



**UNITED STATES COAST GUARD  
COMMANDANT'S STRATEGIC INTENT  
2015 – 2019**



**MID-TERM REPORT**





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## THE COMMANDANT OF THE UNITED STATES COAST GUARD

WASHINGTON, D.C.

Two years ago, I issued my Commandant's Direction which introduced three principles characterizing our organizational focus: **Service to Nation, Duty to People, and Commitment to Excellence**. One year later, I promulgated my *Strategic Intent 2015-2019*, outlining our highest priorities and the investments required to meet them. Thanks to the support of our Department, the Administration, and Congress we are making great strides in building our 21st century Coast Guard.

Last year, we conducted the most aggressive campaign in recent history to combat transnational criminal networks at sea. In 2015, we disrupted 191 metric tons of cocaine and arrested over 700 smugglers. In 2016, we are on pace to remove record volumes of cocaine from criminal networks, providing much needed relief for governance and prosperity regimes in South and Central America. We also completed the National Security Cutter program of record and have just awarded the final contract to complete our Fast Response Cutter acquisition. Our 2016 budget provides the needed funding to down-select and award final design and construction of the Offshore Patrol Cutter. And, with the support of the President and Congress, we will accelerate the procurement of a new heavy icebreaker.

Despite this tremendous progress in recapitalizing the Coast Guard, challenges remain. The Coast Guard Reserve has dropped to its lowest level of personnel since the Korean War. As such, we must ensure we are able to maintain steady-state operations while surging to respond to crises such as a significant increase in maritime migration, a major pollution event, a terrorist threat, a cyber attack, and natural disasters. Our Nation expects us to be *Semper Paratus* for these events. We have proven to have the capability and capacity to do so in a singular event but face considerable mission risk in the event of simultaneity across the threat spectrum.

As stated in my *Strategic Intent*, I have not witnessed a more geo-strategically complex operational environment in my four decades of service. From the historic levels of violence in Central America to the complex reaches of cyberspace, we face a convergence of risks that demand an agile and proactive strategic posture for our Coast Guard. I am proud to offer this *Mid-Term Report* highlighting some of our accomplishments and outlining the way ahead within our strategic priorities.

***Semper Paratus***

A handwritten signature in blue ink, reading "Paul F. Zukunft".

ADMIRAL PAUL F. ZUKUNFT  
Commandant

A background image, tinted in a dark blue color, shows two Coast Guard crew members on a boat. They are wearing helmets and life jackets, and are focused on a piece of equipment or a console in the center of the boat. The water and sky in the background are also visible.

# STRATEGIC CHALLENGES & COAST GUARD APPROACHES





# STRATEGIC CHALLENGES

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## The Rise and Convergence of Transnational Organized Crime Networks

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Transnational Organized Crime (TOC) networks are fueled by immense profits from drug trafficking. Their indiscriminate use of violence weakens governments, stymies legitimate economic activity, and terrorizes peaceful citizens. Guided by our *Western Hemisphere Strategy*, the Coast Guard projects presence in the maritime transit zones where TOC networks are most vulnerable – at sea.

### Accomplishments:

- ✓ Increased surveillance aircraft, surface assets, and airborne use-of-force helicopters in support of Joint Interagency Task Force-South (JIATF-S), leading to the removal of 191 metric tons of cocaine and over 700 smugglers in 2015 and the removal of 245 metric tons of cocaine and 400 smugglers at the mid-point of 2016.
- ✓ Enhanced end-game capability by embarking over-the-horizon cutter boat and pursuit qualified crews aboard U.S. Navy vessels deployed to JIATF-S.
- ✓ Established Coast Guard's Support to Interdiction and Prosecution program in Central America.
- ✓ Expanded interagency and international cooperation within The Interdiction Committee (TIC) focusing on "farm-to-arm" opioid drug flow.

### Way Ahead:

- Continue building upon our international bilateral agreements to augment capacity, strengthen enforcement regimes, and gain better insight into TOC network activity.
- Pursue Foreign Military Sales opportunities and build maritime law enforcement capacity among Central American nations.
- Elevate engagement with our interagency partners to increase intelligence, surveillance, and reconnaissance (ISR) coverage and improve network analysis.
- Continue building interagency cooperation within the TIC.
- Acquire the Offshore Patrol Cutter (OPC) as a critical asset to combat criminal networks.

