



SAFETY, SECURITY AND STEWARDSHIP

2011 DHS WHITE PAPER ON THE U.S. COAST GUARD



Homeland
Security

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Photo 1



FROM THE SECRETARY OF HOMELAND SECURITY

I am pleased to present the Department of Homeland Security's White Paper on the United States Coast Guard. This strategic document highlights the value of the Coast Guard to the Nation and its role within the missions of homeland security and national defense.

This White Paper proceeds from several assumptions. First, the security of the United States is tied to and dependent upon our continued global engagement. Second, while the Nation is surrounded, for the most part, by stable, friendly nations that follow well-established norms of international cooperation, we continue to face evolving threats. Even with the death of Usama bin Laden, terrorists are still determined to attack our homeland and our interests, and international criminal organizations continually seek to expand their control of illicit movements of people, goods and weapons. Third, our Nation's economic health is dependent on freedom of the seas, and overseas shipment will continue to be the primary source of trade and commerce. Fourth, the ports and waterways of the United States will remain vulnerable to natural disasters and other threats. Finally, the Nation's Arctic interests will grow as the region becomes more commercially viable for energy exploration, resource extraction, and tourism.

Against the backdrop of these assumptions, the Coast Guard's unique authorities, powerful capabilities, and robust partnerships protect our Nation's maritime interests. The Coast Guard has global reach and a persistent presence that are effective in helping to prevent dangerous people or goods from reaching our shores. The Coast Guard also has tremendous capacity and experience to respond to incidents in the maritime environment. As our Nation's maritime first responder, the Coast Guard will be always ready to protect the American people in times of need.

As the Service Secretary of the Coast Guard, I am proud of the daily sacrifices made by our Coast Guard men and women in the service of our country and in protection of the homeland. *Semper Paratus!*

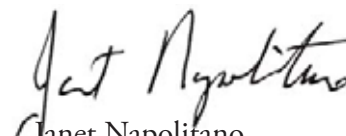

Janet Napolitano
Secretary of Homeland Security



Photo 2

FROM THE COMMANDANT

The past decade has presented new challenges and great change for the United States Coast Guard, and in the years since the September 11th attacks we have renewed our focus and resolve to safeguard the United States as part of the Department of Homeland Security. The United States government has also adapted to a more dynamic and unpredictable global environment. Today, the full range of Coast Guard missions and capabilities is essential to protecting the homeland and preserving America's national interests.

We live in a globalized, interconnected world with dynamic challenges and risks. Because most of the earth is covered by water, we live in a maritime world and rely on the sea for commerce. But the maritime environment is unforgiving, chaotic and difficult to govern. The United States faces an array of threats in the maritime domain: terrorists, drug and alien smugglers, polluters, cyber bad actors, illegal fishing and natural disasters. Yet, the Coast Guard must ensure the safety and security of people and commerce in the marine transportation system and protect the sea from harm.

Since 1790, the Coast Guard has been standing the watch and protecting America's national interests. This White Paper looks forward, but it is grounded in the Coast Guard's enduring strengths: our Core Values of Honor, Respect and Devotion to Duty; our identity and ethos as an armed service and as the Nation's premier maritime authority; and our extensive authorities, competencies, capabilities and partnerships.



Semper Paratus,

A large, stylized blue ink signature of Robert J. Papp, Jr. The signature is fluid and cursive, with the first letter 'R' being particularly large and prominent. It is positioned over the printed name and title below it.

Robert J. Papp, Jr.
Admiral, U.S. Coast Guard

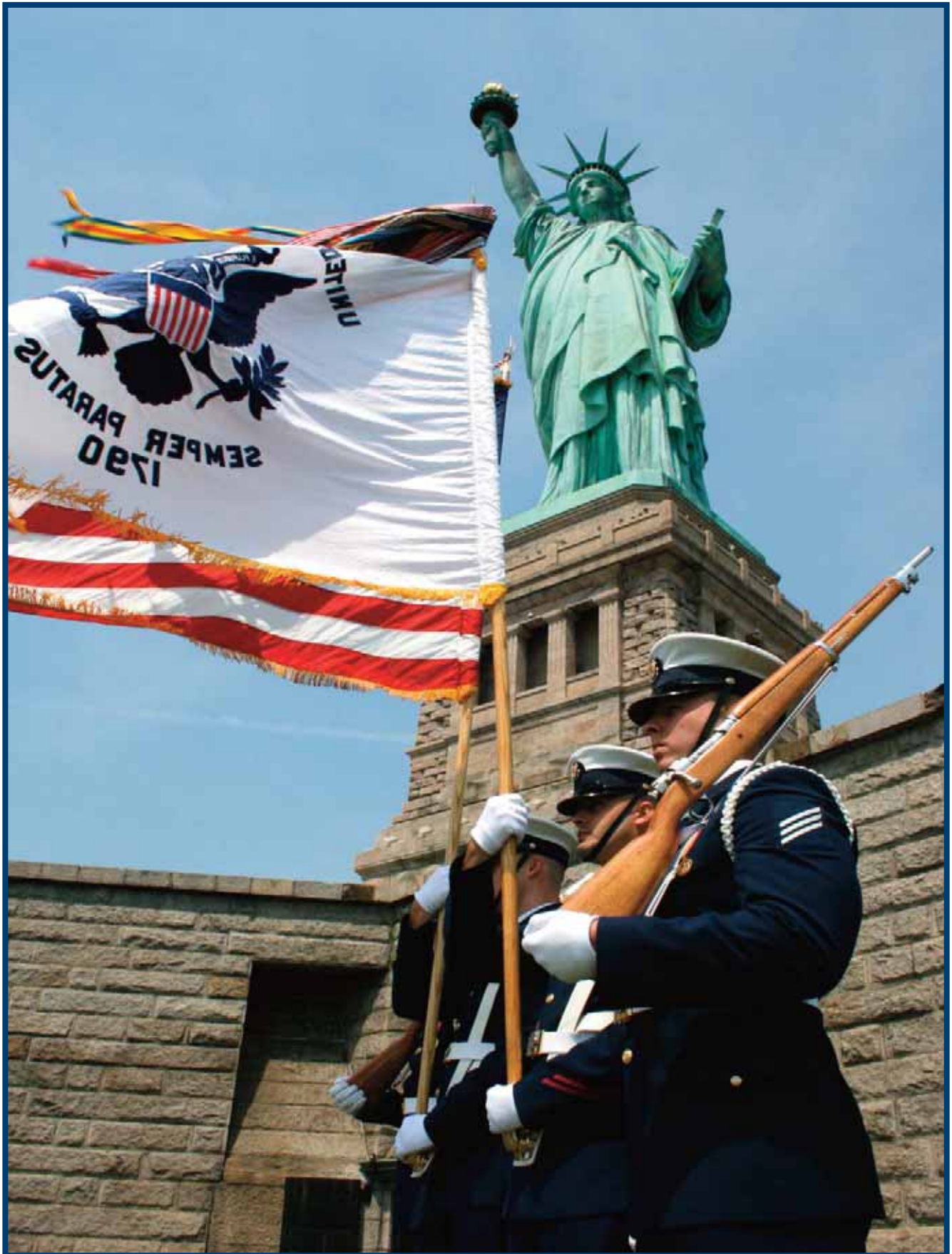


Photo 3

EXECUTIVE SUMMARY

This Department of Homeland Security White Paper frames the core strategy of the United States Coast Guard and illustrates its various roles and value to the United States – a maritime nation. Since its beginnings, the Coast Guard has conducted continuous operations to protect the Nation’s coastlines, lakes and rivers; to guard the bounty of our seas; and to serve as the Nation’s maritime first responder.

In the execution of its duties, the Coast Guard protects those on the sea; protects the Nation from threats delivered by sea; and protects the sea itself. In doing so, the Coast Guard ensures the safety, security and stewardship of the Nation’s waters. This mission is vital in today’s complex and ever changing maritime environment to ensure the Nation’s security and prosperity.

Today’s maritime environment has evolved dramatically since America’s founding. Globalization, world trade, technology, and the competition for scarce resources have all demanded that the United States remain vigilant and active in the protection of its maritime interests. Environmental concerns and increasing public expectations of responsible resource stewardship over the years have brought additional responsibilities to the Coast Guard.

To meet the challenges presented by this complex and constantly evolving maritime environment, the Coast Guard executes a core operational strategy of Prevent – Respond. Through this strategy, the Service seeks to deter and interdict potentially dangerous or illicit maritime activities, and if undesirable or unlawful events do happen – whether deliberate or accidental – to respond rapidly and effectively to protect the Nation and minimize the impact.

In executing this strategy, the Coast Guard leverages partnerships across federal, state, local, territorial and tribal governments. It also engages externally with international authorities, private industry, port operators and professional mariners to keep access to the Nation’s waters open, secure and safe. Additionally, the Coast Guard brings unique authorities and operating capabilities to protect America’s interest. It is the Nation’s only federal law enforcement agency that is also an armed service, and as such, has a unique ability to establish and enforce standards, reduce risk, control activities, and respond to emergencies in the maritime domain.

Through its operational presence, robust partnerships, and broad authorities, the Coast Guard serves as an agile and ready force in the service of the Nation, underway every day, securing the peace and prosperity of the American homeland.

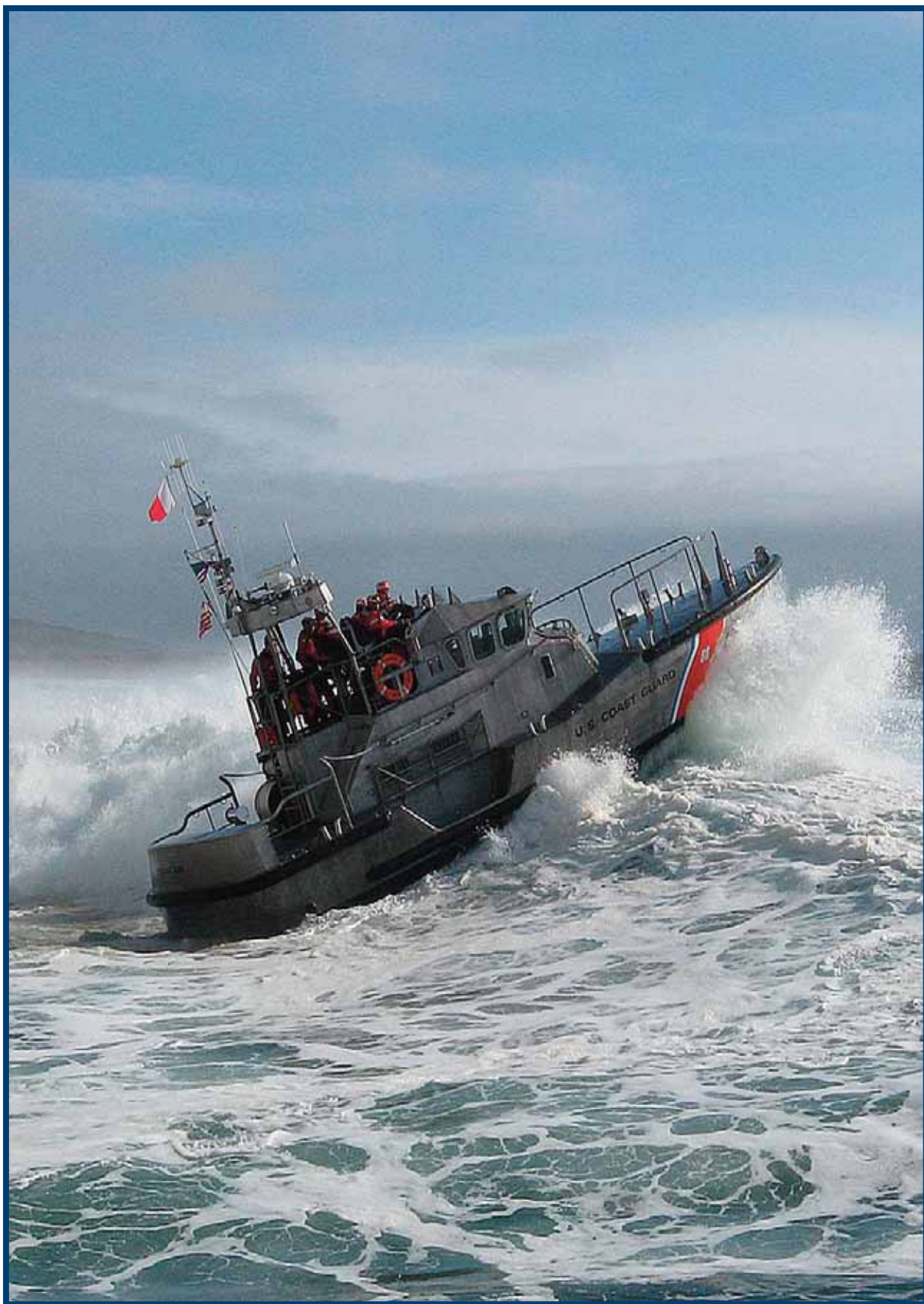


Photo 4

PREFACE

This first-ever Department of Homeland Security White Paper presents the forward strategic direction for the United States Coast Guard. It provides civilian and military readers alike with a guide to understanding the changing maritime environment, the ever-present demand for the full range of Coast Guard capabilities, and how the United States, as a maritime nation, will make most effective use of those capabilities to fulfill its maritime needs.

In important ways, this paper reflects the findings and judgments of the 2010 National Security Strategy, the 2010 Quadrennial Homeland Security Review, as well as other key instruments of national policy guidance. But it also represents a singular strategic statement regarding the purpose and role of the Coast Guard going forward.

The Department of Homeland Security (DHS), created in 2003, has sought to ensure a safe, secure, resilient place where the American way of life can thrive. A safe and secure homeland must mean more than preventing terrorist attacks from being carried out. It must also ensure that the liberties of all Americans are assured, privacy is protected, and the means by which we interchange with the world – through travel, lawful immigration, trade, commerce, and exchange – are secured. Ultimately, homeland security is about effectively managing risks to the Nation's security.

As an integral part of these efforts, Coast Guard operations touch every region of this country and – in ways obvious and not so obvious – every person who stands on its soil or enters its waters. From preventing terrorist attacks, to ensuring the security of our borders and the integrity of our immigration system, Coast Guard men and women perform their unique military, law enforcement, technical, and regulatory duties with extraordinary professionalism, commitment and compassion.

The Coast Guard is, quite literally, underway, every day – at all hours and under all conditions – to ensure the safety, security and stewardship of the Nation's waters. This document outlines its core strategy.



Photo 5

I SERVICE TO A MARITIME NATION

“A few armed vessels, judiciously stationed at the entrances of our ports, might at a small expense be made useful sentinels of the laws.”

