



Commandant  
United States Coast Guard

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COMDTCHANGE NOTE 5400  
27 JAN 2015

COMMANDANT CHANGE NOTICE 5400

Subj: CH-1 TO COAST GUARD ORGANIZATIONAL MANUAL, COMDTINST M5400.7F

1. PURPOSE. This Commandant Change Notice publishes a change to COAST GUARD ORGANIZATIONAL MANUAL, COMDTINST M5400.7F.
2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Commandant Change Notice. Internet release is authorized.
3. DIRECTIVES AFFECTED. With the addition of this Commandant Change Notice, COAST GUARD ORGANIZATIONAL MANUAL COMDTINST M5400.7F is updated.
4. 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.
5. MAJOR CHANGES. Updated all links to Commandant (CG-81) approved organizational charts and functional statement repository on the CG Portal.
6. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.
  - a. The development of this Commandant Change Notice and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG 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). Because this Commandant Change Notice contains guidance on, and provisions for,

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compliance with applicable environmental mandates, Coast Guard categorical exclusion #33 is appropriate.

- 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 Commandant Change Notice 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 this Commandant Change Notice, 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 Commandant Change Notice.
7. DISTRUBUTION. No paper distribution will be made of this Commandant Change Notice. 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>.
8. PROCEDURE. To properly maintain your paper library, remove and replace the following pages of COAST GUARD ORGANIZATIONAL MANUAL, COMDTINST M5400.7F:

<u>Remove</u>	<u>Replace</u>
Page 2-1	Page 2-1
Page 3-1	Page 3-1
Page 3-4 – Page 3-6	Page 3-4 – Page 3-6

9. RECORDS MANAGEMENT CONSIDERATIONS. This Commandant Change Notice has been evaluated for potential records management impacts. The development of this Commandant Change Notice 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., National Archives and Records Administration (NARA) requirements, and the 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.
10. FORMS/REPORTS. None.

11. REQUEST FOR CHANGES. Recommendations for changes to this manual may be submitted to Commandant (CG-81) via First Class mail to:

US Coast Guard Stop 7618  
2703 Martin Luther King Jr Ave SE  
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T. A. SOKALZUK /s/  
Rear Admiral, U.S. Coast Guard  
Assistant Commandant for Resources



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COMDTINST M5400.7F  
16 MAY 2012

COMMANDANT INSTRUCTION M5400.7F

Subj: COAST GUARD ORGANIZATION MANUAL

- Ref: (a) Information and Life Cycle Management Manual, COMDTINST M5212.12 (series)  
 (b) Operating Facility Change Orders (OFCO) Procedures, COMDTINST M5440.3 (series)  
 (c) Boat Operations and Training (Boat) Manual, Volume 1, COMDTINST M16114.32 (series)  
 (d) Field Planning for Shore Infrastructure Planning Manual, COMDTINST M11000.17 (series)

1. PURPOSE. This Manual prescribes the pattern of organization for the United States Coast Guard and fixes the areas of responsibility which the Commandant has assigned to subordinate components. The provisions and requirements of this Manual are mandatory. This Manual assigns to various components of the organization those functions which must be performed in order to attain the overall objectives of the Coast Guard. It describes policies and principles of Coast Guard organization, prescribes various levels and standard structures for organizations, and outlines procedures for establishing or modifying existing organizations.

2. ACTION.

- a. All Coast Guard unit commanders, commanding officers, officers-in-charge, directors of civilian led units, deputy and assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this Manual. Internet release is authorized.
- b. The Office of Planning and Performance, Commandant (CG-81) is the lead staff component and manager of the Organization Modification Request (OMR) process. Commandant (CG-81) will maintain all official organization documentation and maintain the electronic organization chart / functional statement repository. Requests to change organizational structure, functions, or

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conduct pilot studies shall be submitted to Commandant (CG-81) for action as described in Chapter 3 of this manual. Commandant (CG-81) shall ensure all records created as a result of processes prescribed in this directive are maintained and disposed of in accordance with reference (a).

3. DIRECTIVES AFFECTED. The Coast Guard Organization Manual, COMDTINST M5400.7E is cancelled.
4. DISCUSSION. Previous editions of the Coast Guard Organization Manual contained all official organization charts, functional statements, organizational policy, and procedures governing organizational changes in one all inclusive paper based manual. Approved changes to organizational structure and functions outpaced the ability to accurately and consistently incorporate organizational and/or functional changes to the paper based manual. This inconsistency resulted in outdated and obsolete data which impedes the ability of Coast Guard managers to review their current organizations and functions with confidence.

Due to the inability to accurately see and understand specific pieces of their individual organizations or their organizations as a whole, Coast Guard managers seeking organization and functional modifications have had to rely on information passed down by their predecessors, use outdated materials including obsolete versions of existing organization charts and/or Personnel Allowance Lists (PAL), or rely on in-house organization charts, billet maps, and functional statements. Organizational configuration control and consistency, plus functional accountability, are at risk of being lost, which often results in reduced productivity, rework, and unnecessary duplication of effort.

5. MAJOR CHANGES.
  - a. Chapter 1 has been rewritten to reflect the policies and principles governing the organization of the Coast Guard.
  - b. Chapter 2 describes standard levels of Coast Guard organization, staffs, field unit organizations, and formal command elements of the Coast Guard.
  - c. Chapter 3 prescribes the submission and approving authority levels for requests to modify existing organizational structures and/or functions; plus the methodology and necessary steps for requesting organizational and functional modifications including conducting pilot studies. A standardized OMR template which includes direction for creating current state and future state organization charts, billet maps, and functional statements for requesting changes can be accessed at [\\hqs-nas-t-001\CG-8\CG-81\CG-811\ApprovedOrgCharts\\_FunctionalStatements\WebSite\Overview.htm](\\hqs-nas-t-001\CG-8\CG-81\CG-811\ApprovedOrgCharts_FunctionalStatements\WebSite\Overview.htm)
  - d. This edition of the Coast Guard Organization Manual reflects approved organization and functional changes on record.
  - e. This update will leverage existing technology by presenting standardized organization models along with authorized deviations, organization charts, and functional statements for Coast Guard Headquarters and subordinate components via the Coast Guard Intranet. It separates the paper

based organization charts and functional statements by placing those documents in a repository which will remain on file within Commandant (CG-81) allowing for universal electronic retrieval. The organization charts and functional statements on file with Commandant (CG-81) are considered official and will serve as the baseline when requesting organizational modifications.