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# Imperative for Southern Maritime Border Security

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The southern border and approaches represents the most significant border threat to our Nation's security. As the lead federal agency for maritime law enforcement, the Coast Guard employs our *Western Hemisphere Strategy* and the Department of Homeland Security's *Southern Borders and Approaches Campaign* to secure maritime borders from a pervasive threat spectrum.

## Accomplishments:

- ✓ Responded to the 10-year high of Cuban maritime migration flow.
- ✓ Established Joint Task Force East; supported Joint Task Force West and Joint Task Force Investigations to instill unity of effort among Customs and Border Protection, Immigration and Customs Enforcement, and Department of Homeland Security (DHS) Headquarters.
- ✓ Increased intelligence collection and analysis support to Joint Task Force Investigations.
- ✓ Expanded our biometrics programs and media exploitation protocols to leverage intelligence and improve network analysis.
- ✓ Responded to persistent incursions along the maritime approaches to our southwest border involving illegal fishing and human and drug smuggling.

## Way Ahead:

- Continue working with international maritime authorities on border-related issues.
- Monitor drug and migrant pathways through Puerto Rico as a transshipment point in the Caribbean.
- Build upon the strong base of 41 international counter-drug bilateral agreements to advance regional and international partnerships and strengthen partner nation capacity.
- Unify our biometrics program and fully implement digital evidence search and seizure capability.
- Draft *Interagency Protocol for Disposition of Unaccompanied Children Interdicted at Sea*.

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# Increasing Maritime Commerce

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The prosperity of our Nation is inextricably linked to a safe and efficient Maritime Transportation System (MTS). The Coast Guard plays a vital role in facilitating safe vessel activity and reliable maritime commerce. Sound risk management, contingency planning and response, and regulatory frameworks will ensure the MTS remains safe, secure, and resilient.

## Accomplishments:

- ✓ Worked with international stakeholders and industry to lead the development of marine safety, security and environmental standards at the International Maritime Organization (IMO).
- ✓ Published 25 regulations and 18 proposed rules, including an improved regulatory framework for towing vessels, updated certification and training requirements for professional mariners, and refined safety and operational requirements for offshore energy production vessels.
- ✓ Partnered with the National Oceanic and Atmospheric Administration and the U.S. Army Corps of Engineers to modernize aids to navigation and marine safety information services.
- ✓ Broadcast meteorological, environmental, and hydrographic information via Automatic Identification System in select coastal ports and along the Western Rivers.
- ✓ Augmented physical aids to navigation with 365 electronic aids.

## Way Ahead:

- Implement the IMO Polar Code for vessels operating in the polar regions and ensure the safety and security standards for liquefied natural gas fueled ships.
- Execute prevention and response initiatives that enhance marine safety and minimize adverse effects upon the marine environment.
- Champion independent laboratory certifications of ballast water treatment systems that comply with our regulatory regime.
- Improve regulatory frameworks to keep pace with industrial advancements and employ risk-based decisions to inform vessel and facility inspection requirements.
- Modernize the MTS with automated navigation systems.
- Determine the impact of the Panama Canal Expansion Project upon shipping and loading patterns.
- Enforce compliance of Subchapter M for inspection and safety management of towing vessels.



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# Emerging Cyber Risks to the Maritime Transportation System

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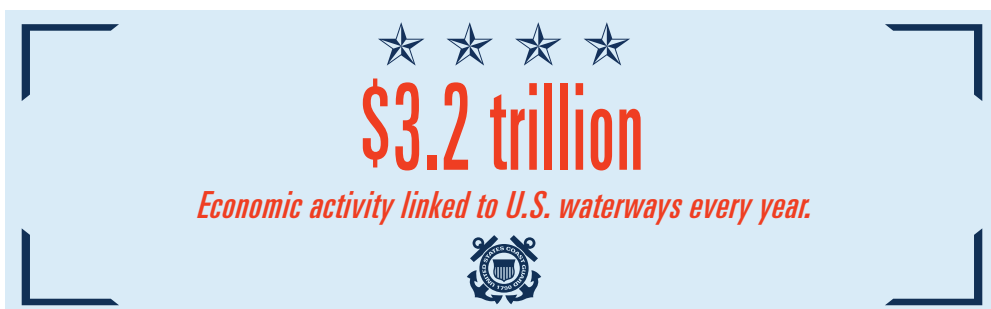
With more than 90 percent of global commerce moving by sea, cybersecurity is one of the most pressing economic and national security challenges our country faces. Guided by our *Cyber Strategy* and existing authorities, we will ensure our maritime stakeholders and critical infrastructure are safe and secure from cyber threats.