– Alexander Hamilton

The United States Coast Guard serves the Nation as a highly skilled and ready force in continuous maritime operations to protect the Nation’s coastlines, guard the bounty of the Nation’s seas, and serve as the Nation’s maritime first responder.

The United States has always depended on the sea. A strategic asset in our national defense, the sea provides the source of livelihood for hundreds of American communities and millions of American citizens, and it provides a critical means of commerce and exchange between the United States and the rest of the world. Today, about half of all Americans live within 50 miles of the U.S. coastline.

Underway every day, the Coast Guard is one of the five branches of the United States armed forces and is home to the world’s finest maritime professionals – equipped with skilled leadership and advanced technical skills – supported by agile and robust equipment and armed with broad legal authorities, to prevent maritime threats and disasters in the homeland, and to respond rapidly and effectively when they do occur.

MISSION

The mission of the United States Coast Guard is to ensure the safety, security and stewardship of the Nation’s waters. In its most simple terms, the Coast Guard’s job is to

- **Protect those on the sea;**
- **Protect the Nation from threats delivered by sea; and**
- **Protect the sea itself.**



Fig. 1

Source: U.S. Coast Guard

The Service stands watch over more than 100,000 miles of U.S. coastline and inland waterways – enough to circle the world 4 times. Each year, the Coast Guard saves approximately 5,000 lives and safeguards the world’s largest Exclusive Economic Zone (EEZ), encompassing 3.4 million square nautical miles of ocean – roughly equivalent in size to the continental United States.

From 1790, and its earliest days as the Revenue Cutter Service, the Coast Guard is deployed strategically to achieve the maximum effect of its resources. It has a persistent presence on shore and at sea in those locations where demand is greatest and, through key deployments of surface and air assets, has the ability to project its presence out to an operational range of proven necessity.

THE CHANGING MARITIME ENVIRONMENT

The maritime environment has evolved in dramatic ways over the centuries since America's founding. Intensified globalization, changing patterns of world trade, advances in technology, a growing competition for scarce resources, and more frequent and increasingly sophisticated attempts to use the sea to smuggle humans, narcotics, and other illicit traffic beyond the reach of sovereign authorities have all demanded that this country not only remain vigilant and active in the protection of its maritime interests, but also that it constantly adapt to stay ahead.

New technology in global shipping has generated vessels and shipments that are both considerably larger and operate with greater efficiency than even a few years ago. High-tech communications and information technology now interweave increasingly complex, just-in-time processes that precisely move billions of tons of goods around the world, putting intense pressure

MAJOR GLOBAL MARITIME SHIPPING ROUTES AND TRAFFIC

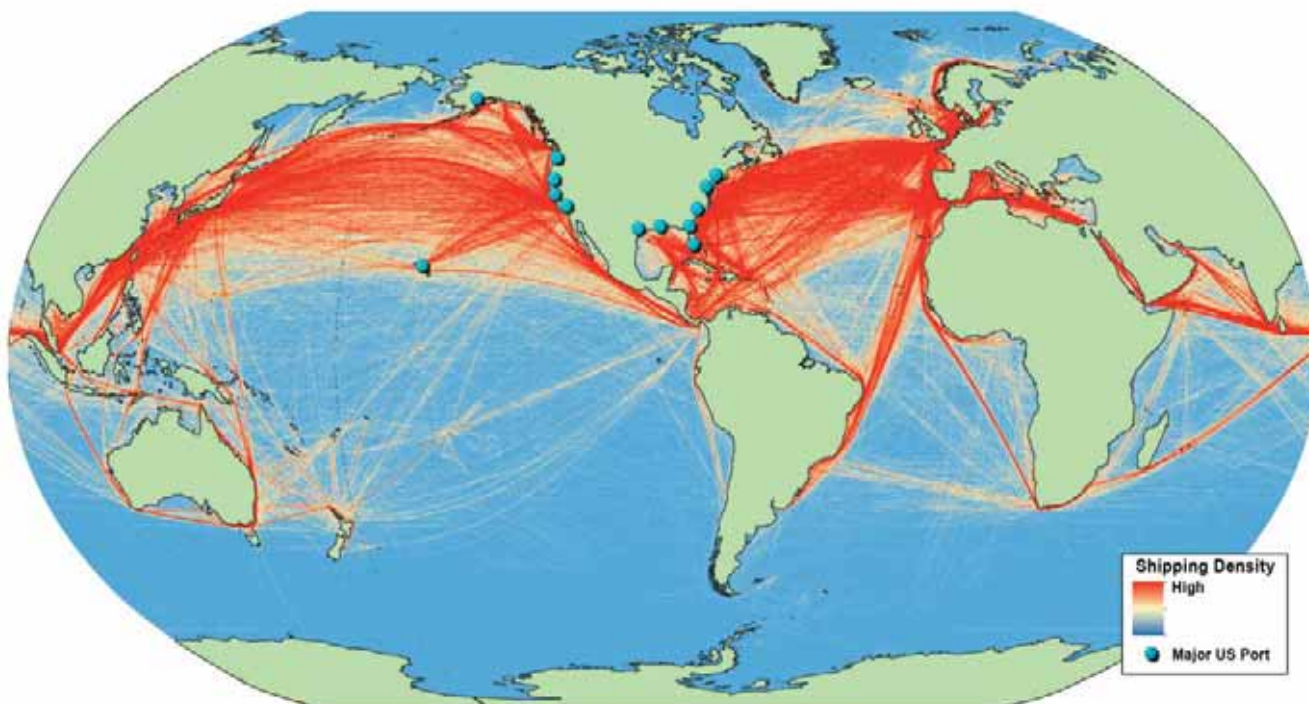


Fig. 2

Source: National Center for Ecological Analysis and Synthesis, A Global Map of Human Impacts to Marine Ecosystems 2007, as provided by Dr. Jean-Paul Rodrigue, Hofstra University

on every link of the global supply chain. Changes in society's views regarding conservation and the environment have led to increased national and international regulation regarding marine life management and ecosystem preservation. Criminals and potential terrorists have sought to exploit all of these developments to their advantage.

In addition, our national use of inland waters has greatly intensified over the past 50 years. In the United States, there are more than 12,000 miles of navigable inland rivers and over 100,000 named lakes. Boating in the United States has vastly increased over the second half of the 20th century. In 1960, for example, the number of registered recreational boats was more than two million. Today, that number exceeds 12 million. The Coast Guard cannot, of course, maintain a presence on every mile or every lake and yet the public expects that the Coast Guard will respond in any place or any time should ever a need arise. Each year, the Coast Guard responds to tens of thousands of emergency calls and saves nearly 5,000 lives.

All of these factors have brought new expectations of, and responsibilities for, the Coast Guard – responsibilities that have been codified in multiple statutes and regulations that strongly position the Service to keep pace with, and in important ways lead, the development of national and global systems to manage maritime activity. The Coast Guard must constantly demonstrate its mastery of the geography, economy, complexity, and pace of modern maritime operations to ensure the safety, security and stewardship of the Nation's waters. It simply does not operate the way it used to because, in today's maritime environment, no one operates the way they used to.

Changing Patterns in World Trade

To meet the rising global demand for everything from raw materials, to foodstuffs, to modern technology and consumer goods, commercial ships have grown in both size and number over the past century. Today, container ships carry over 90 percent of world trade with ever-greater efficiency and economies of scale. In fact, since 1990, the volume of containerized cargo entering United States ports increased by over 170 percent. Moreover, the average size of a container ship arriving in a United States port in 2011 is nearly 20 percent larger than those of only five years earlier, and maritime carriers are deploying even larger ships in an effort to minimize costs and maximize returns.

The dramatic rise in containerized shipping over the past four decades has changed not only vessels, but also the ways in which they are handled and moved across the globe and in U.S. ports. Whereas in the past, the average length of a port stay in a major U.S. port could be measured in days, today's modern container ships move between the major shipping ports of the world with minimal downtime, dwelling dockside for as little as 6-12 hours before departing for



Photo 6

their next port of call. In fact, the largest supertankers do not even put into port at all, remaining well offshore to lighter to smaller shuttle tankers or discharge their crude oil cargo at offshore facilities such as the Louisiana Offshore Oil Port, 18 miles off the coast of Louisiana in the Gulf of Mexico. The sheer size of modern vessels, their huge and varied contents, and their rapid transit operations have increased the demand for Coast Guard monitoring and oversight. But these same factors have combined to dramatically compress the amount of time available for Coast Guard inspections or other types of interface with vessels and crews.

Changes in maritime shipping have placed a premium on prevention and, therefore, knowing as much as possible – as early as possible – about what is coming to this country, who is sending it, and who has been engaged to carry it. The United States has developed many systems to gather, process, and share information to secure the country against threats that may come by sea and also to expedite the rapid movement of legitimate trade and travel. These systems themselves impose additional complexity on the Coast Guard whose position at the front line of maritime operations requires that it inform and also be informed by these complex systems.

The travel and tourism industry too has undergone a transformation. Cruise ships carrying over 3,000 passengers are now commonplace, bringing ever-larger numbers of people with an ever-increasing human impact into direct contact with the sea. These larger, more advanced ships,

have altered the dynamics of vessel traffic in ports and waterways and driven major changes in port infrastructure to handle the increased volume and demand for rapid turn-around times. As the size and complexity of these vessels increase, the requirements grow on the Coast Guard to maintain an active presence in major U.S. ports to manage potential risks to passengers, ports, and the general public and to conduct periodic safety and security inspections and reviews to ensure that these ships continue to meet domestic and international standards.

Accidents involving large passenger vessels and ferries have contributed to the development of enhanced safety measures, in turn, imposing greater demands that the Coast Guard stay current in its regulatory, oversight and enforcement duties. These factors, combined with more stringent environmental protection requirements to preserve fragile marine ecosystems and important fishing stocks and waters have increased requirements in the Coast Guard for technically qualified personnel with highly-specialized expertise in a variety of fields. This expertise must be regularly refreshed to stay current with the latest technological developments and maintained at a constant state of preparedness to deploy at a moment's notice.

Developments in U.S.-based shipbuilding and repair since the early 1980s have also changed the way in which the Coast Guard engages with the domestic maritime industry. Over the past three



Photo 7

decades, many foreign governments dramatically increased subsidies to their own shipbuilders and almost all commercial shipbuilding subsequently moved overseas. Indeed, U.S. domestic shipyards now account for only about one percent of world commercial deadweight tonnage (a measure of ship carrying capacity) produced. Similarly, much ship repair work has also shifted overseas. These developments demand that U.S. Coast Guard officers stay abreast of increasingly complex national and international regulations and that they travel frequently and widely to inspect vessels as they are being built in order to certify compliance with rigorous U.S. standards for shipping construction and safety.

Preserving the Sea and its Riches

Commercially and environmentally, the oceans have become ever-more vital for the United States. Balancing the American society's interests in effective use of the sea while ensuring its responsible management and preservation has been an important feature of U.S. maritime policy making, especially since the 1970s, when the global oil crisis forced a major reassessment of the Nation's dependence on Mideast oil and the environmental movement gained widespread traction.

In fact, many nations have sought to meet their growing energy and consumer needs through more effective use of sea-based resources. Increasingly, states have joined the search for energy and other resources into deeper and more challenging ocean waters, and these efforts have demanded ever-more sophisticated international and national regimes that seek to balance the needs and rights of individual states while at the same time safeguard the world's shared maritime inheritance. In this regard, there is a growing international consensus on the need to protect the health of the world's oceans to ensure the ongoing vitality of global maritime resources. The Coast Guard plays a leading role for the United States in developing, negotiating, and implementing many of these regimes on behalf of the Nation. It represents the United States in many of the relevant international forums, including notably, the International Maritime Organization (IMO), the North Pacific and Atlantic Coast Guard forums, and various other regional ocean fishery management councils.

As one of the world's principal sources of food, the oceans are under increasing pressure from the demand of growing populations – pressure which has generated more widespread and persistent illegal attempts to exploit fishing stocks. Protecting and conserving the United States' EEZ – responsible for over \$122 billion in revenue and 430,000 jobs annually – will remain critical into the future, requiring the Coast Guard to maintain state-of-the-art monitoring and enforcement operations. These requirements will only grow as previously inaccessible regions, such as the Arctic, become more navigable to vessel traffic and available for energy exploration, fishery exploitation, and tourism development.

The Changing Arctic

With 1,500 nautical miles of coastline in the Arctic region, the United States has longstanding and deep interests in the Arctic. Over the past three decades, Arctic sea ice has been receding – a development which has opened previously inaccessible waters to maritime commerce. With an estimated 22 percent of the world's undiscovered oil and natural gas reserves, fish stocks migrating further north, and new access to transportation routes becoming available, international interest in the region is growing. The Coast Guard (and its predecessor, the Revenue Cutter Service), has operated continuously in the Arctic since 1880, and this history and experience provides a vital foundation from which to address U.S. Arctic needs going forward into the future.

Energy and the Sea

Maritime oil exploration continues to expand at a rapid pace since its inception in 1947 when the first offshore oil rig was drilled beyond the sight of land in the Gulf of Mexico at a water depth of 20 feet. As technology has advanced, so has the intensity and complexity of offshore exploration. Major new explorations and drilling now routinely occur farther and farther offshore, in ever-deeper waters. In fact, in some parts of the world, drilling depths reach nearly two miles beneath the surface.

