



COMDTINST 5420.40B  
NOV 03, 2015

COMMANDANT INSTRUCTION 5420.40B

Subj: COMMANDANT’S EXECUTIVE DECISION-MAKING (EDM) PROCESS

1. PURPOSE. To promulgate the framework for Coast Guard Executive Decision-Making and the decision-support role of key executive fora.
2. ACTION. All Flag Officers, Senior Executive Service (SES) civilian employees, and their staffs shall familiarize themselves and comply with the provisions of this Instruction. Internet release is authorized.
3. DIRECTIVE AFFECTED. Commandant’s Executive Decision-Making (EDM) Process, COMDTINST 5420.40A is cancelled.
4. SCOPE. The EDM process encompasses the deliberation and decision-support fora chaired by the Commandant, Vice Commandant and other Senior Leaders. It includes the Leadership Council, Principals Council, Deputies Council, and the Executive Management Councils. The acquisition decision making process and related fora (e.g., Acquisition Review Board and Executive Oversight Committee) are outlined in the Major Systems Acquisition Manual, COMDTINST M5000.10 series, and are outside the scope of this instruction.
5. DISCUSSION. A properly designed decision-making framework facilitates well-informed decisions. It provides regular, repeatable and transparent processes that promote deliberation while ensuring decision-makers receive input from appropriate parties. Roles and responsibilities for core Coast Guard business functions are identified in the enclosure.

Delegated responsibilities include: Strategic Mission Management to the Deputy Commandant for Operations; Mission Execution to the Atlantic Area and Pacific Area; Mission Support to the Deputy

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Commandant for Mission Support; and Financial Management to the Assistant Commandant for Resources.

Decisions requiring the Commandant's or Vice Commandant's approval include: changes to Coast Guard roles and missions, substantive shifts in mission strategy or concepts of operation, major organization changes and alterations to force structure, significant modifications of mission support or capability standards, and items which require official submission to external stakeholders.

6. GUIDING PRINCIPLES. The intent of decision-making fora is to provide support to accountable decision-makers.
  - a. Decision-making should, when possible, align with regular, repeatable processes. Deliberate processes provide decision-makers the best opportunity to act prospectively, and not merely to react to developments.
  - b. When practical, a range of detailed decision options should be provided. Details may include expected costs, benefits, risks, assumptions, roles, responsibilities and indicators to measure and track results, targets and milestones.
  - c. To ensure decisions optimize enterprise efficiency and effectiveness, cross-programmatic impacts and the concerns of affected stakeholders must be considered. The Judge Advocate General (CG-094) and Director, Governmental and Public Affairs (CG-092) shall be consulted as early as practicable, and shall be available to advise all levels executive decision-support detailed below.
  
7. KEY EXECUTIVE DECISION-SUPPORT FORA. The key executive decision-support fora are described below:
  - a. Leadership Council (LC). The LC is the Coast Guard's senior decision-making and advisory body and is chaired by the Commandant. Principal members are the Commandant (CCG), Vice Commandant (VCG), Deputy Commandant for Operations (DCO), Deputy Commandant for Mission Support (DCMS), Atlantic Area (CAA) and Pacific Area (CPA) Commanders, Auxiliary National Commodore (NACO), Master Chief Petty Officer of the Coast Guard (MCPOCG) and a CCG designated SES member. Coordination and administrative assistance to the Leadership Council are provided by VCG Staff.
  - b. Principals' Council (PC). The PC is a decision-making and advisory body, which is convened to provide senior executive governance. Principal members of the PC are DCO, DCMS, CAA, CPA and MCPOCG, and at times VCG; others may be invited as appropriate. The PC may review and make recommendations on strategic management issues referred to CCG or VCG for decision. With VCG as chair, the PC serves as the Investment Review Board (IRB) for executive oversight of the Coast Guard's Planning, Programming, Budgeting and Execution (PPBE) processes. Coordination and administrative assistance are provided by the Assistant Commandant for Resources (CG-8).
  - c. Deputies' Council (DPC). The DPC is an advisory body that ensures collaboration on Headquarters and enterprise-wide management issues. Core membership includes the DCO Deputy, DCMS Deputy, CG-8, and Deputy Area Commanders depending on the topics being

addressed per enclosure (1). The DPC may review and make recommendations on strategic management issues referred to CCG or VCG for decision and provides oversight of the Coast Guard's PPBE processes. The DPC leads the Coast Guard's Executive Management Council - Investment Board (EMC-IB), and represents this body at the IRB.