- f. Maintaining organizational information in an electronic database provides the Service with opportunities to expand its on-going knowledge management efforts by providing an enhanced collaborative environment to review and modify organizational structure and functions.
- g. No paper distribution of official organization charts or functional statements associated with this update will be made. An electronic version of official organization charts and functional statements, accompanied by the current/most recent signed approval document may be retrieved by using the following hyperlink: [\\hqs-nas-t-001\CG-8\CG-81\CG-811\ApprovedOrgCharts\\_FunctionalStatements\WebSite\Overview.htm](\\hqs-nas-t-001\CG-8\CG-81\CG-811\ApprovedOrgCharts_FunctionalStatements\WebSite\Overview.htm).

- 6. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS. Environmental considerations were examined in the development of this Manual and have been determined not to be applicable.
- 7. FORMS/REPORTS. None

Sally Brice-O'Hara /s/  
Vice Admiral, U. S. Coast Guard  
Vice Commandant



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## CHAPTER 1. POLICIES AND PRINCIPLES GOVERNING THE ORGANIZATION OF THE COAST GUARD

### A. Policy.

1. General. As a military Service, the Coast Guard's organizational structure is inherently hierarchical in nature. The hierarchical structure in and of itself does not prevent the Service from achieving horizontal integration among the various components and the use of matrix structures to ensure processes and functions are aligned and managed in order to be both effective and efficient. Organizational structure (which is functionally aligned both vertically and horizontally) fosters collaborative environments which allow people to work towards achieving organization goals. Without a sound purpose and analytical rigor, organizational change puts an organization at risk and in danger of underachieving, under performing, and using time and resources ineffectively. The balance between organizational change and organizational stagnation must be continually reviewed and calibrated against changing internal and external environments. This balance remains a fundamental characteristic of all organizations. The policies, requirements, and procedures within this Manual seek to first establish and then maintain this critical balance.
2. Flexibility. Identifying a solid starting point from where Coast Guard managers can begin to review their organizations for change enhances flexibility. Organizational flexibility does not mean Coast Guard managers at any level of the organization have unlimited latitude to implement organizational changes without obtaining proper approval. Ad-hoc changes without proper review and analysis dilute organizational effectiveness by creating the potential for confusion among other elements of the organization, overlapping functional responsibility, and ultimately impacting billet placement and personnel assignments.
3. Transparency and Documentation. Organizational structure and functional alignment must remain transparent and well documented. Lack of documentation impedes the ability of an organization to track progress and make necessary adjustments should they be required. Obtaining the proper signature level prior to submitting an OMR, thoroughly vetting the requested changes among internal stakeholders, and then receiving final approval provides the Service with organizational internal controls which strengthen outcome goals and lay the groundwork for effective evaluation of organizational change.
4. Organizational Consistency. In order to establish and maintain organizational configuration control and consistency without reducing flexibility and to provide for functional accountability, Coast Guard managers shall comply with the policies, procedures, and guidance found within this Manual. This Manual ensures the Coast Guard's ability to maintain organizational configuration control within the Coast Guard Business Intelligence (CGBI) framework and other centralized systems across the Coast Guard enterprise.

## B. Definitions.

1. Organization. A defined organizational structure which provides the basic framework that in turn integrates the basic components of functions and people assigned to perform them, best arranged for the specific purpose of carrying out Coast Guard missions. Organizations have these characteristics: a clear-cut purpose, goal and scope, with one individual in charge, parts that form a logical, separable activity; a close relationship among the parts, constituting a complete entity; and natural divisions of work that clearly define where responsibility begins and ends. A healthy organization establishes and maintains proper relationships between personnel, functions, and assorted material considerations in order to effectively and efficiently accomplish those objectives that clearly and unambiguously support the organization's mission.
2. Command. The authority vested, either by rank or assignment, to a Commander, Commanding Officer, or Officer in Charge for the lawful direction, coordination and independent control of Coast Guard assets. Command includes the authority and responsibility for effectively using available resources and organizing, directing, coordinating, controlling, and planning the employment of forces for the accomplishment of assigned missions. It also includes responsibility for the health, welfare, morale, and discipline of assigned personnel.
3. Chain of Command. The succession of commanding officers from a superior to a subordinate through which command is exercised.
4. Unit. A military organization established as directed by Coast Guard Headquarters. A unit possesses a unique OPFAC number.
  - a. Parent Unit. A unit that directly oversees subordinate units, detachments, and operating locations assigned to it. Parent units possess a unique OPFAC number.
  - b. Subordinate Unit. A unit under the command and control of a parent unit that performs all or part of the missions of the parent unit to which it reports. The unit reports to the commander of the parent unit and has the authority to execute its missions. A subordinate unit may be co-located with its parent unit or may be geographically separated. Subordinate units possess a unique OPFAC number.
  - c. Detached Unit (Detachment). A unit serving away from its parent unit that performs a defined segment of the parent unit's mission to which it is assigned. The detached unit reports to the commander of the parent organization and has the authority to execute its assigned missions as directed by the parent organization. Detached units possess a unique OPFAC number.
5. Operating Location (OL). Part of a unit that is geographically separated from its parent unit and is used to only account for personnel by location. Personnel remain assigned to the parent unit, but may be part of a geographically distributed workforce in another location. An OL has none of the administrative attributes and responsibilities of a unit, e.g. budget, property and audit reporting. These responsibilities remain with the parent command. Operating locations do not

possess a unique OPFAC number, but instead will be identified through an OPFAC-modifier. An OL will receive a unique Department Identification number in Direct Access which ties it organizationally to the parent command.