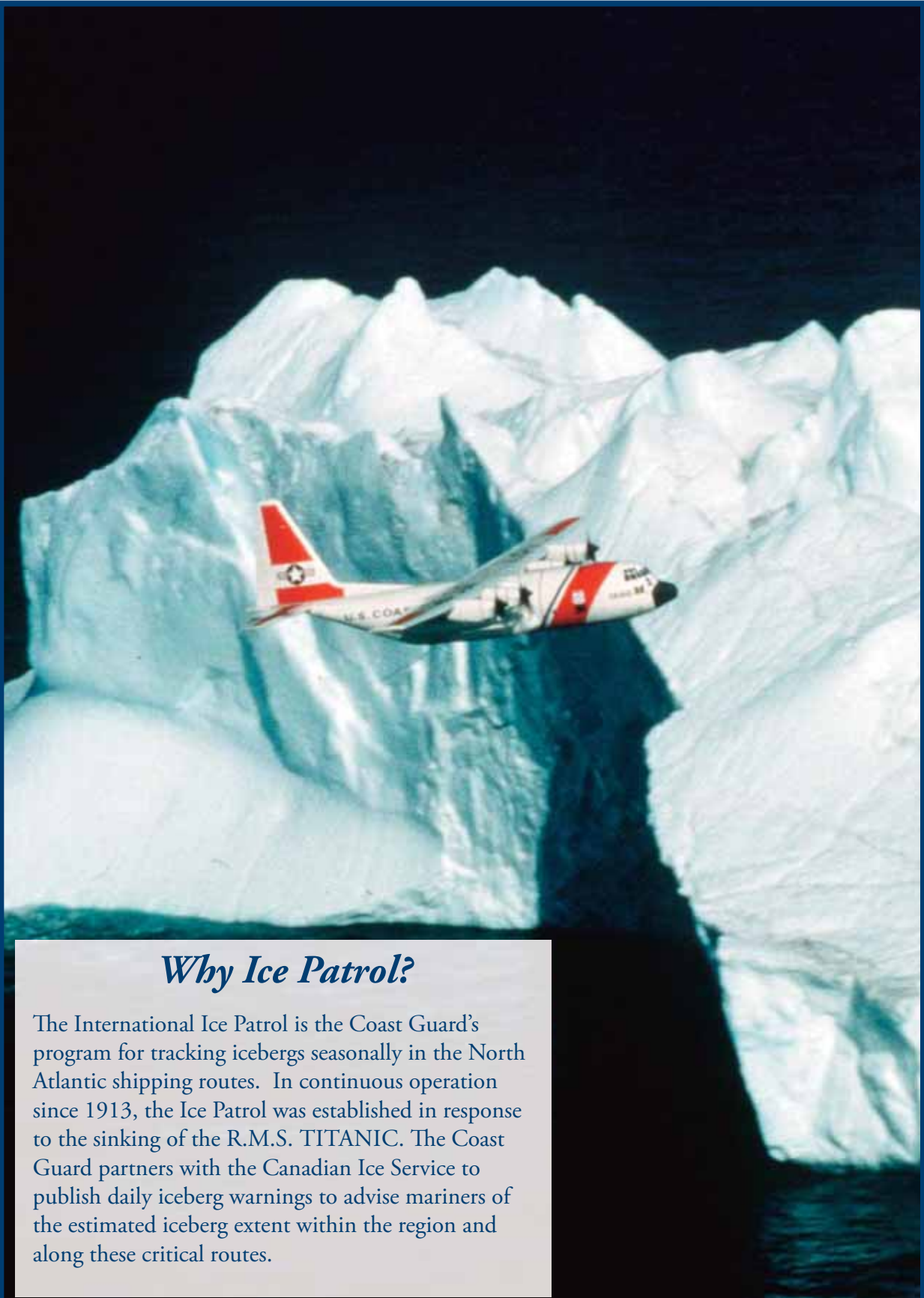
Today, there are nearly 4,000 fixed and floating production facilities within the outer continental shelf of the United States. Located primarily in the Gulf of Mexico, but also on both coasts and across Alaska, they connect to more than 38,000 miles of sub-sea pipeline.

This explosive growth continually brings greater

demand for Coast Guard regulatory and operational engagement in as much as the Coast Guard is responsible to ensure the safe and accountable operations for all of the oil and gas facilities and infrastructure that operate in or on the Nation's water or near its edge.

While drilling in the Arctic is currently conducted only from manmade islands, offshore platforms have become increasingly more attractive as the demand for energy and advances in technology drive ever-expanding requirements for more drilling. This increased activity necessarily means that the potential for accidents and mishaps has also risen – as the Nation saw vividly in 2010 with the BP Deepwater Horizon oil disaster in the Gulf of Mexico.

In this, as in other ways, the Arctic poses particular challenges. Here, the Coast Guard's most important responsibilities – to keep the Nation's system of ports and waterways safe, secure, and environmentally sound, and to conduct search and rescue operations for those in distress – are confronted by vast distances, absence of supporting infrastructure, severe weather and the harshest operating conditions. Even more important, perhaps, is the fact that the Coast Guard is the primary federal agency responsible for meeting these demands. In other words, when it comes to federal maritime operations and response capability in the Arctic, there is no 'Plan B.'



Why Ice Patrol?

The International Ice Patrol is the Coast Guard's program for tracking icebergs seasonally in the North Atlantic shipping routes. In continuous operation since 1913, the Ice Patrol was established in response to the sinking of the R.M.S. TITANIC. The Coast Guard partners with the Canadian Ice Service to publish daily iceberg warnings to advise mariners of the estimated iceberg extent within the region and along these critical routes.

Photo 8



Photo 9

Pollution Response

Beginning with the 1972 Federal Water Pollution Control Act and the Ports and Waterways Safety Act, through the ratification of the 1973 International Convention for the Prevention of Pollution from Ships, to the passage in 1978 of the Port and Tanker Safety Act, the Coast Guard has accrued ever-greater responsibility to ensure protection of the Nation's waters from pollution from ships. The scope of this responsibility increased dramatically with the Oil Pollution Act of 1990 (OPA 90), passed in the aftermath of the 1989 EXXON VALDEZ spill. At the time, OPA 90 was the largest rulemaking in Coast Guard history. Most notably, it required significant new Coast Guard oversight of tankship operations and construction – to include the installation of pollution prevention systems – and established extensive new requirements for oil spill preparedness and response.

These requirements include comprehensive spill planning and regular exercises for those who handle or transport oil and petroleum products in the maritime environment. The Coast Guard reviews these plans and administers the national exercise program which oversees the individual and multi-agency oil spill drills and exercises required of response plan holders across the Nation. For over 20 years since the passage of OPA 90, the Coast Guard has supervised and participated in thousands of oil spill exercises with its partner agencies and the maritime

industry to ensure coordinated, unified effort and readiness to respond in the event of an actual spill. The importance of such unified planning and exercising became evident in the massive response to the BP Deepwater Horizon Oil Spill.

Unprecedented in scope and duration, the spill presented exceptional challenges to the Coast Guard and other agencies who continue to learn and adapt from its lessons.

Preventing Terrorism and Other Threats

Almost 200 years ago, the Revenue Cutter DALLAS interdicted the slave ship ANTELOPE hovering off the northeast coast of Florida in the vicinity of Amelia Island. Onboard, officers found nearly 300 chained Africans crammed into horrid conditions without adequate food or water. They had no protection from unscrupulous privateers or the perils

Maritime Operational Threat Response (MOTR)

MOTR is the interagency process designed to achieve a coordinated U.S. Government response to threats against the United States and its interests in the maritime domain. The Federal entities represented in the MOTR process include the Departments of Homeland Security, Defense, and Justice, supported by the Departments of State, Energy, and Transportation, the National Counter Terrorism Center, and the Global Maritime Community of Interest. The MOTR process coordinates federal interagency communication, cooperation and decision-making, and has been used to respond to migrant interdictions, drug seizures, acts of piracy, and suspected terrorist activities.



Fig. 3

Source: U.S. Coast Guard

of a journey from Africa to America via Brazil in a ship built to hold under twenty souls. Over the centuries since, the Coast Guard has borne the primary responsibility to interdict waterborne illicit migration from wherever it might originate.

Throughout the decades, traditional concerns of illegal migration have been measured principally in terms of flows and quantities. Since September 11, 2001 however, interdiction efforts have also been concerned not only with numbers, but also with the intentions of some who seek to come to the United States potentially to conduct terrorist attacks, establish illicit operations, or broaden illegal networks, and of those who create the means for them to do so.

In the shadow of the explosive growth in legitimate maritime trade and travel, criminal organizations have developed sophisticated operations and tactics to avoid detection and apprehension while transiting the sea. Illegal maritime trafficking schemes no longer depend exclusively on low and slow, single scow sorties, but rather make use of multiple go-fast boats, as well as semi-submersible vessels capable of operating at considerable distances at sea – factors that make them harder to detect, track, and bring to justice. The challenge to interdict at sea – even far offshore – is imperative since traffickers’ ability to alter their path to land anywhere along their routes creates considerable pressure on land border security. The Coast Guard uses leading-edge technology and enhanced interdiction processes as well as vital interagency collaborations with the Departments of Justice, Defense, and other agencies to give the United States the ability to detect and interdict illicit operations long before they reach our borders.

However, criminals also exploit new technologies such as the Global Positioning System (GPS), satellites, cellular phones, and the internet to manage their operations with greater efficiency and less visibility. They move in complex networks with greater speed and greater stealth. In a similar way, terrorist networks appear to be seeking ways to exploit the maritime environment to move materials,

National Special Security Events

When an event is designated by the Secretary of Homeland Security as a National Special Security Event (NSSE), the Coast Guard works closely with the Secret Service (the lead agency during NSSEs) for the design and implementation of the operational security plan. The Coast Guard relies heavily on its established partnerships with law enforcement and public safety officials at the local, state and federal levels to ensure that port, waterways, and airspace in the vicinity of NSSEs are secure.

The goal of the cooperating agencies is to provide a safe and secure environment for the event participants and the general public. There is a tremendous amount of advance planning and coordination in preparation for these events, particularly in the areas of venue, communications, credentialing and training. Some of the most recent NSSEs that the Coast Guard participated in were the 2009 Presidential Inauguration, the G-20 Summit in Pittsburgh, Pennsylvania, and Super Bowl XLIV in Miami, Florida.



Photo 10

people and weapons as they did in Mumbai in 2008. As it becomes ever-more difficult for terrorists and other criminals to surreptitiously enter the United States by land and air routes, we must ensure that they do not have the ability to exploit maritime routes of entry, and in this regard, the Coast Guard's multiple roles as military service, law enforcement agency, and member of the Intelligence Community have combined to intensify its responsibilities within the Homeland Security enterprise to prevent terrorist attacks.

The extraordinary size and complexity of modern global maritime operations – and the Nation's dependence on the safe and secure management of its waters – has only increased the demands on the Coast Guard. These demands have required the Coast Guard to think more strategically about itself – its people, its presence, and its reach. Key strategic questions include:

- How will the Coast Guard identify relevant risks, threats, and vulnerabilities in the increasingly complex maritime domain?
- Where does the Coast Guard need to be and what does it need to do to ensure the security of the global supply chain?
- What new demands will the Coast Guard face as previously inaccessible regions such as the Arctic open to maritime traffic and interests?
- What other demands in the future maritime environment will likely become the responsibility of the Coast Guard?
- In consequence, where will the Coast Guard need operational presence into the future?



Photo 11

III

THE COAST GUARD'S CORE STRATEGIC CONCEPT: PREVENT – RESPOND

At the heart of the Coast Guard's mission of safety, security and stewardship lay the twin imperatives of prevention and response. In the first instance, the Coast Guard must prevent potentially dangerous or illicit activities in the homeland's maritime environment, and secondly, it must respond rapidly and effectively when bad things – whether deliberate or accidental – do happen. This strategy, depicted in graphic form in Annex A, is delivered through four interrelated and coordinated activities:

- **Regulation and policy-making**
- **Monitoring and oversight**
- **Enforcement**
- **Operations**

For each of these activities, the Coast Guard brings unique authorities and operating capabilities. For example, the Coast Guard is both a military service and a law enforcement agency. It is the only armed force that operates with the unique ability to regulate its operating environment, and – again, uniquely – the only service with authorities to enforce the rules in this environment when they are broken.

As noted earlier, the Coast Guard takes a strategic approach to its operations. It will deploy its highly trained and ready forces where necessary to establish a persistent presence, develop and strengthen its partnerships across the maritime domain to leverage the roles and responsibilities of other stakeholders, and it will appropriately exercise its authorities through policies and regulations that set clear standards and balance equities. This section discusses how these elements come together under the strategic concept of prevention and response.



Photo 12



Photo 13

Buoys... Really?

Really. Like the Nation's roadways, our waterways handle heavy volumes of commercial and recreational traffic. Container ships, ferries, tankers, and pleasure boats alike all depend on these fixed, floating signs for safe passage. The rapid replacement of buoys and markers after natural disasters helps to get ports and waterways back in business. However, buoys do more than just mark channels; the Coast Guard deploys and maintains buoys that provide weather data to mariners and meteorologists, and help transmit radio communications at sea. Coast Guard search and rescue teams use weather buoys to gather information critical to developing search patterns and areas.

PREVENTION

To reduce the risk of maritime threats affecting the homeland and to mitigate maritime vulnerabilities, the Coast Guard pursues prevention as a comprehensive strategic and operational undertaking – through regulations, inspections, properly maintained waterways, port activity monitoring, and other engagements – to ensure compliance with the highest standards of maritime safety and security. The strategy of prevention effectively begins long before a ship, piece of cargo, or person enters U.S. waters or approaches U.S. shores.

Prevention begins with the development and dissemination of regulations that govern every aspect of maritime operations in the country – from the establishment of boating safety standards to the requirements for commercial maritime transit. Given the complexity of today's maritime environment, the Coast Guard's development and deployment of rules, standards and other requirements have intensified over the past two decades. This regulatory presence has allowed the Coast Guard to focus its very visible operational footprint – on shore as well as off – most strategically in places where the physical assets of the Coast Guard can achieve the greatest beneficial effect. Annex B illustrates the regional allocation of Coast Guard assets as well as a typical or notional deployment in key locations.

The Coast Guard's approach to prevention also relies on extensive partnerships throughout the national and international maritime community. The Coast Guard works closely with state and local authorities and private industry, as well as with intergovernmental organizations, such as the IMO, to protect U.S. interests and balance equities across the maritime domain.

For the public, the Coast Guard's strategy of prevention emphasizes the need to reduce vulnerabilities and minimize the requirement for emergency response by helping to preempt avoidable casualties, damage, and other harm. An educated public – on vessel safety, maritime protocols for safe operation, and even localized weather or other conditions that may affect their time afloat – is an asset and central to the successful execution of the prevention strategy. Thus, through its operational engagements, key partnerships, and architecture of national and international regulations, the Coast Guard works to maintain a strong foundation from which to ensure safe and secure practices on the Nation's waters.

There are times, of course, when preventive efforts fail – either as a result of accident, inadvertence or deliberate planning and subterfuge. In such cases, the Coast Guard must be poised to respond rapidly and effectively.

RESPONSE

The Coast Guard is the Nation's maritime first responder. As such, it provides immediate action in the face of an accident or other adverse incident, and works with its partners in the private sector and at all levels of government to set the stage for rapid post-incident recovery.

For the full range of maritime contingencies – whether environmental, safety-related, or involving criminal activity or threatened terrorism – the Coast Guard is organized to expedite the rapid mobilization of critical response assets. Annex C illustrates the deployment of Coast Guard personnel and major physical assets across the United States. Locally based and yet nationally deployable, the Coast Guard's presence in every region of the country gives it the ability to respond quickly to persons in need, stabilize disaster situations, and coordinate additional support as may be required.