- d. Executive Management Councils (EMCs). EMCs are advisory bodies, designated and convened as necessary to address specific areas of concerns or emphasis. EMCs provide decision support to decision-makers and higher-level decision-support bodies. Examples include the EMC-IB and the EMC- Internal Controls and Audit Readiness Board (ICARB). EMCs may be chaired by VCG or other senior leaders; EMC membership varies by topic area. Coordination and administrative assistance varies by topic area.

8. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

- a. Environmental considerations under the National Environmental Policy Act (NEPA) were examined in the development of this Commandant Instruction without substantive change. It is categorically excluded from further NEPA analysis and document requirements under Categorical Exclusion #33 as published in National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series), Figure 2-1. An Environmental Checklist and Categorical Exclusion Determination (CED) are not required.
- b. This directive 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 Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates. Due to the administrative and procedural nature of the Manual, and the environmental guidance provided within it for compliance with all applicable environmental laws prior to promulgating any directive, all applicable environmental considerations are addressed appropriately in this Instruction.

9. FORMS/REPORTS. None.

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Vice Admiral, U.S. Coast Guard  
Vice Commandant

Enclosure: USCG Leadership Roles & Responsibilities Matrix

## USCG Leadership Roles and Responsibilities

USCG Executive Decision-Making	CCG/VCG	DCO	AREAS	DCMS	CG-8
•USCG Roles & Missions	A	C	C	C	C
•USCG Enterprise Strategies	A				
○ Mission Strategies; Concepts of Operations		R	C	C	C
○ Operational and Campaign Plans		C	R	C	I
○ Acquisition & Mission Support Strategies		C	C	R	C
○ CIP; Resource Allocation Plan; FYHSP		C	C	C	R
•USCG Organization & Force Structure	A				
○ Operational Programs; Mission Needs		R	C	C	C
○ Operational Command & Control		C	R	C	I
○ Support Programs; Support Needs		C	C	R	C
○ Organization Modification Request Process		C	C	C	R
•USCG Enterprise Accountability & External Relations	A				
○ Strategic Program/Mission Performance		R	C	C	I
○ International Affairs & Foreign Policy (DCO-I)		R	C	I	I
○ Intelligence Community		R	C	I	I
○ Joint Commands & Task Forces		C	R	C	I
○ Local Partnerships		C	R	C	I
○ Acquisition, Human Resource & Mission Support Performance		C	C	R	C
○ Joint Support Arrangements & Partnerships		C	C	R	I
○ Financial Controls & Accountability		C	C	C	R
○ Budget Defense		C	C	C	R
○ Governmental & Public Affairs (CG-092)	R	C	C	C	C

**Key:**   **A**   Accountable (includes Responsible if no other R is assigned)  
**A**   CCG/VCG overall accountability for delegated authority  
**R**   Responsible – Owner of the function; responsible for action and implementation; can be shared  
**C**   Consult – Provides input, registers objections, and influences the decision prior to the final decision or action  
**I**   Informed – Entity that needs to be informed after a decision or action is taken; may be required to take action

## USCG Leadership Roles and Responsibilities

### USCG Strategic Mission Management    CCG/VCG    DCO    AREAS    DCMS    CG-8

• Strategic Assessment & FYHSP Program Evaluation	A	A	C	C	I
• Intelligence Activities & Management	A	A	C	I	I
• FYHSP Program & Strategic Planning Direction	A	A	C	C	C
• FYHSP Program Policy & Strategy Formation	A	A	C	C	I
• FYHSP Program Plans & Operational Resource Allocation	A	A	C	C	C
• FYHSP Program, Mission & Stakeholder Management	A	A	C	I	I
• FYHSP Program Performance Reporting	A	A	C	I	C

### USCG Mission Execution    CCG/VCG    DCO    AREAS    DCMS    CG-8

• Operational & Tactical Assessment	A	C	A	C	I
• Operational Planning	A	C	A	C	I
• Operational Plans, Orders & Direction	A	C	A	C	I
• Operational & Tactical Command, Control & Execution	A	I	A	I	I
• Operational Reporting	A	I	A	I	I

### USCG Mission Support    CCG/VCG    DCO    AREAS    DCMS    CG-8

• Human Resources	A	C	C	A	C
• Engineering & Logistics	A	C	C	A	C
• Communications, Computers & Information Technology	A	C	C	A	C
• Procurement, Acquisitions, Construction & Improvements	A	C	C	A	C
• Research, Development, Testing & Evaluation	A	C	C	A	C
• Training & Recruiting	A	C	C	A	C

### USCG Financial Management    CCG/VCG    DCO    AREAS    DCMS    CG-8

• Financial Accounting & Reporting	A	I	I	I	A
• Internal Controls	A	C	C	C	A
• Budget Development and Defense	A	C	C	C	A
• Budget Execution	A	C	C	C	A

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