6. Administrative Support. Administrative Support is the specific support one unit provides to another under the terms of a formal or informal agreement such as a Memorandum of Agreement (MOA) or when support is received by another federal agency via an Inter-Service Support Agreement (ISA). Administrative Support can be provided and received among units at a variety of command levels regardless of their organizational relationships.
7. Technical Control. The responsibility of a designated Deputy Commandant or Assistant Commandant for coordinating policy and providing for the overall management of a specific Headquarters unit. Technical Control includes planning, programming and budgeting for resources; provision of mission and / or support policy, doctrine and procedures; and evaluation of mission and or support performance. Technical control is delegated from the Commandant (CCG) to Deputy Commandants and Assistant Commandants. The Commandant exercises direct line authority over each Headquarters Unit. Only one Assistant Commandant shall be designated to exercise technical control over each Headquarters unit, regardless of the number of Service wide support functions performed by that unit.
8. Technical Authority. The authority, responsibility, and accountability to establish, monitor, and approve policies, technical standards, tools, procedures and processes in conformance with higher level policy, requirements, architectures, and standards. Technical Authority is vested in an individual position of authority and not an organization. Technical Authority may be delegated to a subordinate. This delegation must be documented in writing and kept up to date. Technical Authority is about governance of a specific enterprise business line responsibility, e.g. the Chief Financial Officer (CFO) technical authority over budget, finance and internal controls, the Head of Contracting (HCA) technical authority over contracting, or the Chief Information Officer (CIO) technical authority over Enterprise Architecture configuration management. Technical Authority should not be confused with Technical Control which applies to the organizational relationship between a Headquarters Unit and the Deputy Commandant or Assistant Commandant to which a Headquarters Unit reports.
9. Functional Statements (Functions). The basic description of an organization's assigned responsibility to achieve an outcome. Assignment of functions to an organization provides the individual leader of that particular organization the authority necessary to oversee and manage the functions and responsibility of that organization subject to the reservation of authority, restrictions, and controls as articulated by superiors.
10. Echelon. A separate level of command (e.g. compared to a Sector Command, a District Command is a higher echelon and a Coast Guard Station is a lower echelon).
11. Supervisory Ratios. The number of formal supervisors directing subordinates in order to accomplish the missions and functions assigned to an organization. See Chapter 3.H on how to apply supervisory ratios.

### C. Organizational Principles.

1. Unity of Command. An individual should be directly responsible to only one senior.
2. Organizational Integrity. In order to maintain organizational integrity and efficiency, a function cannot be efficiently assigned to more than one organization. Overlapping functions and functional responsibility cause unnecessary coordination, conflict, confusion, delay, and resource allocation.
3. Span of Control. The appropriate span of control of an organization is a function of the type of work performed in the organization, the degree of complexity of the work, and the level of responsibility involved. An organization should be structured so that the number of organizational components reporting to a superior does not exceed the number which that superior can effectively coordinate and direct. Conversely, the span of control should not be so narrow that there is excessive organizational layering.
4. Delegation of Authority. An organization functions best when the authority to make decisions is placed as close as possible to the point where a service is performed. This reduces levels of review, conserves staff time, and reduces the possibility of delay in decision making. Commanders, Commanding Officers, Officers in Charge, and management officials at Headquarters and in the field should periodically review (every two years) the specific extent of delegated authority within their commands or assigned areas. Where additional delegation of authority to subordinates is warranted, it is incumbent on the Commanders, Commanding Officers, and managers to initiate those delegations. Delegate authority in writing, to an organizational title or position (as opposed to an individual except when it is specified in law or regulation), specifically stating any restrictions or conditions, such as the type of action which requires higher level approval. Copies of letters or documents delegating authority should be kept on file with the organization which approves that delegation and be readily available for reference if so requested.

## CHAPTER 2. GENERAL PATTERN AND STANDARD LEVELS OF COAST GUARD ORGANIZATION

- A. General Pattern of Coast Guard Organization. The basic organization pattern of the Coast Guard reflects an assignment of military command and control with mission execution, mission support, and administrative responsibility and authority among components in Coast Guard Headquarters, Areas, Districts, individual mission execution, and mission support units in the field. The organization charts showing the general pattern of Coast Guard organization can be found at: <https://cglink.uscg.mil/b15f9c78>.
- B. Standard levels of Coast Guard Organization.
1. Coast Guard Headquarters. The senior most organizational level for the Service which consists of the Commandant, the Vice Commandant and supporting staffs. Deputy Commandants, Assistant Commandants, Headquarters Directorates serve as subordinate staffs within Coast Guard Headquarters. Coast Guard Headquarters holds a unique Operating Facility Address Code (OPFAC) number. The Commandant reports to the Secretary of Homeland Security. When operating under the Department of the Navy, the Commandant reports to the Secretary of the Navy as directed by proper authority. Headquarters functions include and should be generally limited to:
    - a. Development and promulgation of policy;
    - b. Ensure Service level compliance with statute and policy;
    - c. Development and promulgation of performance goals and standards;
    - d. Development and promulgation of Service level strategy and associated plans;
    - e. Development and promulgation of resource management plans and budgets;
    - f. Development and promulgation of legislation, commercial standards, and regulations;
    - g. Conduct national Service level external liaisons; and
    - h. Major and non-major acquisition related activities.
  2. Major Commands. Command echelons that consist of the Atlantic and Pacific Area Commands, District Offices, and Coast Guard Force Readiness Command. The Atlantic and Pacific Area Commanders are directly subordinate and report to the Vice Commandant. District Offices are directly subordinate to the Area Commanders and Coast Guard Force Readiness Command is directly subordinate to the Deputy Commandant for Mission Support.