On an Average Day the Coast Guard

- Saves 13 lives
- Responds to 64 search and rescue cases
- Stops 959 pounds of cocaine from reaching the United States
- Saves \$260,000 in property
- Interdicts 10 undocumented migrants trying to enter the United States
- Services 49 buoys
- Provides a presence in all major U.S. ports
- Screens 679 commercial vessels and 170,000 crew and passengers
- Inspects 70 containers
- Inspects 33 vessels for compliance with air emissions standards
- Performs 30 safety and environmental examinations of foreign vessels entering U.S. ports
- Boards 15 fishing boats to ensure compliance with fisheries laws
- Investigates 12 marine accidents
- Responds to 10 pollution incidents
- Does security boardings of 5 high interest vessels
- Escorts 4 high-value U.S. Navy vessels transiting U.S. waterways
- Identifies one individual with terrorist associations
- Supports Overseas Contingency Operations:
 - Protects Iraq's offshore oil infrastructure
 - Trains Iraqi naval forces
 - Keeps sea lanes secure in the Arabian Gulf
 - Provides support to the International Security Assistance Force in Afghanistan

Prevent – Respond: An Integrated Strategy

Consider the voyage of a 3,000 passenger cruise ship from the Port of Miami to Jamaica. Passengers board the ship with the expectation that it is safe, that it will be operated by trained and competent professionals, that it will be secure from criminal or terrorist threats, and that the ship and its crew will uphold environmental standards to protect the waters upon which it sails.



Photo 14

As the United States representative to the International Maritime Organization, the Coast Guard helped develop the international safety and security

standards for the vessel, its crew, and the cruise ship terminals at which the vessel docks. During construction of the ship, Coast Guard naval engineers conducted fire and lifesaving safety plan reviews and examined the vessel multiple times at its overseas construction shipyard.

In Miami, the Coast Guard confirmed adequate crew licenses, mariner documents, and tested vessel safety and security systems. As the vessel transited out of the harbor, Coast Guard-licensed pilots navigated the ship safely relying on navigational aids maintained by the Coast Guard. Armed Coast Guard small boats escorted the vessel until it was safely at sea. In Jamaica, U.S. Coast Guard International Port Security Liaison Officers assessed Jamaica's port security infrastructure and security systems to ensure they could safely receive U.S. citizens.

As the vessel returns to Miami, DHS personnel will screen all 3,000 embarked passengers, crew, and staff – checking for outstanding warrants, law enforcement concerns, and potential links to terrorism. If concerns emerge, the Coast Guard will communicate these possible threats in sufficient time to determine appropriate actions to mitigate risks.

If the ship were to experience a mishap, passengers can expect a timely, organized, and effective response. Whether mass rescue operations, pollution response, safety zone/traffic control, casualty investigation, or vessel salvage – the Coast Guard will play a leading role in ensuring a rapid, effective response. If the cruise ship were to be attacked close to or in a U.S. port, the Coast Guard is preauthorized by statute to use deadly force within U.S. waters.

Along its entire voyage from Miami to Jamaica and back again, the Coast Guard protects the passengers and crew, the ship, as well as the sea itself. Coast Guard prevention and response roles delivered through interlocking and interrelated authorities, competencies, capabilities and partnerships ensure a seamless, integrated system of protection throughout our Nation's waters.

For any given emergency or contingency, the Coast Guard has established specific response standards based on asset or unit type. Calls come in to Coast Guard operations centers which operate 24 hours a day. Operations centers dispatch Coast Guard aircraft, small boat crews, Coast Guard investigators, and pollution response personnel to respond as needed. Aircraft and small boats crews around the country have a target to launch within 30 minutes of notification, while large Coast Guard cutters and patrol boats maintain a ready condition for operations and rapid deployment.

What Does Response Look Like?

- When Hurricane Katrina struck the Gulf, Coast Guard crews based in New Orleans and other Gulf Coast cities led a massive search, rescue, and environmental response operation involving over 5,600 Coast Guard personnel from around the country. The Coast Guard deployed 62 aircraft, 30 cutters, and 111 boats for rescue and recovery operations. The Coast Guard saved more than 33,000 lives and responded to 700 storm-related pollution cases.
- When a 7.0 magnitude earthquake devastated Haiti in January 2010, the Coast Guard was the first U.S. federal agency on scene with air and surface assets deployed from bases in the southeast United States and Puerto Rico. Over 800 Coast Guard men and women were involved in response and humanitarian relief efforts, which included evacuation of injured personnel and American citizens, delivery of aid, assessment of port facilities, recovery of port operations, and transfer of critical supplies from relief ships.
- On March 11, 2011, a 9.0 magnitude undersea earthquake off Japan generated a devastating tsunami and destroyed much of the Fukushima Daiichi Nuclear Power Plant. The Coast Guard immediately coordinated port evacuations along the West Coast. Furthermore, the Coast Guard's Maritime Intelligence Fusion Center Pacific coordinated with the National Intelligence Community to track vessels that may have been exposed to radiation fallout. As these vessels arrived in U.S. ports, this intelligence enabled the Coast Guard to respond with their port partners to minimize the disruption of commerce and allay public concerns.



Photo 15

THE STRATEGIC CONCEPT IN ACTION

The weight of the Coast Guard's efforts are in prevention – through regulation, enforcement, monitoring and a continuous operational presence. The Coast Guard is an operating agency whose strength lies in being on the scene every day in the maritime environment with those who use the water for commerce or pleasure. Such a persistent presence gives the Coast Guard a first-hand feel for operations under normal circumstances and a strong position from which to detect abnormalities and act swiftly to prevent dangerous, illicit, or unsafe activity.

Day to day, Coast Guard operations routinely include not only search and rescue, but also escort duty for vessels carrying dangerous cargoes, interdicting drug and migrant smugglers, patrolling ports and waterways, enforcing fisheries laws, cleaning oil and hazardous material spills, maintaining aids to navigation, screening commercial ships and crews entering U.S. ports, inspecting U.S. flagged vessels, examining cargo containers, investigating marine accidents, training international partners, credentialing merchant mariners, and supporting Overseas Contingency Operations.

The Coast Guard maintains a constant watch over the maritime environment to identify and interdict threats that could adversely affect the United States. The Service operates a wide range of advanced technologies to identify the location of mariners in distress and to track and communicate with marine vessels within or near U.S. territorial waters. The Coast Guard's monitoring mission includes regular boarding and inspection of vessels to ensure compliance with federal laws as well as performing security inspections around critical maritime infrastructure such as oil platforms, power plants, and high-traffic ports of call.

"I've seen your pride, when I was in, of all places, Afghanistan... There was no ocean in sight... But the Coast Guard was there, serving with honor, as you have in every major conflict that our nation has ever fought."

*-Pres. Barack Obama,
Remarks to the Coast Guard Academy
Class of 2011,
May 18, 2011*

Mission Support: How Everything Runs

Within the Coast Guard, more than 17,000 men and women provide critical support services to meet mission demands. These services include administration of pay, medical care, information technology and logistical support, as well as maintenance and upgrades to infrastructure, equipment and operational assets, including depot-level maintenance on all of its aircraft.

The Coast Guard enforces a wide range of federal and international maritime laws to ensure commercial and personal watercraft safety, prevent the smuggling of illegal migrants and drugs, and protect natural resources. In addition, the Coast Guard is responsible for the accreditation of a wide range of maritime industry professionals and activities; conducts exams of foreign flagged vessels to ensure compliance with standards; and establishes safety and security zones around significant events and incidents. The Coast Guard also cooperates with the U.S. Navy and other partner nations to interdict pirates and combat smuggling.

Of course, the Coast Guard cannot be everywhere, and the Coast Guard is unique in its authority to regulate the maritime environment in which it operates. Regulation provides a powerful tool to protect the Nation's waters and preserve the environment through the development and promulgation of clear standards of safety. Annually, the Coast Guard documents and licenses over 50,000 mariners, reviews vessel and marine facility security plans and administers the National Recreational Boating Safety Program in cooperation with state law enforcement partners.

As the United States representative to the International Maritime Organization, the Coast Guard works with foreign governments to craft international standards for the design, construction and operation of vessels. One result of its efforts has been that these international standards now increasingly align more closely with the standards of the United States to ensure consistent and effective vessel operations worldwide.

In addition to its domestic duties, the Coast Guard conducts Overseas Contingency Operations under U.S. military Title 10 authorities in such activities as coastal patrol boat operations, port security, hazardous material management, anti-piracy operations and aids to navigation services. In these operations, the Coast Guard supports the U.S. Navy by providing focused, short-term, specialized resources that support and complement Department of Defense roles and missions. Indeed, throughout its history, the Coast Guard has fought alongside the other services in all of the Nation's wars, providing specialized capabilities required for the defense of the United States.



Photo 16

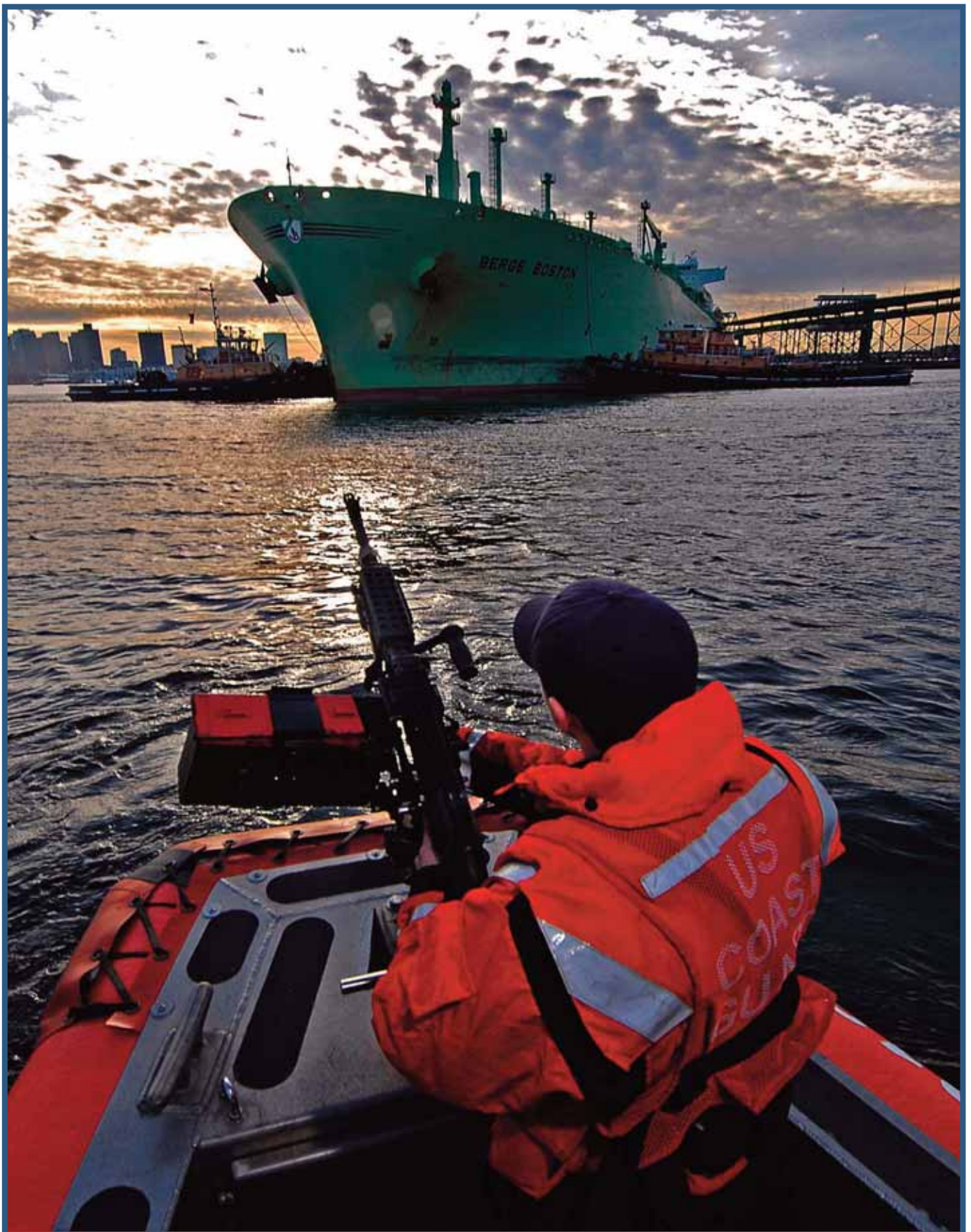


Photo 17

IV PRESENCE, PARTNERSHIPS AND AUTHORITIES

The Prevent – Respond strategy demands an active, agile, and capable Coast Guard. The Coast Guard meets this demand through strategic placement of its assets, manned by its highly-skilled personnel, with over two centuries of institutional experience in its mission. Strategic deployment of assets depends on a variety of factors including current and future risks and historic trends in demand for services. The Coast Guard's engagements strongly reinforce a 'whole of government' approach, using extensive partnerships with federal, state, local and tribal authorities. Although the Coast Guard's major presence is on or near the Nation's waters, the Service also deploys its assets abroad to leverage international partnerships to meet and mitigate threats before they reach our shores.

Unity of Effort

The Coast Guard uses the National Incident Management System, an approach that guides cooperation among multiple agencies to leverage their unique capabilities, authorities and responsibilities in a unified response. For instance, in the third consecutive year of major flooding in the Red River Valley of North Dakota and Minnesota, the Coast Guard joined FEMA, the Army Corps of Engineers and local authorities as a key member of the Unified Command. Fifty-four Coast Guard personnel along with two airboats, two MH-65 helicopters, two Coast Guard Auxiliary communications units, and aircraft and boat maintenance support teams coordinated evacuations, relocations, communications and overall rescue efforts.

As the earlier discussion illustrated, the demands of today's complex maritime environment are growing in scope and intensity. Yet, the fiscal realities of constrained resources require that the Coast Guard think deliberately about how best to deploy its personnel and assets to achieve maximum leverage. Where the Coast Guard cannot itself be physically present at all times, it must engage thoughtfully with its partners throughout the marine transportation system to make best use of state, local, and tribal authorities, roles, and responsibilities. Wherever necessary, the Coast Guard must ensure that appropriate regulations are devised, kept updated, and enforced to ensure a sound basis for all domestic maritime operations.

PRESENCE

The Nation's waters – inland waterways, lakes, ports, territorial seas, and EEZ – determine the Coast Guard's primary operational presence. As operational demands ebb and flow, the

The Coast Guard Reserve and Auxiliary

Coast Guard Reserve

Established in 1941, the Coast Guard Reserve is a force of nearly 8,000 that provides surge capacity in times of crisis, as well as routine mission augmentation and support to maritime homeland security, national defense, and domestic disaster operations. In recent years, Coast Guard Reservists have filled critical roles in responses to Hurricanes Katrina and Rita, the Haiti earthquake, and during the BP Deepwater Horizon Oil Spill. Coast Guard Port Security Units, comprised of reserve personnel, are deployed abroad in support of Operations Enduring Freedom and Iraqi Freedom to provide waterborne security at key strategic ports in Iraq, Kuwait and Bahrain.