## Accomplishments:

- ✓ Partnered with the Department of Defense (DOD) and DHS to strengthen our networks from cyber intrusions.
- ✓ Conducted cyber vulnerability assessments on vessels and facilities in the ports of Houston, Miami, Seattle, and Savannah to inform cyber hygiene best practices.
- ✓ Incorporated cybersecurity-specific subcommittees under our Area Maritime Security Committees.
- ✓ Worked with Canada and U.S. trade partners to develop common standards for international maritime cyber risk management within the IMO.

## Way Ahead:

- Coordinate cyber activities across federal, state, and local maritime industry stakeholders.
- Develop and promulgate a *Navigation and Vessel Information Circular* to provide cyber risk management guidance to facility and vessel operators and ensure cyber risk management is included in Alternative Security Program plans.
- Continue to build, develop, and retain a proficient cyber workforce despite market competition.





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# Adapting to Climate Change in the Polar Regions

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Increased activity in the Arctic has created demands across the spectrum of Coast Guard missions. Guided by our Arctic Strategy and U.S. Chairmanship of the Arctic Council, we will lead planning efforts to improve governance and mitigate the impacts of increased activity in the polar regions. Preserving U.S. sovereignty will require assured access to the Polar Regions with heavy icebreakers while rising sea levels necessitate long-term planning for our infrastructure.

## Accomplishments:

- ✓ Established the Arctic Coast Guard Forum (ACGF).
- ✓ Improved awareness by executing operations Arctic Shield, Deep Freeze, and Arctic West.
- ✓ Assisted in the establishment of the Arctic Domain Awareness Center at the University of Alaska.
- ✓ Broadened partnerships through the Center for Arctic Study and Policy at the U.S. Coast Guard Academy.
- ✓ Conducted multilateral search and rescue and oil spill response operations exercises in the Arctic.

## Way Ahead:

- Establish communication protocols and combined operational procedures through the ACGF.
- Accelerate the acquisition of heavy icebreakers.
- Implement international regulations and agreements to enhance safety and environmental protection.
- Conduct a combined, full-scale search and rescue exercise among the member nations of the ACGF.
- Support ratification of the *United Nations Convention on the Law of the Sea*.

The background of the entire page is a dark blue-tinted photograph of a Coast Guard helicopter. The helicopter is shown from a low angle, appearing to be in flight or on a landing pad. The text "CG" is visible on the side of the fuselage. The overall tone is professional and authoritative.

# BUILDING THE 21ST CENTURY COAST GUARD





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# SERVICE TO NATION



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## Building Capabilities

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To ensure the Coast Guard is able to address evolving operational demands, we must affordably recapitalize our cutters, boats, aircraft, and infrastructure while also investing in our workforce. Today's acquisition efforts and workforce initiatives will shape our capabilities and operational effectiveness for decades to come.

### Accomplishments:

- ✓ Commissioned two National Security Cutters with two additional under construction.
- ✓ Commissioned eight Fast Response Cutters with 40 more under contract.
- ✓ Inducted 14 C-27J U.S. Air Force surveillance aircraft with four in operational service.
- ✓ Began operating small unmanned aerial systems for ice reconnaissance in the Arctic.

- ✓ Increased the service life of our ice-breaking tugs by 15 years.
- ✓ Commenced mid-life maintenance on our sea-going buoy tenders.
- ✓ Established a diver rating to meet subsurface mission requirements.
- ✓ Finalized plans to establish a short-notice maritime response capability on the west coast.
- ✓ Implemented risk-based carriage requirements for small boat mounted automatic weapons.