3. Sector Command. A standard command echelon responsible for command and control of subordinate units and detachments such as Coast Guard stations, some cutters, Marine Safety Units (MSU), Marine Safety Detachments (MSD), Aids to Navigation Teams (ANT), Sector Field Offices (SFO), and in a few specifically designated instances, air stations. Sector Commands have the responsibility for providing direction, organic support, and coordination for the missions performed by assigned subordinate units. Sector commands are subordinate to District Offices.
4. Headquarters Unit. Individual commands within the Coast Guard which are directly under the Technical Control of a Coast Guard Headquarters level functional manager. The Headquarters functional manager for an individual Headquarters Unit is the Headquarters' Assistant Commandant or Director who exercises Technical Authority (enterprise business line) for the program in question. Headquarters Units perform specific activities beyond the scope of Coast Guard Headquarters or Coast Guard major commands and have the responsibility of providing support services for the Coast Guard as described within their approved functional portfolio. Some Headquarters Units may have subordinate units assigned. The Commandant exercises direct line authority over Headquarters Units. Headquarters Units possess unique OPFAC numbers. Examples of Headquarters Units include the Finance Center, Mission Support Logistics and Service Centers, Legal Services Command, National Maritime Center, and the Coast Guard Academy.
5. Unit. A separately identified Coast Guard organizational entity, under a duly assigned commander, commanding officer, officer-in-charge, or civilian led (in approved circumstances) which is provided with personnel and material for the performance of a prescribed mission. A field unit possesses a unique OPFAC number. Examples include but are not limited to Coast Guard Stations, Sectors, Bases, Cutters, Air Stations, and Helicopter Interdiction Tactical Squadron (HITRON).
6. Training Centers. Training Centers are considered units and are subordinate to the Coast Guard Force Readiness Command with the exception of the Coast Guard Academy which remains a Headquarters Unit. Examples include: Training Center Cape May, Training Center Petaluma, and Training Center Yorktown.
7. Detached Unit (Detachment). A separately identified segment of a Coast Guard parent unit that possesses a unique OPFAC, and:
  - a. Which is geographically separated from a unit;
  - b. The essential character and mission of a particular detachment performs a defined segment of the parent unit's functional portfolio;
  - c. The detachment is appropriately staffed and generally should have a minimum of seven billets of which one is the supervisor. Requests for smaller detachments will be reviewed in the context of the unit/staff element to which it reports and the scope of the proposed functions assigned.

If a proposed detachment falls below seven billet threshold, detached duty should be considered. Examples of Detachments include Marine Safety Detachments (MSD), Industrial Production Detachments (IPD), and Electronic Support Detachments (ESD).

- 1) Detachments from detachments are not authorized. If this situation arises, Coast Guard managers should look at formulating teams or labeling billets as detached duty.
- 2) Detachments can be supervised by officer or enlisted personnel, or may be civilian led (in approved circumstances) as designated by the parent command. The person designated to lead the detachment will hold the title of Supervisor. No other titles are authorized with the exception of final civilian billet titles as determined by Commandant (CG-121). The authority of a supervisor at a detachment and that of a commanding officer or officer in charge of a unit are not the same. Refer to U.S. Coast Guard Regulations COMDTINST M5000.3 (series) for specific information outlining the Commanding Officer and Officer in Charge responsibilities and authorities.

### C. Standard Levels of Coast Guard Staffs.

1. Definition. A staff is a completely organized, informative, advisory, and supervisory group which assists in the administration of Headquarters, major commands, training centers, units, or offices by providing technical advice in an assigned area. Staff elements normally do not possess line authority or responsibility. Not all units will have staff level organizations. Examples of "staffs" include: Headquarters Staff, Area Command Staff, Director of Operational Logistics Staff, District Office Staff, and Sector Intelligence Staffs.
2. Staff Levels: Headquarters and Major Commands.
  - a. Chief of Staff.
    - 1) At Areas, District Offices, and FORCECOM, the title held by the officer assigned to oversee the activities and functions assigned to an Area, District, or FORCECOM subordinate staffs for the purposes of coordinating work as directed by the Area Commander, District Commander, or the FORCECOM Commander.
    - 2) No other organizational level or command is authorized to use the Chief of Staff designation.
  - b. Deputy Commandant. A senior staff officer holding the rank of Vice Admiral who oversees and supervises the Assistant Commandants, Directorates, and staffs assigned directly under their control. Deputy Commandants report directly to the Vice Commandant. This level is only authorized at CG Headquarters.
  - c. Assistant Commandant. A senior staff officer holding the rank of Rear Admiral, Rear Admiral Lower Half, or a Senior Executive Service employee who oversees and supervises Directorates and Office Chiefs assigned directly under their control. Assistant Commandants

report to a Deputy Commandant except in those cases where an Assistant Commandant may report directly to the Vice Commandant. This level is only authorized at CG Headquarters.