Coast Guard Auxiliary

The Coast Guard Auxiliary is a civilian, all-volunteer component of the U.S. Coast Guard. Established by Congress in 1939, it is comprised of more than 30,000 members who donate their time and effort, as well as their personal boats, aircraft, and radio facilities to assist the Coast Guard. In addition to providing a valuable presence on our Nation's waters, they verify that private aids to navigation are working properly, teach boating safety classes, and conduct vessel safety and commercial fishing vessel examinations. In an average year, Coast Guard Auxiliarists volunteer more than 4 million hours, save 800 lives, conduct 132,000 vessel safety checks, and teach 2,800 boating safety courses.

Coast Guard adjusts its mix of personnel, ships, boats, and aircraft to meet operational needs. A capable fleet of long-range surface and air assets is necessary for the Coast Guard to ensure the safety, security and stewardship of the Nation's waters.

The complexity of modern maritime shipping and global commerce demonstrates the need for the Coast Guard to also maintain an operating presence abroad in selected locations (see Annex E). Over time, these locations have varied, but they have always been designed to ensure that movements of people and goods originating from foreign ports do not pose a risk to the Nation, its citizens, or the marine transportation system.

In all cases, judgments regarding the Coast Guard's physical presence rest on mission needs first and a determination of how best to leverage Coast Guard assets to accomplish those missions under all operating conditions.

The Coast Guard is served by nearly 59,000 highly-skilled and dedicated maritime professionals – active duty, reserve, and civilian men and women, performing their rigorous duties on shore and at sea, around the world. They are aided domestically by the services of 30,000 volunteer auxiliary men and women. The Service's professionals, at all ranks, are leaders who are trained and experienced in military operations, law enforcement, search and rescue, port operations, maritime shipping and crisis management. Coast Guard men and women know how to work effectively with government and industry partners not only when circumstances call for unity of command, but also – and importantly – when differing authorities, capabilities and responsibilities call for unity of effort. Annex C, D, and E offer laydown of the Coast Guard presence, domestically, and internationally, respectively.

The Coast Guard's presence in maritime communities around the United States, including the territories of Guam, Puerto Rico, American Samoa, and the U.S. Virgin Islands, allows the Coast Guard to establish



Photo 18

strong partnerships with neighboring first responder communities and maritime security agencies as well as other elements of the Homeland Security enterprise when danger threatens or help is needed. Looking to the future, the Coast Guard's fleet of cutters, boats, and aircraft is being designed to provide the agility, durability, and endurance necessary to maximize the ability of the Coast Guard to be present – whether continuously, seasonally, or on call – whenever the need demands.

PARTNERSHIPS

Where the Coast Guard cannot itself always be physically present, and even where it can, the Coast Guard depends vitally on the many and varied partnerships across the Homeland Security enterprise. The Coast Guard leverages its partnerships at all levels across federal, state, local, territorial, and tribal governments to protect the American public and the extensive coastline of the United States, to regulate and enforce U.S. law on the seas, and to preserve the vast American EEZ. Partnerships with international authorities, private industry, port operators, and professional mariners also help keep access to the Nation's waters open, secure and safe.

Today, of course, governments at all levels and firms of all kinds have redoubled their efforts to ensure fiscal responsibility and reduce costs. At the same time, the public also expects that the high standards of performance and professionalism they have come to associate with the Coast Guard will continue as the hallmark of its operations. Active and effective partnerships help the Coast Guard meet these high standards while controlling costs.

The Coast Guard cooperates with federal, state, local and tribal agencies to coordinate patrol activity, conduct joint boardings and inspections, share intelligence, and collaborate on ways to improve safety, security, and stewardship in ports and offshore. Cooperation with the private sector includes working

with industry groups to establish best practices, improve regulatory compliance, evaluate risk, report unusual or suspicious activity, and participate in exercises to improve readiness.

The Coast Guard's role under the National Contingency Plan (NCP) illustrates one example of effective government, industry, and non-government partnership. Under the NCP, the Coast Guard co-chairs the National Response Team (NRT) with the Environmental Protection Agency that includes 16 federal agencies responsible to plan and prepare for oil spills and hazardous materials incidents in the United States. The NRT helps to coordinate entities at the national, regional and local levels, including state, tribal, private sector, and non-government organizations. In the event of an actual spill in the maritime environment, the Coast Guard serves a lead role as the Federal On-Scene Coordinator (FOSC), directing all response activities including oversight of the party responsible for the spill.

The Coast Guard's longstanding partnerships also support international regulation and enforcement regimes. Strong partnerships under the IMO allow the Coast Guard to influence these key international maritime standards. In addition, the Coast Guard maintains a series of bilateral agreements with other international maritime authorities in areas such as fisheries and counternarcotics to address unlawful and other criminal activity on the high seas.

The Coast Guard engages in a variety of regional arrangements, for example, the North Pacific Coast Guard Forum that brings together member countries to coordinate fisheries enforcement operations in the North Pacific. In 2007, the Coast Guard Cutter BOUTWELL, with a Chinese fisheries enforcement officer on board, intercepted the Chinese vessel LU RONG that was engaged in illegal drift net operations, a vessel first detected by a Japanese maritime patrol aircraft. These types of cooperative operations reflect the importance and value of partnerships at every level for international maritime operations.



Photo 19

AUTHORITIES

Finally, the Coast Guard's wide-ranging and comprehensive authorities touch every facet of waterborne activity in this country and, indeed, reach to cover national maritime interests beyond the Nation's waters when necessary. Coast Guard authorities allow for the enforcement of laws from the Nation's shores to the high seas, to ensure the safety and security of vessels and people, the protection of natural resources, the effective response to natural and other threats, and protection from hostile actors.

Where the Coast Guard is not immediately present, its authority can be felt through the considerable body of regulation it issues pursuant to authorities and responsibilities given by Congress (see Annex F). These authorities are deployed in tandem with those of other federal and local authorities, as well as those of foreign partners, to provide a comprehensive framework for maritime safety, security and stewardship. Through these regimes and authorities, the Coast Guard can project presence, and where the Coast Guard cannot be present, its partnerships and authorities help create a comprehensive operating system that effectively reaches every square mile of U.S. waters.



The Port of Singapore

Photo 20

Why Does The United States Coast Guard Operate Abroad?

The Coast Guard actively engages abroad to ensure the safety, security and stewardship of the Nation's waters. Coast Guard personnel travel worldwide to verify that foreign ports operate securely to reduce the risk that ships bound for the United States might pose any threats to the homeland. Coast Guard inspectors based in Singapore, Rotterdam, and Yokota examine U.S. commercial ships in foreign ports and shipyards around the world to verify that the ships meet critical standards for safety and security. Coast Guard teams train the maritime forces of developing nations in law enforcement, port and vessel security, and the protection of their waters to build partner capacity worldwide. Coast Guard teams also work with counterparts in other countries to combat the smuggling of narcotics. As the United States representative to the International Maritime Organization, the Coast Guard negotiates comprehensive treaties and agreements that set important standards for ship construction, operation and management.



Photo 21

CONCLUSION

With intensifying globalization, changing patterns of world trade, advances in technology, and a growing competition for natural resources, the role of the Coast Guard has never been more important. Its highly skilled workforce and capable assets allow the Service to fulfill its mission and protect the Nation's maritime interests. The core strategy of prevention and response is executed through an integrated architecture of regulation, monitoring, oversight, and operations that sets and enforces the highest standards in the world for maritime safety, security, and stewardship. The Coast Guard's law enforcement and operational activities reinforce a strategic emphasis on prevention while at the same time, position the Coast Guard to respond rapidly and effectively under a wide range of conditions when the need demands.

The Coast Guard has developed robust, enduring, and trusted partnerships with state, local and tribal authorities, as well as with private industry and local communities of mariners across the Nation and around the world. The Coast Guard's international relationships and partnerships throughout the marine transportation system give it visibility and access to each link in the global maritime supply chain. The Coast Guard leverages all of these engagements to ensure that the full breadth of its mission is fulfilled.

As a federal law enforcement agency and armed force, the Coast Guard has comprehensive authorities to regulate and enforce safety requirements for all persons, boaters, and shippers while on the water. It deploys these authorities to ensure the security of U.S. waterways and approaches, as well as to oversee the responsible stewardship of our national maritime resources.

Through its operational presence, robust partnerships, and broad authorities, the Coast Guard serves as an agile and ready force in the service of the Nation, underway every day securing the peace and prosperity of the American homeland.

Always ready!



