

Coast Guard Publication 3-0

Operations



February 2012

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THE COMMANDANT OF THE UNITED STATES COAST GUARD

Washington, DC
21 February 2012



The Coast Guard's value to the nation resides in our proven ability to accomplish the mission in the maritime domain, whether through saving lives, protecting the marine environment, or defending our country. Our unique authorities, capabilities, competencies, and partnerships as a military, law enforcement, regulatory, and humanitarian Service are central to that value proposition. We are recognized worldwide for our ability to execute these diverse maritime missions over vast geographic areas and under the most challenging and demanding conditions.

Publication 3-0 provides the enduring guidance for Coast Guard operations: how and why we do what we do. This guidance is based on over two centuries of Coast Guard experience in maritime operations and the principles of operations provided in Publication 1-0.

Two fundamental elements to operations warrant special emphasis: leadership and proficiency. We rely on leadership at every level of command to conduct operations safely and effectively in an inherently dangerous maritime environment. We rely on proficiency in the operational arts of our profession—seamanship, airmanship, law enforcement, joint military and interagency operations. And operations rely on proficiency in mission support and other key enabling disciplines.

Commanders shall ensure widest distribution, study, and use of this publication.

Semper Paratus. Stand a taut watch.

A handwritten signature in blue ink, appearing to read 'R. Papp, Jr.', is centered on the page. The signature is fluid and cursive, with a large initial 'R' and a long, sweeping tail.

ROBERT J. PAPP, JR.
Admiral, U.S. Coast Guard

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EXECUTIVE SUMMARY

Publication 3-0 describes how the Coast Guard organizes, deploys, and operates throughout the maritime domain.

The Coast Guard:

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

The Coast Guard:

- Is a maritime law enforcement, regulatory, environmental and humanitarian agency
- Is at all times one of the nation's five Armed Services and maintains joint interoperability
- Is the maritime operating arm of the Department of Homeland Security
- Is a 24/7 maritime first responder - *Always Ready*
- Provides a persistent presence from inland waters to the littorals and high seas
- Is locally based, nationally deployed, and globally connected
- Projects presence around the globe in support of U.S. national interests
- Builds and maintains robust partnerships to ensure unity of effort at all levels
- Engages with global maritime organizations and industry to benefit U. S. national interests

To meet the challenges of the dynamic maritime environment, the Coast Guard executes a layered, security-in-depth concept of operations, built upon a multi-dimensional framework of authorities, capabilities, competencies, and partnerships to apply its core operational concept of Prevention – Response. Through this approach, the Service seeks to prevent dangerous or illicit maritime activities, and if undesirable or unlawful events do occur—whether deliberate or accidental—to rapidly and effectively respond in order to protect the nation, minimize the impact, and recover.

1. INTRODUCTION

1.1 Purpose

Since 1790 the Coast Guard has conducted integrated, layered operations across vast geographic maritime areas of responsibility to meet the evolving threats and challenges that face the Nation.

The Coast Guard operates in the maritime domain, an enormous and complex environment. The physical characteristics of the sea present varying, dynamic and dangerous weather, seas states and water conditions. Human activity on the water continues to expand in a domain that does not readily sustain it. The maritime industry continues to evolve as the world remains fully dependent on global maritime trade in an advancing technology and information age. Varied and overlapping international and sovereign legal and policy regimes governing the maritime domain pose practical operational challenges. The Coast Guard requires a comprehensive concept of operations to successfully conduct operations in this unique operating environment.

Publication 3-0 (Pub 3) provides guidance for Coast Guard operations. Specifically, Pub 3 describes: (1) missions; (2) operating areas; (3) the maritime domain; (4) operational and organizational structure; (5) how the Service operates; and (6) how Coast Guard authorities, capabilities, competencies, and partnerships enable the Service to provide a multi-dimensional security-in-depth.

Pub 3 describes how the Coast Guard, although limited at times by physical, fiscal, and policy constraints, is able to exercise maximum flexibility in responding to changing priorities across the broad spectrum of its assigned missions. Pub 3 sets forth established best practices for force management and operational decisions derived from over two centuries of experience in maritime operations.

The Coast Guard's operational roles and responsibilities are categorized by law into eleven distinct but integrated missions. This document describes all eleven statutory missions and the operational environments in which they are performed.

1.2 Relationships to Other Documents

Pub 3 serves as an overarching guide in the development of operational doctrine, directives, and Techniques, Tactics, and Procedures (TTP) while underpinning the foundational documents that guide the Coast Guard in the execution of its missions. The strategic documents reflected and reinforced in Pub 3:

- Coast Guard Publication 1: America's Maritime Guardian (Pub 1)
- Coast Guard Publication 2-0: Intelligence (Pub 2)
- Coast Guard Strategy for Maritime Safety, Security, and Stewardship
- Creating and Sustaining Strategic Intent in the U.S. Coast Guard (Evergreen)
- A Cooperative Strategy for 21st Century Seapower (CS 21)
- Naval Operations Concept 2010 (NOC 10)
- Capstone Concept for Joint Operations (CCJO)

- Joint Operations: JP 3-0
- Homeland Security Presidential Directives (HSPD)
- National Military Strategy
- National Security Strategy
- National Strategy for Maritime Security
- Sustaining U.S. Global Leadership: Priorities for 21st Century Defense

2. MISSION

As a maritime nation, the U.S. relies on the safe, secure and free flow of legitimate global commerce on the high seas and through the Exclusive Economic Zone (EEZ) to and from U.S. ports and waterways. However, those who threaten U.S. interests (e.g., hostile nation states, terrorists, criminal networks, polluters) also use the maritime environment for illegitimate activity. The threat of deliberate illegitimate activities, coupled with inevitable accidents and natural disasters, demands the Coast Guard maintain a persistent presence in the maritime domain to:

- (1) *Protect those on the sea (Safety)*
- (2) *Protect the Nation from threats delivered by sea (Security)*
- (3) *Protect the sea itself (Stewardship)*

The full spectrum of Coast Guard operations are executed through the Prevention – Response operating concept to prevent, protect against, respond to, and recover from maritime incidents. Coast Guard missions are described in United States Code (U.S.C.), Federal regulations and Executive Orders, and international law. The primary authorities for Coast Guard missions are outlined in Appendix B.