- d. Directorate. A staff led by a senior officer holding the rank of Rear Admiral, Rear Admiral Lower Half, or a Senior Executive Service employee reporting directly to the Commandant, Vice Commandant, a Deputy Commandant, or Assistant Commandant who is assigned to oversee and manage the subordinate staffs within their prescribed organization. In some cases at the Headquarters level, a directorate may be led by a Captain (O6) or a GS-15 if so approved and assigned by higher authority. This level is only authorized at CG Headquarters.
- e. Office. A completely organized staff level, led by an Office Chief normally assigned below the Deputy Commandant, Assistant Commandant, or Directorate levels which perform specific functions assigned to the office. This level is only authorized at CG Headquarters.
- f. Division. A completely organized staff level, led by a Division Chief whose purpose is to perform specific functions in support of the Office level.
- g. Branch. A normally assigned staff element led by a Branch Chief at Headquarters and major commands whose purpose is to support the Division Level. The Branch level should only be considered if the Branch will perform functions that are technical in nature, highly specialized, or if the workload and/or the span of control are too large to effectively be carried out at the Division level.

D. Standard Levels of Headquarters Units / Field Unit Organizations.

- 1. Headquarters Units and Field Unit organizations may vary depending on the size and scope of assigned mission sets and functions. Generally, the following levels can all be used if there are sufficient numbers of billets assigned to any particular Headquarters Unit or Field Unit organization.
  - a. Command Level. The senior most level of an individual Headquarters Unit or Field Unit comprising of the Commanding / Executive Officer or a Civilian Director / Deputy Director and immediate staff elements.
  - b. Department. The level directly below the command level responsible for the overall management and performance of a specific department. Not all Headquarters Units or Field Unit organizations may have this level. In these cases, the division level resides at the department level directly below and reporting to the command level.
  - c. Division. The level directly below the department level responsible for the management and performance of the division which supports the command level or department level in cases where the department level exists.

- d. Branch. The level directly below the division level responsible for the management and performance of the branch which support the functions of the division. Normally, the branch level is established to perform specific portions of a division's overall functional portfolio.
- e. Section. The level directly below the branch level responsible for the management and performance of the section, which support the functions of the branch. Sections should only be established if there are sufficient billets, if they perform technically, highly specialized work, or if the supervisory ratio of the branch exceeds 1:15.
- f. If any further subdivision is required, the preferred approach should be establishing formal or informal teams.

E. Standard Elements of Coast Guard Command.

1. The following terms describe formal elements of Coast Guard command below the Commandant (who retains overall command and control over the Service):
  - a. Commander. A commissioned officer, who occupies a position of command, is duly assigned to this position pursuant to official orders, whose command authority covers multiple major commands and/or field units.
  - b. Commanding Officer. A commissioned officer or Chief Warrant Officer, who occupies a position of command, is duly assigned to this position pursuant to official orders, whose command authority covers an individual unit.
  - c. Officer-in-Charge. A senior enlisted who holds the rank of Master Chief, Senior Chief, Chief, or First Class Petty Officer, who occupies a position of authority, is duly assigned to this position pursuant to official orders, whose authority covers an individual unit.
2. The designations above will be used for all Coast Guard units except for:
  - a. The Coast Guard Academy is commanded by a Superintendent.
  - b. Civilian Led Units. A civilian assigned to lead a unit, at or above the Headquarters Unit level, will hold the title of Director of that unit. The civilian Director will not have the Commander, Commanding Officer, or Officer-in-Charge designation or title. An example of a civilian led unit is the National Pollution Funds Center (NPFC).
    - 1) A civilian Director will provide supervision to military and civilian personnel within the unit. The military chain of command, for reasons cited below, is maintained by the first military unit commander/commanding officer above the Director.

- 2) A civilian director of a unit is authorized to perform all functions normally performed by a unit commanding officer, except for those duties of a commanding officer that can only be performed by a member of the armed forces. Specifically, a civilian director cannot issue orders enforceable under Article 92 of the Uniform code of Military Justice (UCMJ), cannot convene courts-martial, and cannot impose nonjudicial punishment under Article 15 of the UCMJ. Units designated to be led by a civilian director will have alternative arrangements for functions which would normally be performed by a military commander or commanding officer (e.g. delegating Commanding Officer of Military Personnel to the highest ranking Coast Guard officer within the respective organization). This delegation must be obtained in writing with approval from the civilian led organization's chain of command. Prior designation of a successor to leadership of a civilian led unit should be made and documented in case the civilian leader is incapacitated.
- 3) A civilian assigned to lead a unit below the Headquarters Unit level will be designated as a supervisor. A civilian supervisor can direct the day to day work and functions associated with that particular organization except for those duties of a commanding officer that can only be performed by a member of the armed forces.
- 4) All civilian supervisory positions are subject to final position description classification as directed by Commandant (CG-121).

## CHAPTER 3. ORGANIZATION MODIFICATION REQUESTS (OMR) GUIDANCE AND PROCEDURES

- A. Changes to Coast Guard Organization. Establishing, disestablishing, re-designating, relocating, or changing a unit name, including changing existing organizational structures, functions, and billets must be analyzed within the context of how proposed changes impact other parts of the organization, centralized systems, and the ability of the organization to accomplish their prescribed functions. As a multi-faceted Service, a change to one organization may impact the configuration and/or functions of another. Flexibility across the enterprise is enhanced when proposed changes to existing organizations are thoroughly vetted by interested stakeholders based on a sound proposal.
1. General Provisions. All existing Coast Guard organizations must have formal authority as outlined in Figure (3-1) to establish, disestablish, re-designate, relocate, change a unit's name, modify their organization, or vary from any policy, procedure, or standard organization described in this Manual.
    - a. A variation includes any change from the approved organizational structure, addition, deletion, merger, or shift of functions which can be found at: <https://cglink.uscg.mil/b15f9c78>.
    - b. An OMR is not required for units and/or organizational elements disestablished as a result of a budget initiative, nor required when organizational impacts have been addressed as part of actions approved as a result of a Commercial Services Management study. Changes to existing organization charts and functions will be made upon release of an approved OFCO, should an OFCO be required. If a segment of an existing organization is disestablished due to a budget initiative or an approved Commercial Service Management study, an OMR may be required if the remaining organizational configuration of that particular unit will change or functions shift to other parts of the organization. Contact Commandant (CG-81) should this occur. If union notification is required as determined by Commandant (CG-121), the implementation date will be coordinated between the impacted organizations and Commandant (CG-121).
    - c. An OMR should not be submitted to alleviate issues arising from individual personnel problems or issues that can otherwise be handled at the command level.
    - d. The OMR must be submitted via the originator's chain of command to Commandant (CG-81). OMR submissions that have billet reprogramming implications must arrive at Commandant (CG-81) not later than the third Monday in May in order to finalize decisions impacting personnel assignments the following year. For example, the originator submits a package by the established deadline - May 2011. Billet reprogramming actions can then be thoroughly reviewed and finalized for assignment year 2012. OMR packages received after the established deadline may not be completed in time to update the PAL which is necessary for the Personnel Service Center to confidently coordinate officer assignment panels, enlisted billet shopping lists, contact prospective candidates, and issue permanent change of orders in a timely manner.