Photo 22

ANNEXES

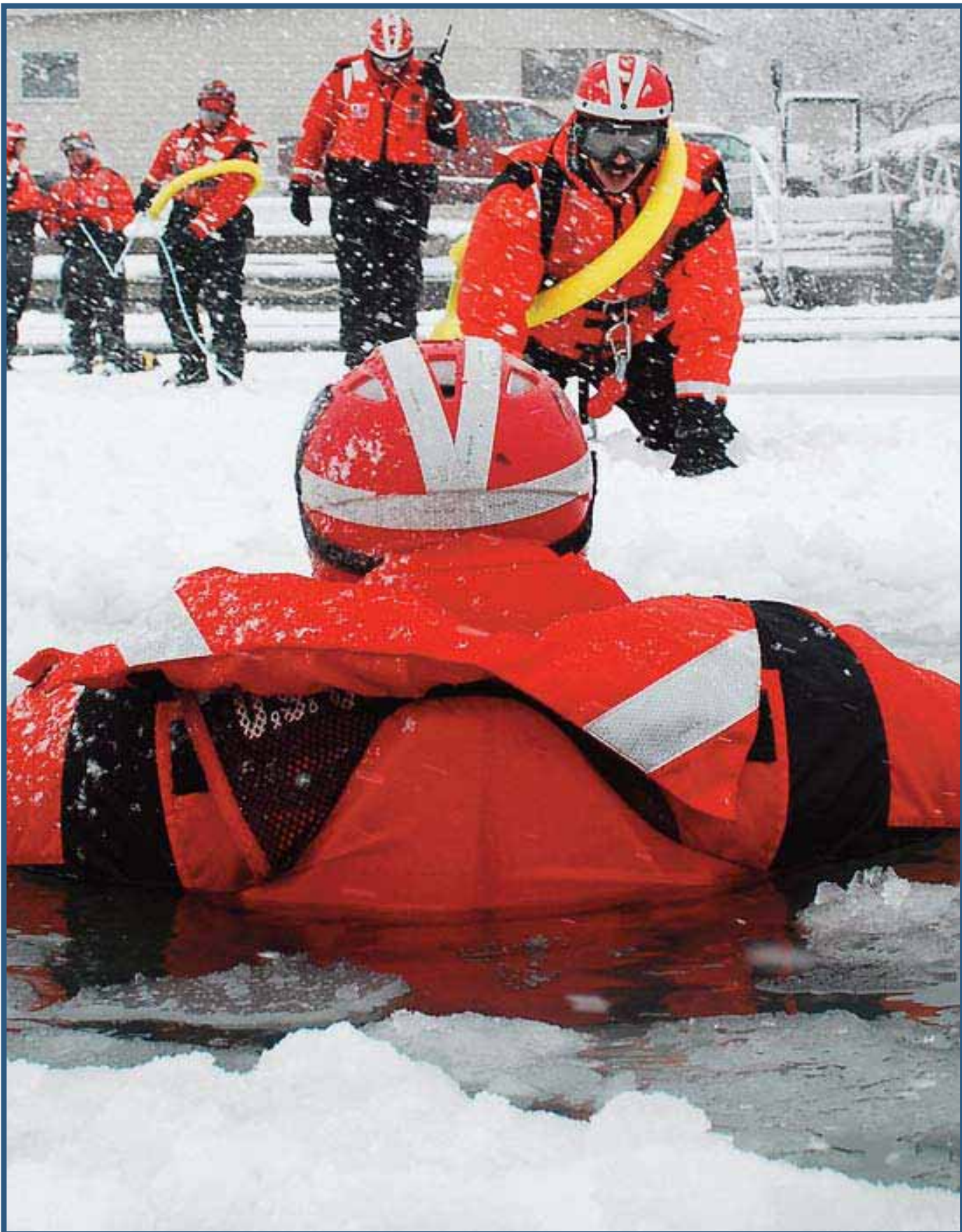


Photo 23

ANNEX
A
STRATEGIC CONCEPT AT-A-GLANCE

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ANNEX A

MISSION OF THE UNITED STATES COAST GUARD

ENSURE THE SAFETY, SECURITY AND STEWARDSHIP
OF THE NATION'S WATERS

PREVENT — RESPOND

REGULATE
MONITOR
ENFORCE
OPERATE

AUTHORITIES
PARTNERSHIPS
PRESENCE

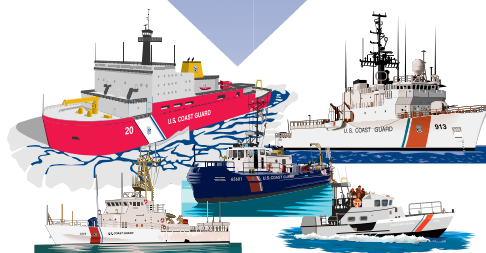




Photo 24

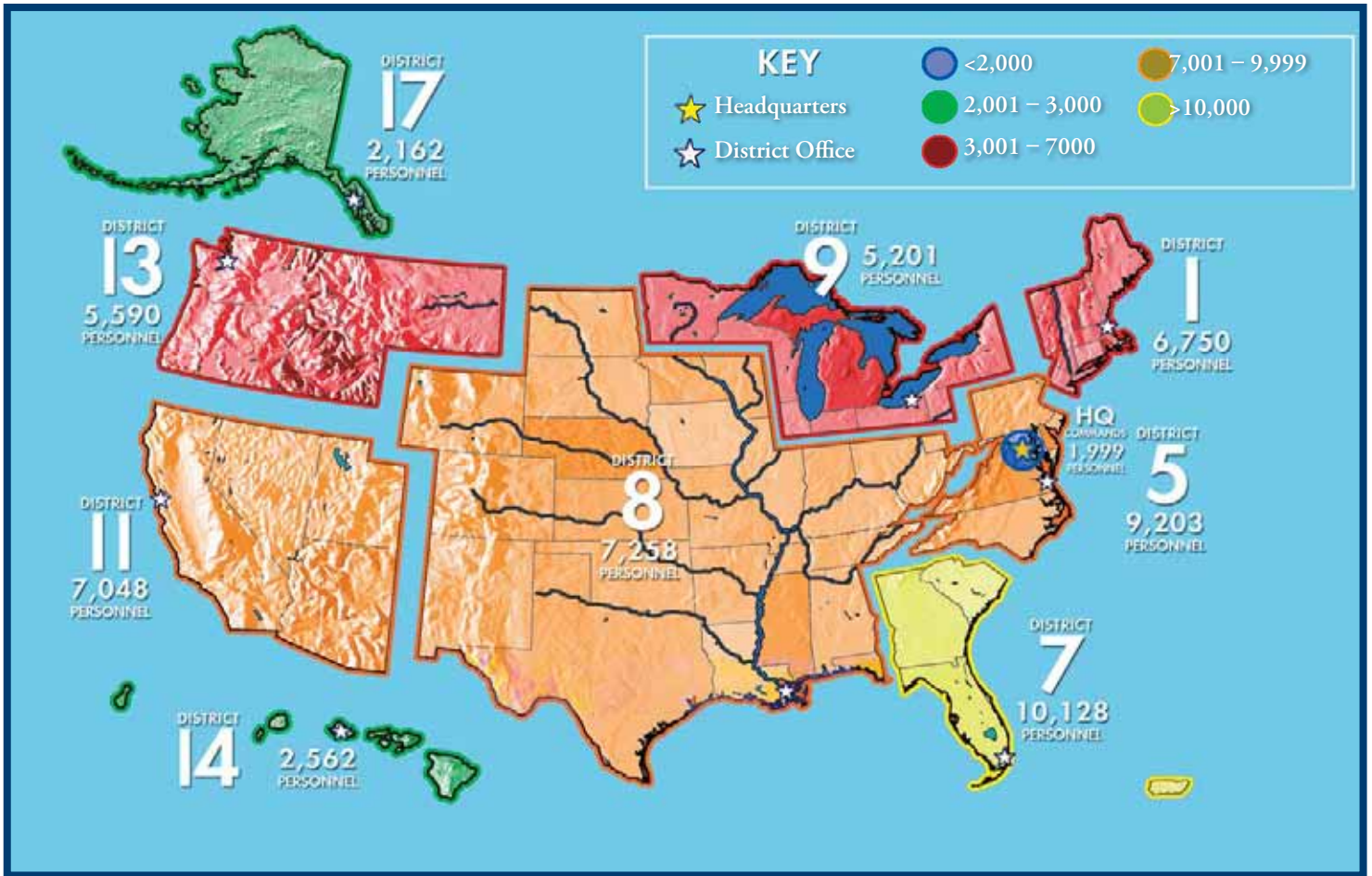
ANNEX B

COAST GUARD DISTRICT LAYDOWN AND NOTIONAL DEPLOYMENT

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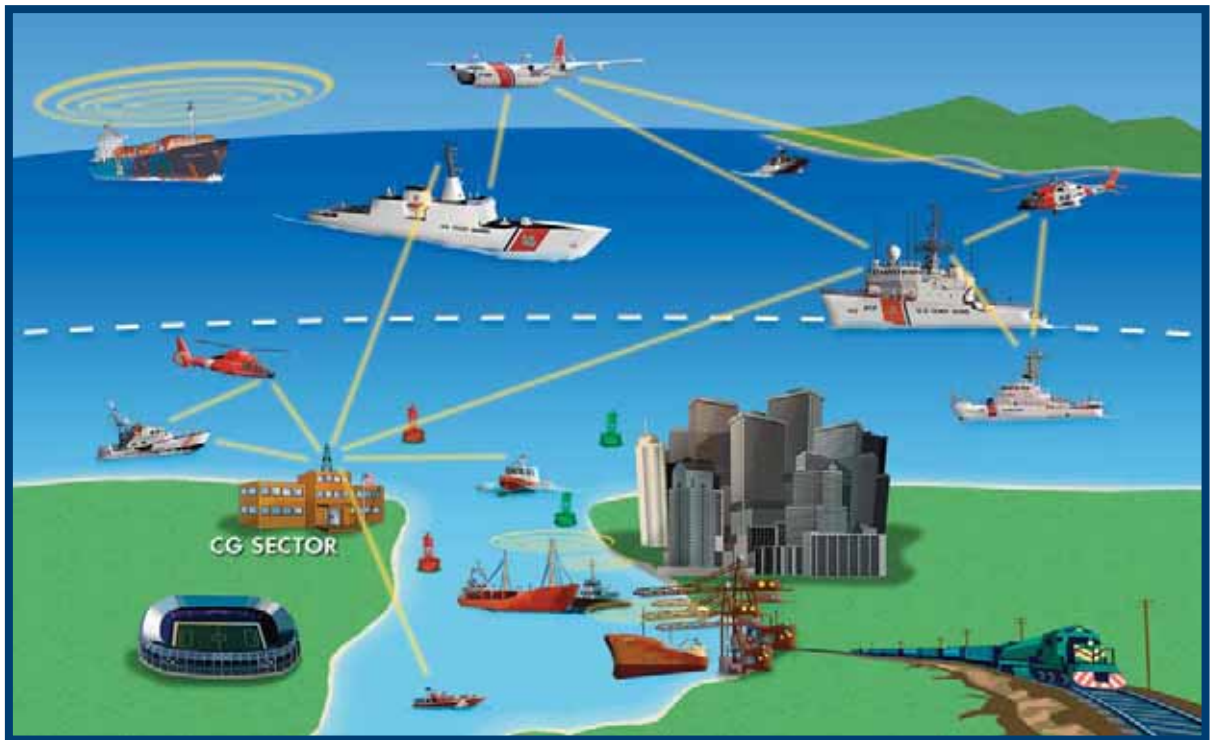
ANNEX B

COAST GUARD DISTRICT LAYDOWN AND NOTIONAL DEPLOYMENT



Major cutters working in concert with aviation assets and leveraging robust electronic sensor capabilities are charged with enforcing laws and guarding our Nation's safety and security across the maritime domain. Speed, reliability, range, and endurance of these assets are critical to mission performance. This chart reflects a normal application of Coast Guard assets to protect U.S. interests on the high seas and in the maritime domain.