## Way Ahead:

- Continue progress on our OPC acquisition by down-selecting to one vendor by the end of fiscal year 2016.
- Improve aviation response capability and add capacity to our Helicopter Interdiction Tactical Squadron.
- Extend the service life of our rotary wing assets and align with DOD's Future Vertical Lift initiative.
- Complete a material condition assessment of the Coast Guard Cutter POLAR SEA.
- Reconstitute Air Station Los Angeles at Point Mugu.
- Extend the service life of our 47-foot motor lifeboats.
- Modernize and plan to replace our buoy and construction tenders.
- Recapitalize the Search and Rescue Satellite Aided Tracking System with our interagency partners.
- Extend the service life of 87-foot coastal patrol boats.

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## Unity of Effort

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Using our unique authorities, the Coast Guard works alongside a variety of domestic and international partners to provide additional capacity and enhance mission effectiveness. Initiatives like the *Cooperative Strategy for 21st Century Seapower*, our *Security Sector Assistance Strategy*, and other agreements unify effort and demonstrate the importance of our extensive partnerships.

## Accomplishments:

- ✓ Worked with the governments of Vietnam, Liberia, Philippines, El Salvador, and Honduras to conduct assessments, build capability and capacity, and support infrastructure development.
- ✓ Provided Deployable Specialized Forces support to a variety of Combatant Commanders, including deployments on Navy assets in support of Oceania Maritime Security Initiative and the African Maritime Law Enforcement Partnership.



- ✓ Employed Technical Assistance Field Team to develop Caribbean maritime forces capabilities.
- ✓ Continued Patrol Forces Southwest Asia and Advanced Interdiction Team support to U.S. Central Command.
- ✓ Assisted Saudi Arabia in building their maritime force to promote stability.
- ✓ Strengthened our maritime partnership with the United Kingdom by augmenting Royal Navy frigates with our personnel.
- ✓ Coordinated U.S. Navy MH-60 deployments on board our National Security Cutters.
- ✓ Led the development of high seas boarding and inspection protocols across regional fisheries management organizations.
- ✓ Participated in illegal, unregulated, and unreported fishing initiatives, which resulted in the interdiction of the fishing vessel Yin Yuan and prosecution by the People's Republic of China.
- ✓ Revised the National Search and Rescue Plan.
- ✓ Advanced bi-lateral Joint Maritime Contingency Plans (JCP); re-engaged with Russia to update and exercise existing JCP; aligned best practices for all U.S. JCPs and associated annexes.
- ✓ Led IMO subcommittee efforts on sub-sea dispersants policy and guided U.S. efforts to update IMO pollution response tactics and training guidelines.
- ✓ Exercised interoperability with the Environmental Protection Agency and the National Response Team for major rail-related spills of national significance.



## Way Ahead:

- Finalize interagency agreements with Department of State in El Salvador, Honduras, and Costa Rica.
- Support asset transfers, technical assistance, educational and training outreach, and subject matter expert exchange to the Philippines, Costa Rica, Pakistan, Republic of Georgia, and Liberia.
- Support the Defense Threat Reduction Agency National Coast Watch System project.
- Use the North Pacific Coast Guard Forum and other international forums to enhance cooperation and solidify rules of behavior at sea among maritime authorities.

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## Building Capacity

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In order to respond to increased mission demand and major incident response operations, an appropriately sized and trained workforce is critical to mission execution. The Coast Guard will continue to balance multi-mission versatility with specialized proficiency. The overall workforce size will meet steady-state demands while also maintaining surge capacity for major contingencies.

## Accomplishments:

- ✓ Implemented the Reprogramming and Optimization of Sector Enterprise workforce re-leveling, shifting marine inspectors to areas with the most critical workloads.
- ✓ Published the first risk matrix for targeting small passenger vessels.
- ✓ Worked with industry to jointly develop three targeted marine safety courses.
- ✓ Established the LNG Carrier National Center of Expertise.
- ✓ Established the Marine Safety Mission Management System and implemented the Incident Management Software System.
- ✓ Chartered the Command, Control, and Communications (C3) Task Force to address mission critical cyber capabilities and vulnerabilities.

## Way Ahead:

- Re-establish the All-Contingency Preparedness Summit to provide training and share best practices.
- Develop risk matrices to help target the highest risk vessels and investigate means to offset increased demands through third-party inspection capacity.
- Implement Subchapter M regulations and the resultant addition of 6,000 towing vessels under inspection and 50 percent increase in domestic fishing fleet examinations.
- Develop plan for newly mandated commercial fishing exams.
- Develop training options to prepare marine inspectors for increasing Outer Continental Shelf activities.