- e. The OMR must include a favorable endorsement from the originator's respective Resource Management Office and/or their Workforce Management Staff (if separate from the Resource Management Office). The originator's Resource Management Office must confer with other Resource Management Offices whose resources and/or functions may be impacted by the originator's request in order to minimize delays which may arise during the clearance process. Commandant (CG-121) must be consulted early in the originating process to ensure civilian personnel issues are addressed.
- f. The OMR must have the appropriate submission signature per figure (3-1). If the OMR is signed by another in an "Acting" capacity, or "By direction" if so delegated, the submitter is responsible for ensuring principals within their organizations are aware that an OMR has been submitted and the specifics of the proposed changes.
- g. All originators of an OMR must confer with Commandant (CG-47) Office of Environmental Management to insure all National Environmental Policy Act (NEPA) requirements have been fulfilled. This action should occur during the originator's planning phase if an OMR is being considered.
- h. Commandant (CG-81) shall circulate the OMR to all stakeholders via concurrent clearance, lead any reconciliation efforts, and upon approval or disapproval disseminate the appropriate documentation. Upon approval of an OMR, Commandant (CG-81) will update organization charts and functional statements and make them ready for electronic retrieval.
- i. The Semi-Annual Reprogramming Review (SARR), SARR Waivers, and the Personnel Allowance List (PAL) Clean-up processes shall not be used to supplant the OMR process. The SARR, SARR Waiver, and PAL Clean-up processes focus on individual billet reprogramming actions while the OMR process focuses on organizational changes which may include billet changes. Billet changes submitted within an OMR are restricted from current SARR, SARR Waivers, and PAL Clean-up. This reduces the possibility of a billet reprogrammed under one initiative being undone by another. For information concerning the SARR, SARR Waiver, and PAL Clean-Up process contact Commandant (CG-833).

**B. Submission and Approval Authority for Organization Modification Requests (OMR).**

1. OMR Submissions. OMR submissions are most often generated due to resource management decisions, results of management studies, specific operational needs, or senior leadership initiatives. All approved OMR packages are executed through various centralized systems which include, but are not limited to, the Personnel Allowance List (PAL), AFC-01, AFC-08, AFC-20 account managers, PSC (opm/epm), and Commandant (CG-121). Table 3-1 describes the various OMR types and establishes the OMR submission signature levels.
2. OMR Approval Authority. The Vice Commandant (VCG) is the owner of the Coast Guard's organization. In order to improve cycle time, OMR approval is delegated as indicated in Table 3-1. From time to time, due to the size, scope, political sensitivity, or potential for external scrutiny, an OMR may require higher level approval than indicated in Table 3-1. In those cases,

as determined by Commandant (CG-81) through the Assistant Commandant for Resources (CG-8), and the originator, final approval authority will be at the VCG or CCG level as appropriate.

**Table 3-1:**

OMR Type	OMR Submission Signature Level	OMR Approval Level
Establishment or disestablishment of shore units, including Headquarters Units, Change to unit name	Flag/SES	VCG or CCG
Commission / Decommission Cutters, cutter change of homeport <sup>1</sup>	Deputy Commandant	VCG or CCG
Organization changes or major functional shifts across Deputy / Assistant Commandants, subordinate Directorate Levels, Areas, FORCECOM, or District Offices	Flag/SES	VCG
Organization changes or functional shifts within a respective Deputy / Assistant Commandants, subordinate Directorate Levels, Areas, FORCECOM, or District Offices	Flag / SES / Director /CoS <sup>2</sup>	CG-8
CG Headquarters: Office, Division, Branch, or staff level organizational changes and/or functional shifts	Office Chief	CG-81
Within Headquarters Units, Logistics and Service Centers, other Field Commands (e.g. Sectors, Training Centers, Bases), Staff, Department, Division, or Branch levels including cross department, divisional or branch functional shifts	CO or Director	CG-81
Testing New Organizational Constructs: (Pilot program, e.g. Sector, Air Stations, Training Center, etc.)	Flag / SES	VCG

Note 1: Cutter commissioning and decommissioning are budget related actions normally accomplished through the budget process and do not require an OMR. Changing a cutter's homeport may from time to time necessitate an OMR. Contact CG-81 during the change of homeport planning stages for guidance.

Note 2: Chief of Staff at Areas, District Offices, and FORCECOM

3. Planning Proposals (PP) /Decision Memo for Shore Infrastructure (DMSI). Organizational changes which are received as part of a PP or DMSI will be reviewed within the context of the Planning Proposal Process as outlined in reference (d). (Note: Please keep in mind that planning proposals are normally multi-year efforts dependent on budget implications. As specific planning proposals mature, the Commandant (CG-81) will review the final proposal to ensure organizational consistency).

