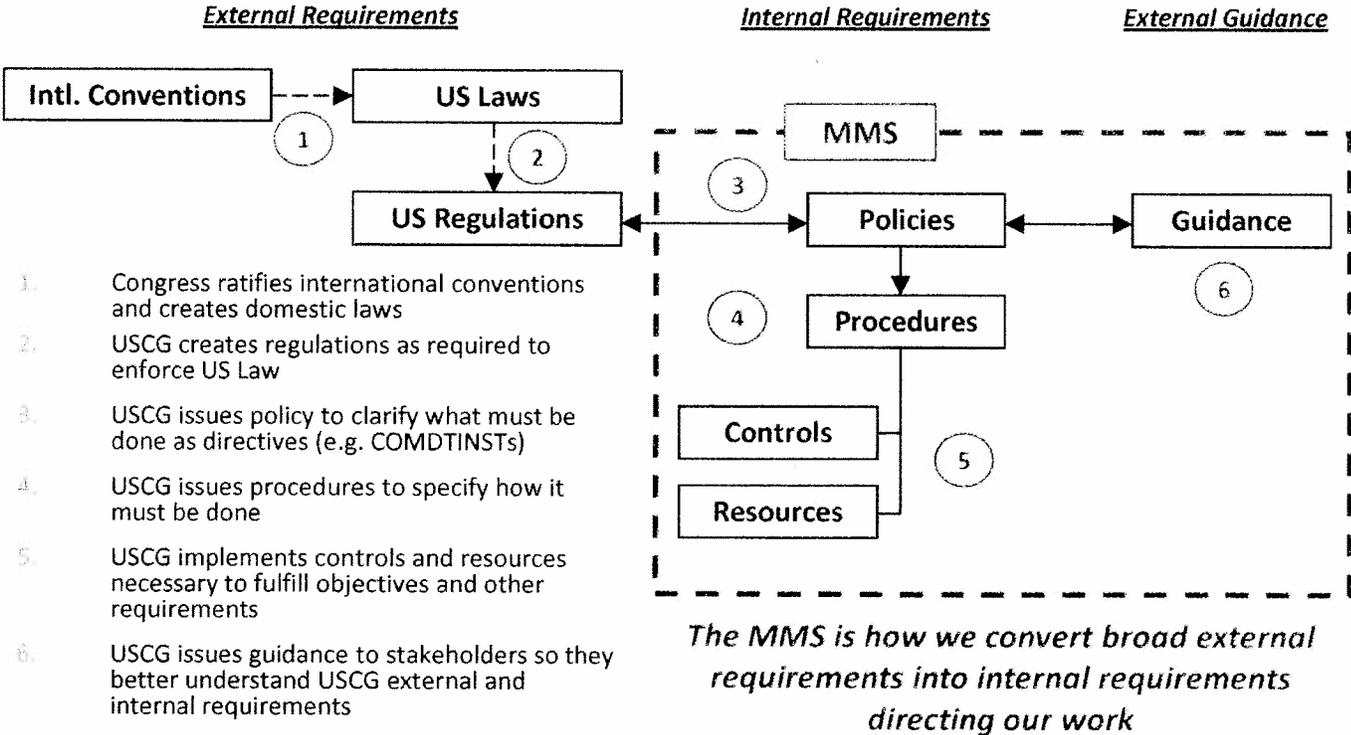
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Security and Stewardship

- Enclosures: (1) Overview of MMS
(2) MMS Documentation Hierarchy
(3) MMS Definitions

Dist: Standard Distribution

Overview of How the MMS Works

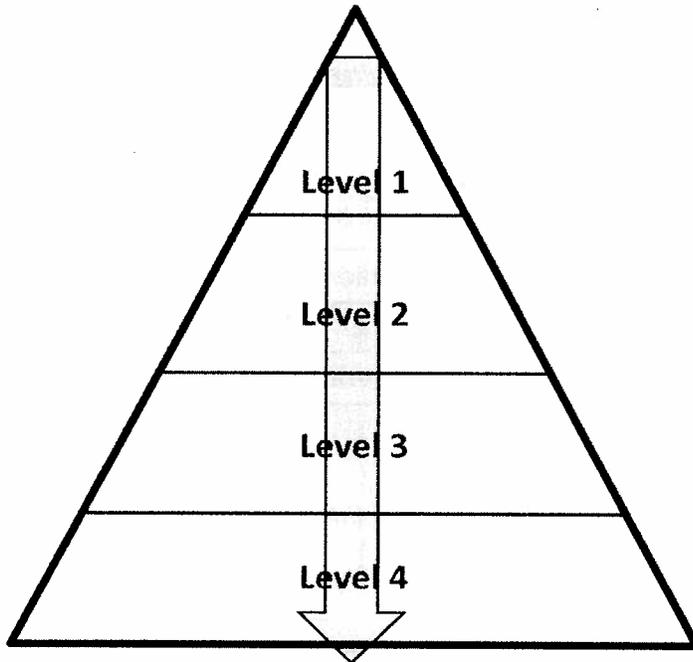
U.S. Department of
Homeland Security
**United States
Coast Guard**



Questions? MMS@uscg.mil

MMS Documentation Hierarchy

U.S. Department of
Homeland Security
**United States
Coast Guard**



Documents		Relates to:
MMS Manual and Quality Policy	Specifications	Overall MMS, highest level
Procedures		Key Processes
Work Instructions		Activities
Forms		Job aides, source of records

The MMS documentation is hierarchical and provides detail according to its level (e.g. Level 1/2 is high level and Level 3/4 is more specific)

Questions? MMS@uscg.mil

SOME MMS DEFINITIONS

The following are some terms and definitions commonly used within the MMS:

TERM	WHAT IT MEANS
Audit	A systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled
Audit criteria	Set of policies, procedures or requirements used as reference
Competence	Demonstrated ability to apply knowledge and skills
Compliance	Fulfillment of a regulatory requirement
Conformity	Fulfillment of an internal requirement
Control	Establishing and meeting requirements
Correction	Action to eliminate a detected nonconformity
Corrective Action	Action to eliminate the causes of detected nonconformity
Customer	Organization or person that receives a product (type of Stakeholder)
Effectiveness	Extent to which planned activities are realized and planned results achieved
Efficiency	Relationship between result achieved and resources used
Nonconformity	Non-fulfillment of a requirement (nonconformance is common)
Noncompliance	Non-fulfillment of a regulation or permit (a legal term)
Objective	Goal, arising from the policy, that an organization sets itself to achieve
Preventive action	Action to eliminate the causes of a potential nonconformity
Procedure (may not be documented)	Specified way to carry out a process (or a task within a process)
Process	Work (by machine and/or human) that applies resources and controls to transform inputs into outputs
Process approach	Work managed as a process so it is designed, resourced and controlled to efficiently achieve the desired result
Product	Result of a process (includes: services, software, hardware, materials and by-products)
Quality	Degree to which our service fulfills requirements
Quality Assurance	Providing confidence that requirements <i>will be</i> fulfilled
Mission Management System (MMS)	Management system to direct and control an organization with regard to its Mission
Record	Document stating results achieved or evidence of process
Requirement	Implied need or expectation that is stated so it is explicit
Stakeholder	Interested party (includes customers)