Source: U.S. Coast Guard



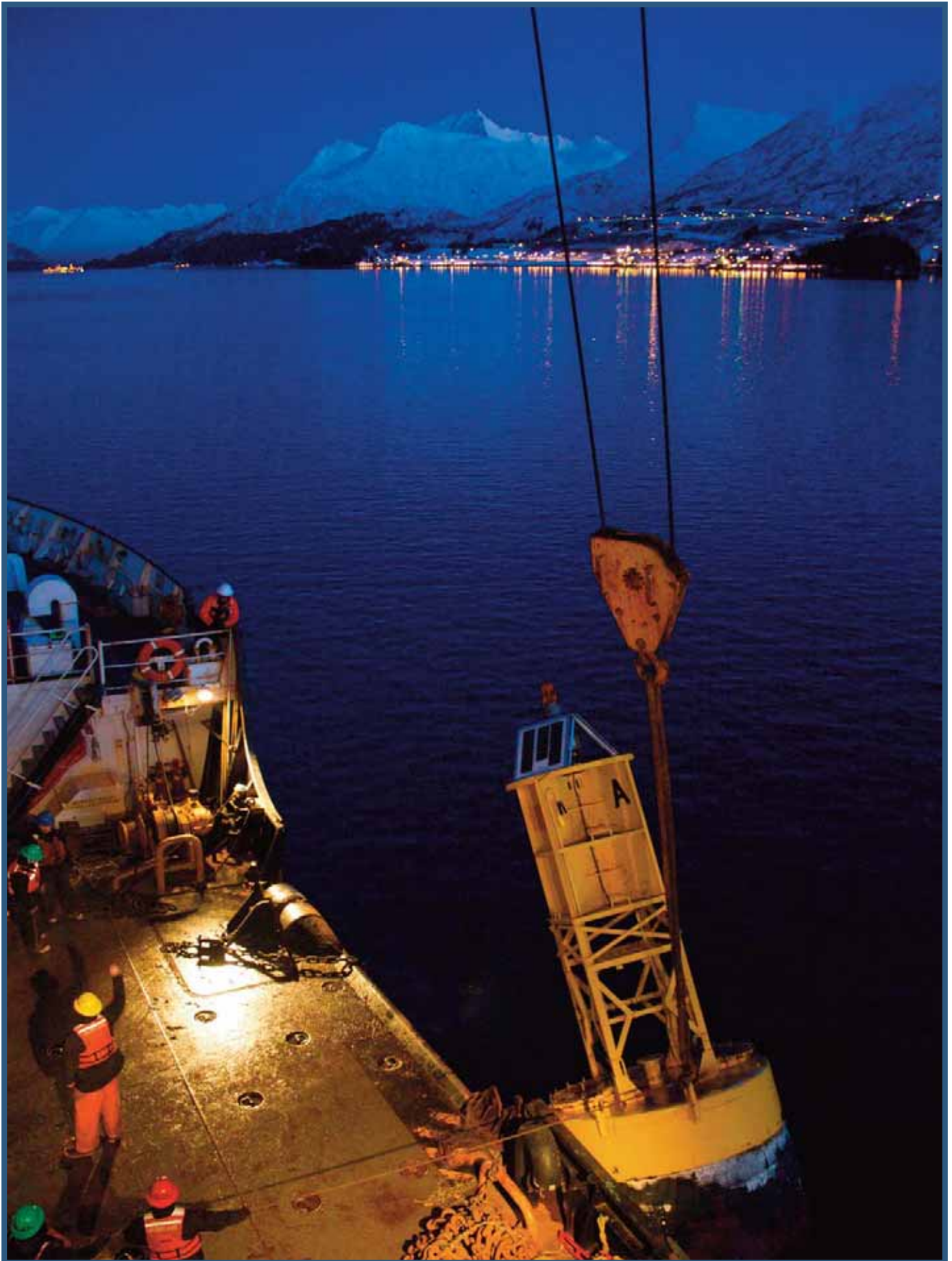


Photo 25

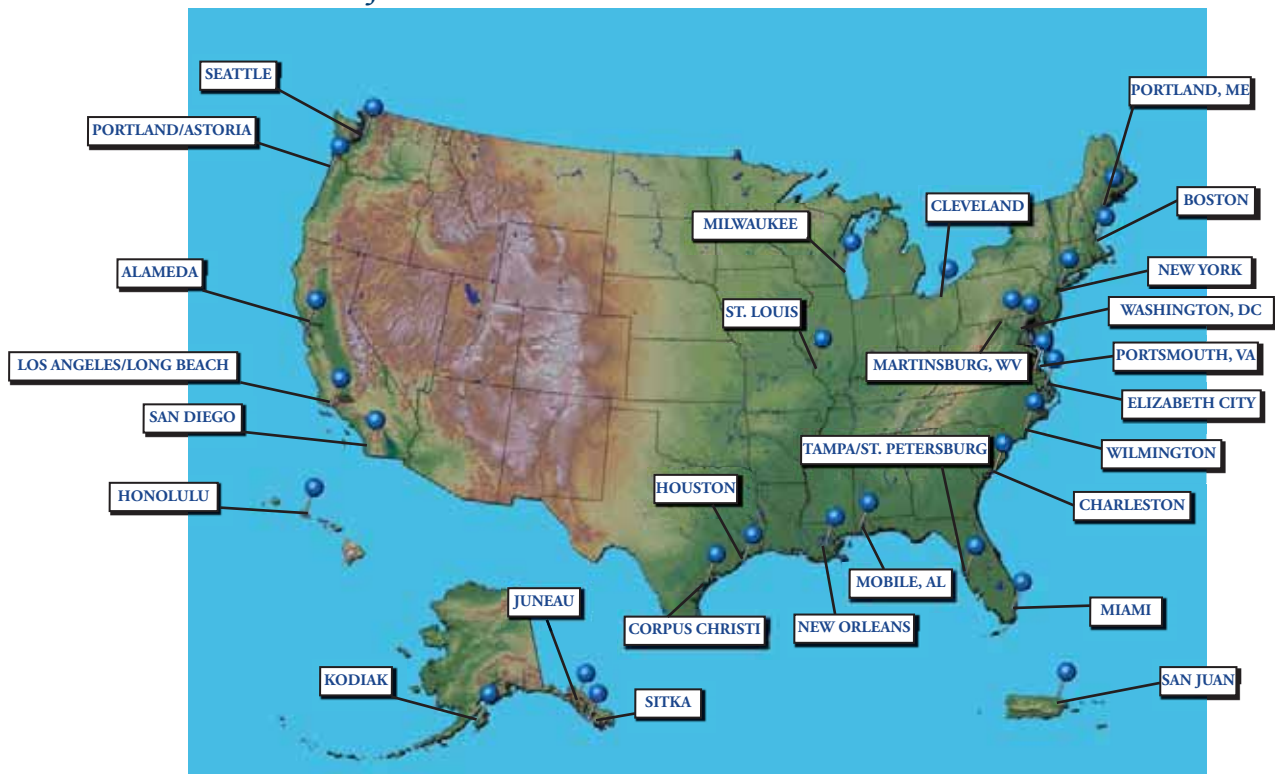
ANNEX C

MAJOR COAST GUARD CONCENTRATIONS AND ASSET DISTRIBUTION

ANNEX C

MAJOR COAST GUARD CONCENTRATIONS AND ASSET DISTRIBUTION

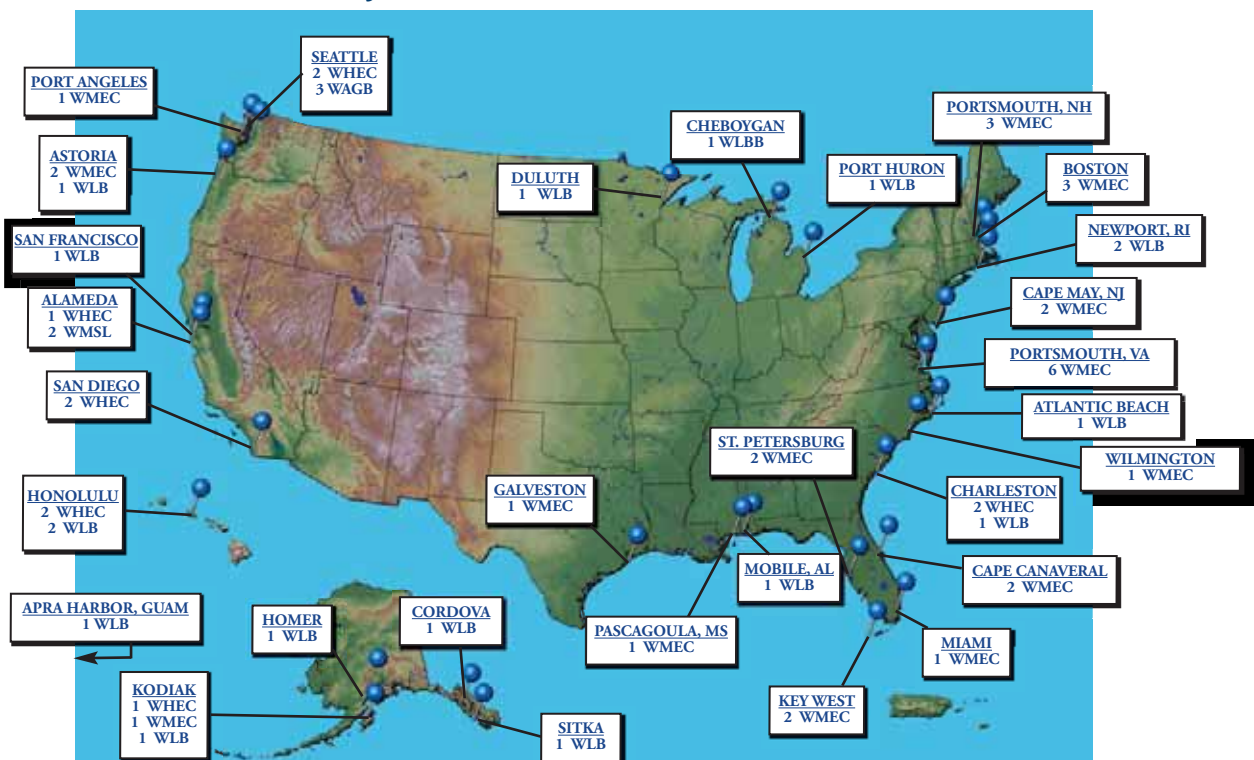
MAJOR COAST GUARD CONCENTRATIONS*



* Three or more units, 300 or greater personnel

Source: U.S. Coast Guard

MAJOR CUTTER HOMEPORTS*



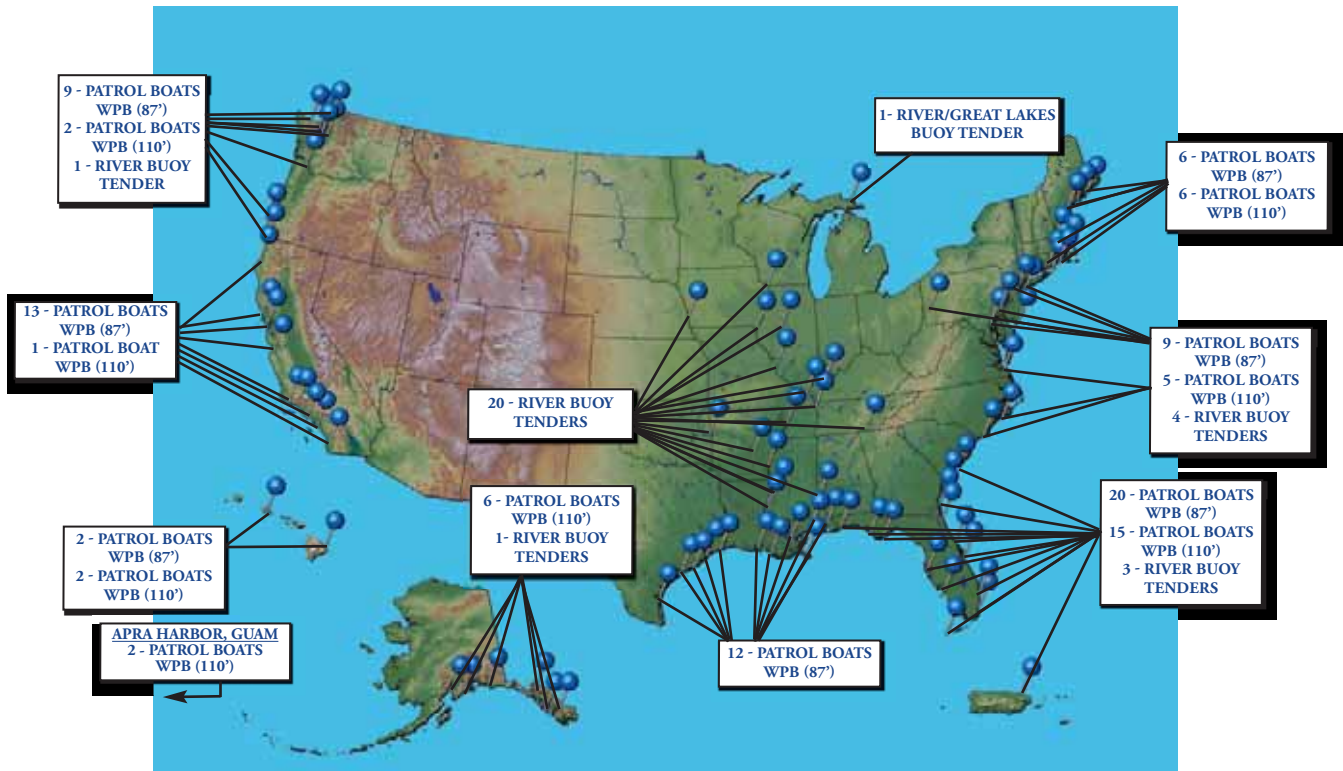
*Coast Guard Cutters equal to or greater than 210' in length

Source: U.S. Coast Guard

ANNEX C

MAJOR COAST GUARD CONCENTRATIONS AND ASSET DISTRIBUTION

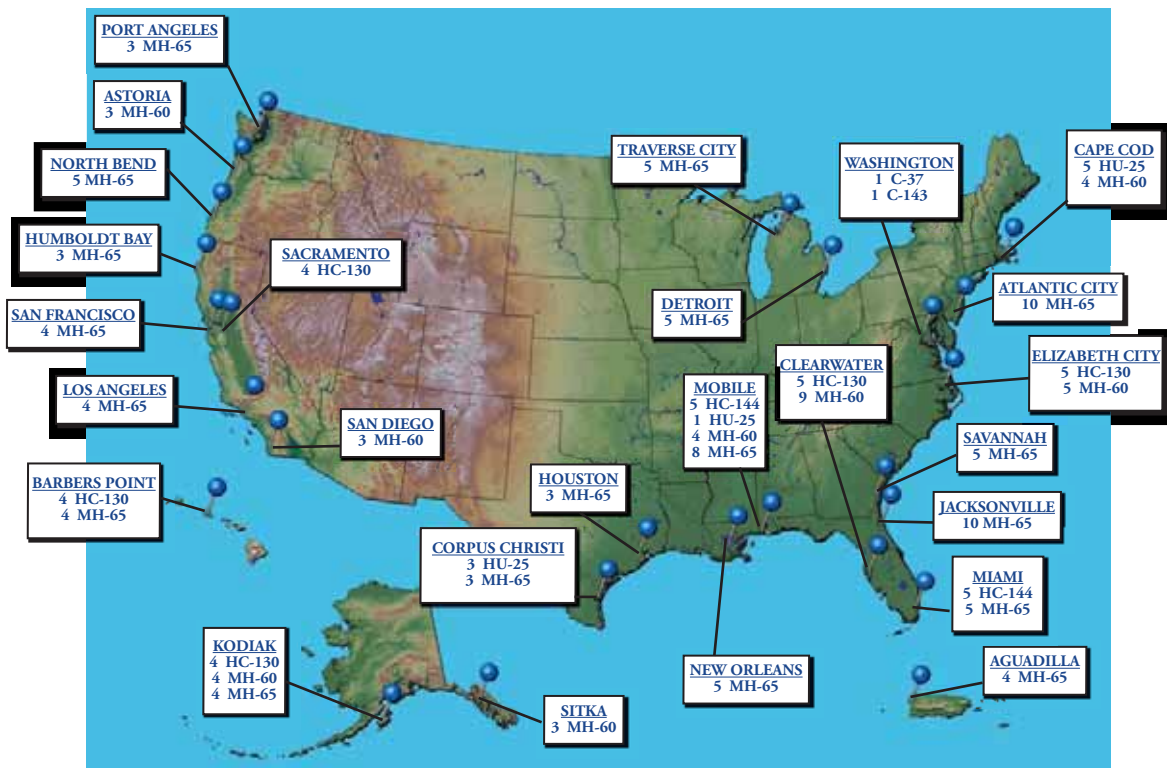
RIVER BUOY TENDERS AND PATROL BOATS*



* Lines may depict multiple units at the same location.

Source: U.S. Coast Guard

AVIATION ASSETS



Source: U.S. Coast Guard



Photo 26

ANNEX D

CURRENT FORCE

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ANNEX D

CURRENT FORCE

PEOPLE

ACTIVE DUTY – 43,001

Enlisted – 34,032



Officers – 8,969



RESERVE – 7,873

Enlisted – 6,617



Officers – 1,256



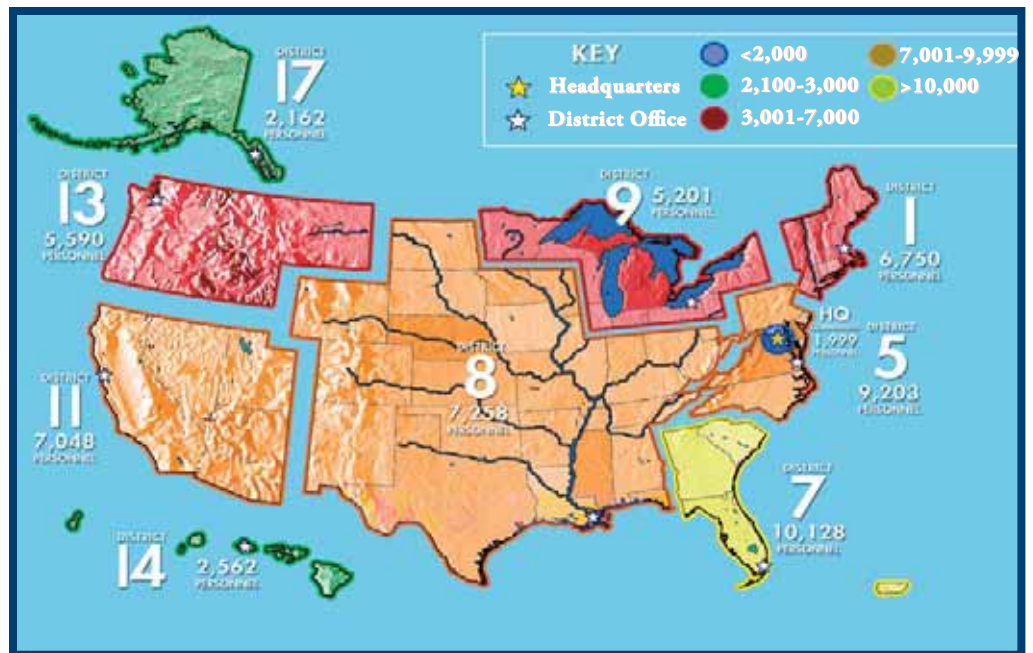
CIVILIAN – 8,127



AUXILIARY – 30,000



NOTE: Each icon represents 1000 members



FLEET

● IN-SERVICE ○ UNDER CONSTRUCTION



CUTTERS

NATIONAL SECURITY

● 2

○ 2

ICEBREAKER

● 2

378' HIGH ENDURANCE

● 10

OFF-SHORE PATROL

● 0

295' BARQUE *EAGLE*

● 1

282' MEDIUM ENDURANCE

● 1

270' MEDIUM ENDURANCE

● 13

240' DOMESTIC ICEBREAKER

● 1

225' SEA GOING BUOY TENDER

● 16

210' MEDIUM ENDURANCE

● 14

175' COASTAL BUOY TENDER

● 14

154' FAST RESPONSE CUTTER

● 1

○ 6

140' DOMESTIC ICEBREAKER

● 9

110' PATROL BOAT

● 41

100' INLAND ATON VESSELS

● 3

87' PATROL BOAT

● 73

75' INLAND ATON VESSELS

● 20

65' INLAND ATON VESSELS

● 21

AIRCRAFT

HC-144 OCEAN SENTRY

● 11

HC-130 HERCULES

● 28

HU-25 FALCON

● 11

MH-60 JAYHAWK

● 40

MH-65 DOLPHIN

● 100

BOATS

47' MOTOR LIFE BOAT

● 117

45' RESPONSE BOAT – MEDIUM

● 63

○ 16

41' UTILITY BOAT

● 78

33' SPECIAL PURPOSE CRAFT – LAW ENFORCEMENT

● 56

25' PORT SECURITY BOAT

● 59

○ 5

25' RESPONSE BOAT – SMALL

● 498



Photo 27

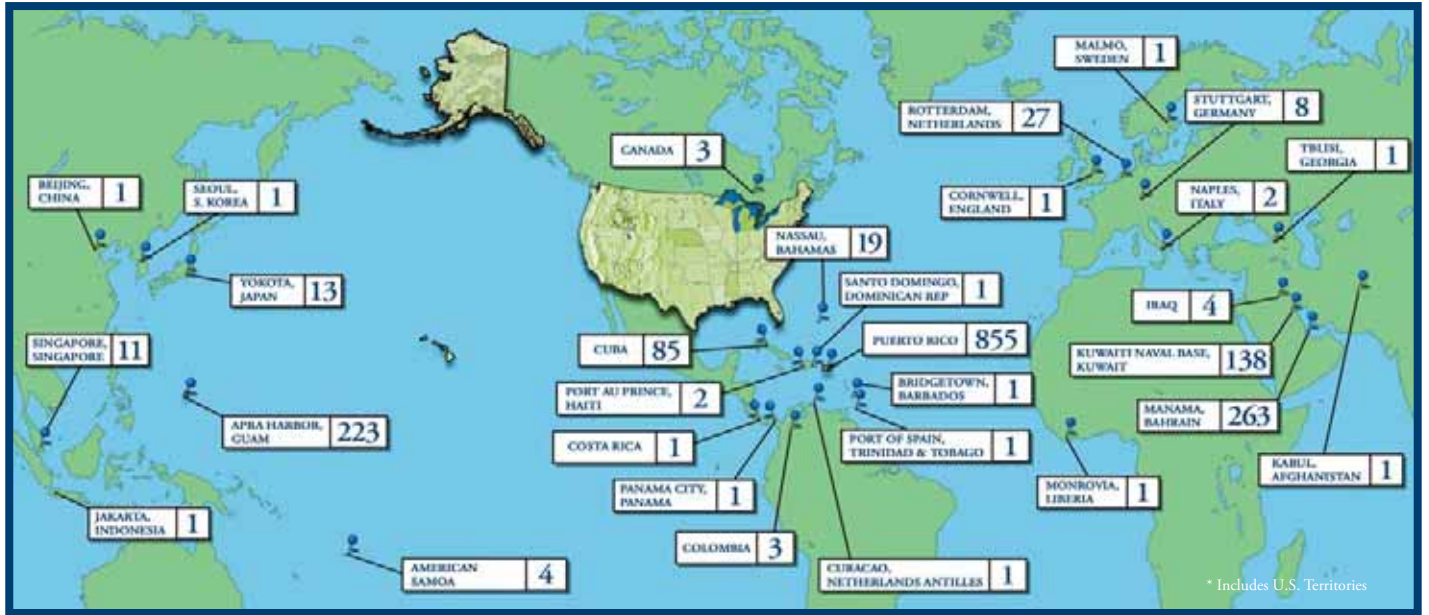
ANNEX E

INTERNATIONAL PRESENCE

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ANNEX E

INTERNATIONAL PRESENCE



CHINA (1)
BEIJING
1 – USCG LIAISON

SOUTH KOREA (1)
SEOUL
1 – USCG LIAISON

JAPAN (13)
YOKOTA
13 – ACTIVITIES FAR EAST

SINGAPORE (11)
SINGAPORE
11 – MARINE INSPECTION DETACHMENT

GUAM (223)
APRA HARBOR
150 – SECTOR
41 – CGC SEQUOIA (WLB-225)
16 – CGC WASHINGTON (WPB-110)
16 – CGC ASSATEAGUE (WPB-110)