C. Organization Modification Request (OMR) Documentation. A request for an OMR must be submitted in standard memo format and include detailed analysis / answers to the questions listed below. All OMR packages will include as enclosures, current organization charts, proposed organization charts, proposed functional statements, and a billet map, if the OMR is reprogramming billets. The standard OMR memo, organization chart, and functional statements template can be found at: <https://cglink.uscg.mil/b15f9c78>. The OMR template must be used for all submissions. Omitting information or not fully describing the intended outcomes may result in the OMR being returned without action.

1. What is the proposed action? (Be specific: modify an existing organization..., change the name of an existing organization or sub-components, establishment of..., shift in functions from..., to..., a variation to an existing standard organization model, conduct a pilot program for....). The proposed action may involve a combination of several individual actions and all requested changes must be captured in this section.
2. Why is the action needed? What are the expected benefits? (Include and clearly describe the factors driving the requested action, e.g. changes to mission, official policy, or statute. In describing expected benefits, identify improvements, examples of increased capability, etc. Generalized statements such as, "...increases mission capability," or "...denial may have detrimental impacts to the unit..." without substantiation is not adequate justification).
3. What was the existing organizational structure set up to do?
4. How does the proposed organizational structure and nomenclature compare to the standard structures and nomenclature?
5. What are the impacts on other organizations (e.g. Districts, Areas, FORCECOM, Logistics or Service Centers, etc)?
6. If proposing a major change to an existing unit, what other similar units are affected? (e.g. Sectors, Air Stations, etc.)
7. What is the cost of the request in terms of dollars and other resources? If the request cannot be funded from within the originator's existing base, what are the funding plans? (If funding is required the funding source(s) should be identified in this paragraph).
8. Are there any bargaining unit billets which may necessitate union notification and/or bargaining? (Consult with Commandant (CG-121) to assess the proposed changes).
9. Have all NEPA requirements been fulfilled?
10. How many total billets, both military and civilian are being submitted as part of this OMR?

D. Organization Charts. All OMR submissions must include the existing organization chart (unless a new organization is being requested where there is not currently an existing organization or the OMR is just adding, deleting, or shifting functions) and a proposed organization chart depicting the requested changes. The proposed organization charts must follow the format found in the OMR template link. If the OMR is a request for a new organization for which there are no existing organization charts or functional statements please contact Commandant (CG-81).

1. Organization charts must show the supervisory billet position number (rank or civilian grade), the number of full time positions (FTP) officer, enlisted, and civilian within both the losing and gaining organizations. The current state organizational chart and/or functional statements must be from the last approved organization modification found at: <https://cglink.uscg.mil/b15f9c78>.
2. Do not submit a current state organization chart consisting of “in-house” reorganizations which have been executed at the local level but not officially approved. This wastes valuable staff time reconstructing the originator’s official organization in order to frame the future state changes. If current state organizational charts and/or functional statements do not exist (not all like type units are available) contact Commandant (CG-81).

E. Functional Statements. Generally, changes to an existing organization require changes to functional statements. Well written functional statements are generally one to two sentences and must begin with an action verb (develop, maintain, provide, coordinate, etc). The majority of organizations should be able to describe the functions of that organization within ten to twelve functional statements. Avoid overlapping functions between organizations. Fewer or more functional statements may be used depending on the scope and complexity of the organization’s functions; however, functional statements must not delve into specific tasking which makes up the function. The following applies to all functional statements:

1. They should identify the specific responsibilities of the organizational components;
2. They are required for all formal levels of the organization where a designated supervisor is responsible for accomplishing the function;
3. They describe “the what” and “not the how” the function will be accomplished; and
4. They should identify/capture processes as well as describe intended outcomes and (requisite) performance measures/levels.

F. Functional Responsibilities of all Organizations. The following functions are inherent to all organizations and leadership positions. They do not have to appear repeatedly within an individual organization’s functional statements:

1. Incorporate performance excellence into all activities;
2. Promote the morale, health, and well-being of assigned personnel;

3. Coordinate assigned functions with the functions of other components or key stakeholders;
4. Continually monitor and evaluate internal management practices and take the necessary action to remedy problems;
5. Discharge responsibilities prescribed by Coast Guard Regulations and other orders or directives issued by higher authority;
6. Continually review current functions and ensure whether they are still current, need to be updated, have been transferred to another organization, or are no longer performed. Initiate an Organization Modification Request (OMR) requesting changes to functional statements per Chapter 3 of this manual.

G. Billet Maps. Most OMR packages involve the reprogramming of billets within the existing organization or from one organization to another. Commandant (CG-833) is responsible for executing all billet reprogramming actions associated with an OMR after it is approved and all other requirements have been met. Prior to developing an OMR, the originator should review their current PAL by accessing the Commandant (CG-833) site at: <http://cgbi.osc.uscg.mil/2.0/ePAL/>.

The following information is provided to assist the originator in developing an OMR billet map template:

1. Prior to developing an OMR package the originator must request from Commandant (CG-833) the billet map template with the “current state” side already complete. The originator will need to provide Commandant (CG-833) with the Department Identification Numbers (DEPT ID) for the organization(s) that will be changed. Upon receipt of the billet map template from Commandant (CG-833), the originator should review the information to ensure its accuracy. If there are missing departments and/or billets, the originator should notify Commandant (CG-833).
2. Once the “current state” side of the billet map is complete, the originator can begin completing the “future state” side of the billet map. The originator must complete those items which are being changed in their proposal. Specific items which must be entered are changes to organizational titles which must match the proposed organization titles, billet titles, grade/rank changes, and changes to civilian position grade and series. The originator should be aware that certain fields within the billet map template (i.e. Department Name, Billet Title) are limited to 30 characters, including blank spaces. The originator should also consult and seek guidance from the respective Program Offices/Managers on billet construct, title, grade/rank, and billet functions.
3. If the originator has questions concerning how to complete the “future state” side of the billet map, contact Commandant (CG-833).