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# DUTY TO PEOPLE



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## Driving Out Sexual Assault

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A climate of trust, respect, and dignity is critical for mission success and paramount for our workforce. Sexual assault is an intolerable crime that erodes unit cohesiveness and destroys morale. The Coast Guard will continue to foster a climate inhospitable to sexual assault and all of its enabling behaviors.

### Accomplishments:

- ✓ Decreased the cases of sexual assault.
- ✓ Proliferated the “Not in My Coast Guard” campaign through Sexual Assault Awareness and Prevention Month and nine regional summits.



- ✓ Fully staffed the Special Victims Counsel with full and part-time attorneys.
- ✓ Earned credentials through the National Advocate Credentialing Program for 56 Sexual Assault Response Coordinators and over 850 Victim Advocates.
- ✓ Signed a Memorandum of Agreement with DOD for inclusion in the Defense Sexual Assault Incident Database.
- ✓ Delivered Sexual Assault Prevention and Response (SAPR) training tailored for 17 command cadre courses and 13 leadership and accession courses.
- ✓ Adjusted policy to provide no-fault exemptions from certain mandatory requirements for victims.

## Way Ahead:

- Continue making our climate inhospitable to sexual assault and more conducive to reporting by maintaining focus on prevention efforts, bystander intervention tactics, and targeting the underlying or enabling behaviors of sexual assault.
- Transition the SAPR Military Campaign Office to the SAPR Program Office.
- Incorporate key initiatives into the *Human Capital Strategy's* implementation plan.
- Release updated *SAPR Policy Manual* and complementary *Tactics, Techniques, and Procedures*.
- Participate in *2016 Defense Manpower Data Center Workplace and Gender Relations Active Duty Survey*.





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## Diversity and Inclusion

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Diversity is an operational imperative and enriches our Service by representing the greater society we serve. Our evolving missions require a resilient and capable workforce that draws upon the broad range of skills, talents, and experiences found in the American population. It is imperative we continue implementing our *Human Capital Strategy* and *Diversity and Inclusion Strategic Plan 2015-2018* while building and maintaining a proficient, diverse, and adaptable workforce.

### Accomplishments:

- ✓ Increased maternity leave to 12 weeks.
- ✓ Enriched relationships with over 25 affinity groups and welcomed our newest partner, the Organization of Black Aerospace Professionals.
- ✓ Reinvigorated the Leadership, Excellence, and Diversity Council.
- ✓ Adopted the Student Loan Repayment Program to expand tuition reimbursement and loan forgiveness to the College Student Pre-Commissioning Initiative program.
- ✓ Compiled two of the most diverse Coast Guard Academy classes in history – 36 percent women and 33 percent underrepresented minorities.

## Way Ahead:

- Gain better understanding of retention challenges associated with minorities at key career milestones.
- Grow diversity at all of our accession points.
- Use the results of exit surveys to improve the retention of women and under-represented minorities.
- Implement and fund the blended retirement system and other workforce policy changes in coordination with DOD.

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# Leadership

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Effective leadership enables operations, develops our workforce, and ensures accountability. Coast Guard leaders must embody our core values of Honor, Respect, and Devotion to Duty. Our commitment to the American public must match the strength and resolve of our character. To succeed, leaders must know their purpose and act decisively to enhance mission effectiveness and promote professional development.

## Accomplishments:

- ✓ Improved competency requirements and updated training curricula.
- ✓ Improved enlisted leadership development courses and made them compulsory for advancement.
- ✓ Completed the Civilian Strategic Needs Assessment.
- ✓ Revised Performance Qualification Standards and established Officer Specialty Codes.
- ✓ Formalized the Mid-grade Officer Career Transition Course.
- ✓ Enacted Merchant Mariner Licensing program at the Coast Guard Academy.

## Way Ahead:

- Update enlisted Performance Qualification Standards and leadership development continuum to reflect requirements outlined in the *Enlisted Professional Military Education Occupational Analysis*.
- Create a new development course for junior officers and civilian leadership.
- Align the Officer Candidate School professional development curriculum with work typically encountered by first-tour junior officers.