INDONESIA (1)
JAKARTA
1 – USCG LIAISON

AMERICAN SAMOA (4)
PAGO PAGO
4 – MARINE SAFETY DETACHMENT

CANADA (3)
OTTAWA
1 – LIAISON TO ROYAL CANADIAN MOUNTED POLICE
GREENWOOD
1 – ROYAL CANADIAN AF EXCHANGE PILOT
COMOX
1 – ROYAL CANADIAN AF EXCHANGE PILOT

CUBA (85)
HAVANA
1 – DRUG INTERDICTION SPECIALIST
GUANTANAMO BAY
4 – AVIATION DETACHMENT
80 – PORT SECURITY UNIT

HAITI (2)
PORT-AU-PRINCE
1 – USCG LIAISON
1 – MARITIME OPS CHIEF

COSTA RICA (1)
SAN JOSÉ
1 – USCG LIAISON

PANAMA (1)
PANAMA CITY
1 – USCG LIAISON

COLOMBIA (3)
BOGOTA
1 – USCG LIAISON
CARTAGENA
2 – TACTICAL ANALYSIS TEAM

NETHERLANDS ANTILLES (1)
CURACAO
1 – INTERNATIONAL MARITIME ORGANIZATION REGIONAL CONSULTANT

LIBERIA (1)
MONROVIA
1 – USCG MARITIME ADVISOR

TRINIDAD & TOBAGO (1)
PORT OF SPAIN
1 – USCG LIAISON

BARBADOS (1)
BRIDGETOWN
1 – USCG LIAISON

PUERTO RICO (855)
SAN JUAN
568 – SECTOR
16 – CGC CHINCOTEAGUE (WPB-110)
16 – CGC CUSHING (WPB-110)
16 – CGC FARALLON (WPB-110)
16 – CGC KEY LARGO (WPB-110)
16 – CGC MATINICUS (WPB-110)
16 – CGC SAPELO (WPB-110)
11 – CGC REEF SHARK (WPB-87)
AGUADILLA
177 – AIR STATION
3 – TECHNICAL ASSISTANCE FIELD TEAM

DOMINICAN REPUBLIC (1)
SANTO DOMINGO
1 – USCG LIAISON

BAHAMAS (19)
NASSAU
1 – USCG LIAISON
18 – OPBAT OPERATIONS CENTER

SWEDEN (1)
MALMO
1 – WORLD MARITIME UNIVERSITY

NETHERLANDS (27)
ROTTERDAM
27 – MARINE INSPECTION OFFICE

ENGLAND (1)
CORNWALL
1 – U.K. ROYAL NAVY EXCHANGE PILOT

GERMANY (8)
STUTTGART
1 – JOINT OPERATIONS CENTER
1 – COUNTER NARCO TRAFFICKING CHIEF
3 – LEGAL ADVISORS
2 – USCG LIAISON
1 – OUTREACH

GEORGIA (1)
TBLISI
1 – USCG MARITIME ADVISOR

ITALY (2)
NAPLES
2 – USCG LIAISON

IRAQ (4)
BAGHDAD
1 – MARITIME SECURITY ADVISOR
UMM QASR
3 – LAW ENFORCEMENT DETACHMENT

KUWAIT (138)
KUWAITI NAVAL BASE
124 – PORT SECURITY UNIT
14 – REDEPLOYMENT ASSISTANCE AND INSPECTION DETACHMENT (RAID) TEAM

BAHRAIN (263)
MANAMA
167 – PATROL FORCES SOUTHWEST ASIA
16 – CGC ADAK (WPB-110)
16 – CGC AQUIDNECK (WPB-110)
16 – CGC BARANOF (WPB-110)
16 – CGC MAUI (WPB-110)
16 – CGC MONOMOY (WPB-110)
16 – CGC WRANGELL (WPB-110)

AFGHANISTAN (1)
KABUL
1 – LEGAL ADVISOR



Photo 28

ANNEX F

SELECTED LEGAL AUTHORITIES

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ANNEX F

SELECTED LEGAL AUTHORITIES

The Coast Guard is vested with broad authorities to ensure the safety, security and stewardship of the Nation's waters. Although the Coast Guard derives its principal authorities from Title 10 and Title 14 of the U.S. Code, its enforcement and regulatory authorities are robust and comprehensive.

U.S. Code	Relevant Subtitles, Chapters, and Sections	General Descriptions
Title 6: Domestic Security	<ul style="list-style-type: none"> • Homeland Security Act of 2002 (Sec 888) 	<ul style="list-style-type: none"> • Transferred the Coast Guard to DHS • Reinforces the Coast Guard as the Nation's first responder for maritime safety, security and stewardship
Title 10: Armed Forces	<ul style="list-style-type: none"> • Armed Force (Sec 101) • Assignment of Coast Guard Personnel to Naval Vessels (Sec 379) • Not an agency of DOD (Sec 111) • DOD is the lead agency for detection & monitoring of aerial and maritime transit of illegal drugs (Sec 124) • Uniform Code of Military Justice (Ch. 47) 	<ul style="list-style-type: none"> • Defines the Coast Guard as an Armed Force • Allows the Navy to assist the Coast Guard in law enforcement operations
Title 14: Coast Guard	<ul style="list-style-type: none"> • Establishment of Duties (Ch. 1) • Functions and Powers (Ch. 5) • Cooperation with Other Agencies (Ch. 7) • Reserve and Auxiliary Forces (Part II (Ch. 21-25)) 	<ul style="list-style-type: none"> • Establishes the Coast Guard as a first responder, a law enforcement organization, a regulatory agency, and an armed force • Transfers the Coast Guard to the Navy upon declaration of war if Congress so directs or when the President directs • Provides authority to board and inspect any vessel subject to the jurisdiction of the United States, whether on the high seas, or on waters over which the United States has jurisdiction • Provides broad authorities to conduct Coast Guard missions, such as search and rescue, defense readiness, environmental response, regulation of offshore facilities, and security of ports, waterways and coastal areas • Enables partnerships and cooperation with other federal, state and local entities • Provides authority for maritime interdiction of illegal migrants • Provides authority to control anchorage and movement of vessels in navigable waters of the United States to ensure safety and security

**Title 16:
Conservation**

- Aquatic Nuisance Species Prevention and Control (Sec 4701-4727)
- Marine Mammals (Sec 1361)
- Regulation of Endangered Species (Sec 1531-1544)
- Magnuson-Stevens Fishery Conservation and Management Act (Sec 1851-1881)
- Illegal Taking of Fish and Wildlife (Sec 3371-3378)
- High Seas Fishing Compliance (Sec 5501-5509)

- Provides authority to fire into vessels from authorized platforms when vessels fail to heave to when warned
- Requires Coast Guard small boat stations to maintain at least one vessel that is capable of performing offshore rescue operations within their areas of responsibility
- Makes further provision to Title 19 that Coast Guard personnel, when acting as officers of the Customs, shall be subject to the regulations of the Secretary of the department in which the Coast Guard operates

**Title 19:
Customs Duties**

- Officer of Customs (Sec 1401)

- Provides authorities to regulate and/or enforce various laws related to marine life, including:
 - protection of endangered species
 - prevention of aquatic nuisance species in U.S. waters
- Provides authorities to enforce various laws related to marine life, including:
 - illegal taking of marine mammals
 - illegal taking of fish
 - illegal encroachment into the Nation's Exclusive Economic Zone
- Provides authority for Coast Guard petty officers, warrant officers, and commissioned officers to act as customs officers

**Title 33:
Navigation and
Navigable Waters**

- Ports and Waterways Safety Act (Sec 1221 et seq.)
- Act to Prevent Pollution from Ships (Sec 1901-1915)
- Federal Water Pollution Control Act / Clean Water Act (Sec 1251-1376)
- Oil Pollution Act of 1990 (Sec 2701-2720)
- Convention on the International Regulations for Preventing Collisions at Sea, 1972 (Sec 1601-1608)
- The Deepwater Port Act of 1974 (Sec 1501-1524)
- Harbor and River Improvements (Sec 408, 412-415)
- Ocean Dumping (Sec 1401-1441)

- Provides the authority needed to maintain the safety and security of vessels and people, and ensure the Nation's waters are clean
- Provides authority for environmental incident response, regulatory enforcement, and promulgation of rules and regulations that enhance vessel safety and environmental protection
- Provides authority to conduct surveillance and other enforcement activity to prevent illegal ocean dumping

Title 42: The Public Health and Welfare	<ul style="list-style-type: none"> • Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) (Sec 9601 et seq.) 	<ul style="list-style-type: none"> • Delegates to the Coast Guard by Executive Order functions for response and remediation with respect to vessel hazardous substance releases
Title 43: Public Lands	<ul style="list-style-type: none"> • Outer Continental Shelf Lands Act (Sec 1331-1356) 	<ul style="list-style-type: none"> • Provides authority to promulgate regulations which address working conditions on offshore drilling platforms
Title 46: Shipping	<ul style="list-style-type: none"> • Marine Safety and Security Authority (Subtitle II, III, VII, and VIII) of Title 46, U.S. Code • Recreational Vessel Safety (Sec 4301-4311 and 13101-13109 of Subtitle II of Title 46) • International Ice Patrol (46 U.S.C. Sec 80302) • Maritime Drug Law Enforcement Act (46 U.S.C. 70501) 	<ul style="list-style-type: none"> • Provides authority to regulate and prevent safety and security incidents occurring on U.S. and foreign flagged vessels • Provides authority to promulgate regulations for shipping, marine facilities, ports and the marine transportation system • Provides authority to establish safety standards for recreational vessels • Provides authority to enable Coast Guard members to make arrests at facilities in, on, or adjacent to, waters under jurisdiction of the United States • Requires the Coast Guard to maintain an ice patrol during ice season in the North Atlantic • Provides additional authorities for maritime drug interdiction
Title 47: Telegraphs, Telephones and Radiotelegraphs	<ul style="list-style-type: none"> • Global Maritime Distress and Safety System (Sec 363) 	<ul style="list-style-type: none"> • Provides authority to determine if U.S. flagged vessels are equipped with the proper distress and safety systems
Title 50: War and National Defense	<ul style="list-style-type: none"> • Regulation of Vessel Movement in National Emergencies (Sec 191) • Intelligence Activities (Sec 401) 	<ul style="list-style-type: none"> • Provides authority to protect the safety and security of vessels and people during national emergencies • Designates the Coast Guard as a member of the National Intelligence Community and provides authority to conduct intelligence activities

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GLOSSARY

Aids to Navigation – Equipment used to assist mariners in determining position and warn of dangers and obstructions. Provides references such as audio, visual, or electronic signals to mariners.

Armed Forces of the United States – A term used to denote collectively the Army, Navy, Air Force, Marine Corps and Coast Guard. See 10 U.S.C. § 101 and 14 U.S.C. §1.

Capability – The ability to execute a specified course of action.

Commandant – Service Chief and top uniformed official of the United States Coast Guard.

Commandant's Direction – A planning document provided by the Commandant which features key themes, priorities or service objectives to be focused on during his or her tenure.

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. The concept is designed to give an overall picture of the operation.

Cutter – Among the U.S. Armed Forces, uniquely refers to a Coast Guard vessel at least 65 feet in length overall.

Exclusive Economic Zone (EEZ) – Includes the waters, including minerals and marine life, adjacent to the coastal states and territories of the United States – extending outward up to 200 nautical miles from the beginning of the territorial sea.

Flag State – A nation under whose laws a commercial vessel is registered or licensed. A flag state has the authority and responsibility to enforce regulations over vessels registered under its flag.

High Seas – All waters seaward of the territorial sea of the United States and other nations.

Intelligence Community (IC) – All departments or agencies of a government that are concerned with intelligence activity, either in an oversight, managerial, support or participatory role.

International Maritime Organization (IMO) – A specialized agency of the United Nations consisting of 168 member states. The IMO's main task is to develop and maintain a comprehensive regulatory framework for shipping including safety, security, environmental, legal and technical cooperation matters.

Law Enforcement Detachments (LEDETS) – Teams of specialized, Coast Guard personnel who deploy aboard naval vessels to conduct and support maritime law enforcement, interdiction and security operations.

Littoral Regions – The part of a sea, lake, or ocean that is near the shore. This area includes sand bars and shallow water.

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

Maritime Domain – All things related to a sea, ocean, or other navigable waterway, including

all maritime-related activities, infrastructure, people, cargo, vessels and other conveyances.

Maritime Domain Awareness (MDA) – The effective understanding of anything associated with the global maritime domain that could affect the safety, security, and stewardship of the Nation’s waters.

Maritime Operational Threat Response (MOTR) Plan – A plan that aims for coordinated United States Government response to threats against the United States and its interests in the maritime domain by establishing roles and responsibilities that enable the government to respond quickly and decisively.

Military Service – A branch of the Armed Forces of the United States, established by act of Congress, in which persons are appointed, enlisted, or inducted for military service, and which operates and is administered within a military or executive department. The military services are the: Army, Navy, Air Force, Marine Corps and Coast Guard.

Nation’s Waters – For the purpose of this document, describes all waters where U.S. interests require protection through the application of Coast Guard authorities and resources. This includes, but is not limited to, U.S. territorial seas, the U.S. EEZ, and international waters (high seas).

Port State Control – The exercise of controls over a foreign vessel by the government of a nation within which the vessel is operating. The goal of port state control is to eliminate substandard ships, which pose a threat to life, property and the marine environment.

The Quadrennial Homeland Security Review (QHSR) – An outline of the strategic framework to guide the activities of homeland security participants toward a common end. The QHSR acknowledges existing relationships, roles, and responsibilities, and sets forth a shared vision of homeland security to achieve unity of purpose.

Regulatory – Of or concerning a rule, law, order, or direction from a superior or competent authority regulating action or conduct.

Search and Rescue (SAR) – The use of available resources to assist persons and property in potential or actual distress. The Coast Guard is the lead agency for maritime SAR.

Territorial Sea – The waters adjacent to the coast and territories of the United States (normally 12 nautical miles wide).

Underway – Nautical term referring to vessel movement. Neither anchored nor moored to a fixed object.



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