- H. Applying Supervisory Ratios. Having too many supervisors causes unnecessary layering which slows critical decision making. Balancing supervisory ratios enhances flattening the organization where it makes sense to do so and pushes critical decision making to the appropriate level. Commandant (CG-81) and Commandant (CG-121) will jointly review additions, deletions, and changes to existing supervisory ratios.
1. Generally, organizations should strive for a minimum supervisory ratio of 1:7 and a maximum of 1:15 wherever and whenever possible. Coast Guard managers should look to avoid organizational constructs where the supervisory ratio drops below 1:4. In those cases where the supervisory ratios drop below 1:4, Coast Guard managers should look to “roll-up functions and billets” to the next higher level within a particular organization.
  2. It is important to realize that civilian supervisory positions are classified in part based on the amount of time an individual spends performing specific supervisory duties. Supervisory duties should not be assigned to a civilian employee whose position description (PD) is not classified as supervisory. Coast Guard managers must be aware of, and adhere to this guidance before adding or removing supervisor designations from both civilian and military positions. Removing supervisory duties may impact the supportability of the position’s current grade level.
- I. Testing New Organizations (Pilot Programs). The purpose of a pilot program or an organization test is to evaluate the proposed organization's effectiveness under actual working conditions and resolve most common problems before committing affected functions, organizational structure, or operations to change. Not all pilot programs will require a change to existing organizational structures, functional statements, or their PAL. Pilot programs can be executed within an existing organization by detailing personnel within the organization. Prior to initiating any pilot program, Headquarters approval is required. The request for a pilot should include:
1. Answers to the questions in paragraph 3.C (items 1-9).
  2. Dates of the test period (not to exceed 1 year).
  3. What performance or outcomes is the pilot looking to improve? A list of metrics which will be used to measure the proposed change must be submitted with the request to conduct a pilot.
  4. Upon completion of the pilot program, the unit will send the results to their respective Headquarters program manager with a copy to Commandant (CG-81) detailing the outcomes achieved and issues / problems identified which remain unresolved. If, upon Headquarters review, the pilot is deemed successful, the unit which conducted the test shall submit an OMR through their chain of command to make the change permanent and applicable to other like units.
  5. Units approved to run a pilot program are restricted from reprogramming billets during the period of the pilot. This will allow the results of the pilot to be reviewed from a stable baseline and the metrics analyzed within the context of expected outcomes and/or improvements.
  6. Pilot programs which also involve bargaining unit (civilian) billets are complicated by temporary changes to civilian duties as a result of the pilot study. In these cases the Service must notify the

union which may lead to bargaining if so requested by the union prior to implementing the pilot. Prior to submitting a pilot project, the originator must consult with Commandant (CG-121) and coordinate bargaining unit billet impacts.

7. Not all pilot programs will involve the reprogramming of billets. Many pilot programs can be done by detailing personnel. If the pilot involves detailing civilian personnel, the originator must consult with their local Command Services Advisor (CSA) and Commandant (CG-121). Approval for detailing civilian employees must be obtained from Commandant (CG-121) prior to taking action on the proposed pilot.
8. Submit pilot program plans for approval at least 120 calendar days before the proposed start of the test to ensure appropriate review by impacted stakeholders. Please note, the proposed start date may be delayed pending any potential union notification and subsequent bargaining should the union so request. In these cases, the proposed start date will be adjusted accordingly. The submission must be signed by the proper level as indicated in Table 3-1. Prior to submitting a request for a pilot, the originator should discuss the test plan with their respective program manager in order to ascertain the feasibility of conducting the pilot and potential impacts across like units should the pilot be deemed successful.

J. Subsequent Documentation. Organizational modifications may require an accompanying OFCO and Congressional Notification letters.

1. Operating Facility Change Orders (OFCO).
  - a. An OFCO is not a policy document nor is it the OMR approval decision document. Approval of an OMR must always precede the release an OFCO.
  - b. The OFCO is an execution document and is the standard means to notify the Administration, the Department of Homeland Security, Congress, and the public when a unit is: established, disestablished, changing names, changing geographic location, or changing the organizational placement of a facility.
  - c. The OFCO directs action to be taken by various components. For changes impacting a Coast Guard organization for which an OFCO may be required, a copy of the approved OMR must accompany the OFCO package submitted for signature. The approved OMR serves as “reference (a)” in the actual OFCO document.
  - d. For further guidance and instances of when an OFCO is required and the OFCO process itself, contact the Personnel Allowance and Staffing Division, Commandant (CG-833) directly.

## 2. Congressional Notifications.

- a. Establishment, disestablishment of units, changes to location of units, unit names, types of units almost always require congressional notification. Commandant (CG-092) will make the final determination as to whether or not congressional notifications are required. OMR originators should contact Commandant (CG-0921) during the planning phase to determine if congressional notifications will be required.
- b. Congressional notifications are most often completed by a letter to applicable members of the Congress. Depending on the type of OMR, Commandant (CG-0921) may coordinate phone calls or personal visits to congressional members in conjunction with the proposed actions. OMR originators should be prepared to support Commandant (CG-0921) as needed.
- c. Congressional notification letters are sent at a minimum to House and Senate Committees and Subcommittee Chairpersons and Ranking Minority Members overseeing the Coast Guard; furthermore, they are sent to House Representatives of impacted congressional districts and members of the Senate whose states may be impacted.
- d. The OFCO originator normally prepares the congressional notification letters and should coordinate with Commandant (CG-0921) to ensure no congressional member is omitted.
- e. The OFCO and Congressional notification letters will be sent to Commandant (CG-0921) as part of the OFCO sequential clearance process.