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# COMMITMENT TO EXCELLENCE



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## The Right Force for the Future

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The Coast Guard will develop a *Manpower Requirements Analysis* and a longer-term *Force Planning Construct (FPC)* establishing the required capacity for steady-state and surge operations. We must adequately plan for a broad array of significant incidents and resource the appropriate levels of staffing for these events.

### Accomplishments:

- ✓ Chartered a formal team and solidified a plan of action and milestones.
- ✓ Conducted scenarios to consider steady-state and surge staffing needs based on probable contingencies.

## Way Ahead:

- Develop requirements, planning assumptions, and processes for steady-state analysis.
- Map contingency capabilities and key stakeholder requirements, complete initial steady-state analysis, determine force requirements for contingency scenarios, and release a basic initial *Force Planning Construct* with a repeatable process.
- Submit the *Congressional Manpower Requirements Analysis* report.

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# Optimizing the Workforce

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The Coast Guard must improve its human capital management system to recruit, develop, and retain a talented, diverse, and proficient workforce. This will include a deliberate process that will connect workforce and personnel planning to better balance the personal needs of the member and the Service.

## Accomplishments:

- ✓ Increased geographic stability assignment opportunities and expanded tour lengths.
- ✓ Transitioned human resource information system to a commercial off-the-shelf-product, improving analytics and data-driven decision-making.
- ✓ Improved civilian workforce management processes to include better transparency and autonomy.
- ✓ Promulgated workforce policies to increase awareness and understanding of available family programs.
- ✓ Streamlined background checks for our all-volunteer auxiliary members.

## Way Ahead:

- Continue expanding specialization to increase proficiency.
- Develop exit surveys for both our military and civilian workforce to facilitate retention.
- Leverage data from the *Organizational Assessment Survey*, *Federal Employee Viewpoint Survey*, and *Human Resource Satisfaction Survey* to identify opportunities for optimization.
- Finalize the process for managing our auxiliary security clearances.

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# Financial and Procurement Management Modernization

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Financial management systems must facilitate readiness while maintaining adequate financial controls. The Coast Guard will update our financial and procurement systems and improve financial management, asset management, and procurement business processes.

## Accomplishments:

- ✓ Earned three consecutive years of a clean financial audit opinion – a first for a military service.
- ✓ Progressed toward replacing our Core Accounting System and Procurement and Asset Management feeder systems with a federal shared service provider solution.
- ✓ Chartered financial management, data control, and business process management teams to garner compliance improvements.

## Way Ahead:

- Continue work to improve compliance and internal controls, effectiveness, and enable efficiencies.
- Regionalize the finance, procurement, and asset management system to minimize personnel requirements while improving compliance within the current system.

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# A More Agile Strategic Planning Process

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Strategy must drive our budget. In doing so, strategic management planning processes must be agile, deliberative, transparent, and repeatable. We will formalize a strategic review informed by and aligned to the *Quadrennial Homeland Security Review*, national and departmental strategies, and internal strategies and assessments.

## Accomplishments:

- ✓ Promulgated a five-year *Strategic Intent*.
- ✓ Promulgated the *Commandant's Executive Decision-Making Process*.

## Way Ahead:

- Complete the enterprise risk management and internal control framework.
- Complete an updated mission analysis report.
- Influence and shape the *2018 DHS Quadrennial Homeland Security Review* to reflect our diverse capabilities.





# LOOKING AHEAD







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# LOOKING AHEAD



As we enter our 226th year of service to our Nation, the Coast Guard remains an indispensable instrument of national security and prosperity. Over the past two years, we have made tremendous progress advancing our Service's strategic direction and using it to inform our budget needs. While fiscal austerity remains, we will continue to modernize, maintain force structure size, and preserve operations and readiness. We must also continue using unprecedented levels of intelligence to make risk-based decisions for the optimal allocation of our finite resources across our mission areas. Finally, we must invest in our 88,000 active duty, reserve, civilian, and all-volunteer auxiliary members that comprise our Service. Collectively, they are the centerpiece of our 21st century Coast Guard.



U.S. COAST GUARD HEADQUARTERS  
WASHINGTON, D.C.

[www.uscg.mil/intent](http://www.uscg.mil/intent)