The Coast Guard's distinct blend of authorities, capabilities, competencies, and partnerships provide the President, Secretary of Homeland Security, Secretary of Defense, and other national leaders with the capabilities to lead or support a range of operations to ensure safety, security, and stewardship in the maritime domain.

The interrelated nature of the Coast Guard's missions and culture of adaptability provides the Service with the ability to rapidly shift from one mission to another as national priorities demand. *The true value of the Coast Guard to the Nation is not in its ability to perform any single mission, but in its versatile, highly adaptive, multi-mission character.*

2.1 Protect Those On the Sea

2.1.1 Search and Rescue

The Search and Rescue (SAR) mission minimizes the loss of life, injury, and property damage or loss at sea by finding and rendering aid to those in distress. The Coast Guard executes this mission by:

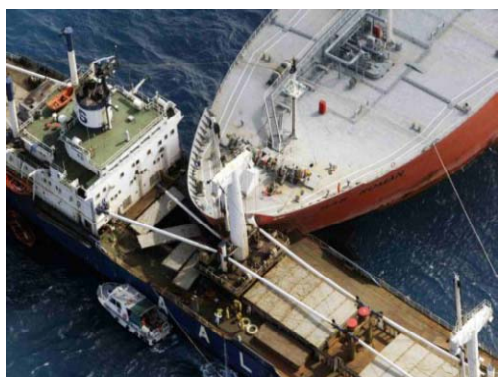
- Conducting search planning and coordinating SAR response;
- Searching for, locating, and rescuing mariners in distress;
- Providing medical advice, assistance, or evacuation; and
- Providing, when necessary, persons in distress safe transport to shore.

The Coast Guard organizes and dispatches available SAR assets in Search and Rescue Regions, as defined in the National Search and Rescue Plan and Supplement. These regions include all waters subject to U.S. jurisdiction and international waters in the Atlantic, Pacific, and Arctic Oceans and the Gulf of Mexico. The Coast Guard relies on extensive partnerships to conduct SAR, including maritime industry participation in the Automated Mutual-Assistance Vessel

Rescue (AMVER) system, and coordination with Federal, state, local, and tribal authorities to coordinate SAR operations.

2.1.2 Marine Safety

The Marine Safety mission promotes safety at sea and the prevention of maritime accidents through regulations, inspections and investigations, such as inspecting U.S. commercial fishing and merchant vessels and licensing U.S. masters and crews. As the National Recreational Boating Safety Coordinator, the Coast Guard works to prevent and minimize loss of life, personal injury, property damage, and environmental harm associated with recreational boating. The boating safety program conducts and supports public education programs, regulation of boat design and construction, approval of boating safety equipment, and vessel safety checks for compliance with Federal and state requirements. Within coastal and inland operational areas, the Captain of the Port (COTP) enforces regulations for the protection and security of vessels,



harbors, and waterfront facilities; anchorages; bridges; safety and security zones; and ports and waterways. The COTP also investigates maritime accidents and emergencies and determines whether applicable laws have been violated, or whether changes should be made to improve safety through prevention programs. The Officer in Charge of Marine Inspection (OCMI) ensures the competency and credentialing of mariners and the safety and seaworthiness of vessels as an integral part of promoting the safety and security of the Marine Transportation System (MTS).

The Coast Guard is an international leader in maritime safety. The Coast Guard is the lead U.S. representative to the International Maritime Organization, a specialized agency of the United Nations responsible to establishing international legal regimes for maritime safety, security, and stewardship.

2.2 Protect Against Threats Delivered by Sea

2.2.1 Ports, Waterways, and Coastal Security

The Ports, Waterways, and Coastal Security (PWCS) mission protects people and property in the MTS by preventing, disrupting, and responding to terrorist attacks, sabotage, espionage, or subversive acts. PWCS establishes and oversees maritime security regimes in the coastal and inland operational areas and is enforced through Maritime Security and Response Operations (MSRO). Activities under PWCS include preparedness planning and exercises, initiatives to enhance the resilience of maritime Critical Infrastructure and Key Resources (CIKR) and the MTS, the execution of antiterrorism and counterterrorism activities, and initial recovery efforts after attacks. PWCS especially relies upon the Coast Guard's broad authorities and long standing partnerships with governmental, maritime industry, and international partners. PWCS activities are primarily directed by Coast Guard Sector commanders assigned as the Federal Maritime Security Coordinators (FMSC) for the 361 maritime ports in the U.S.

2.2.2 Drug Interdiction

The Drug Interdiction mission reduces the supply of illegal drugs to the U.S. by disrupting the maritime flow of illegal drugs through at-sea interdiction and seizure of smuggling vessels carrying contraband in the maritime transit zone, typically in the offshore area far from the U.S. Coast Guard cutters and aircraft patrol the high seas and provide persistent presence to support detection and monitoring, interdiction and apprehension activities. The Coast Guard relies on joint, interagency, and international partnerships to conduct drug interdiction.



2.2.3 Migrant Interdiction

The Migrant Interdiction mission enforces U.S. immigration laws and international conventions against human smuggling through at-sea interdiction and rapid repatriation of undocumented migrants attempting to reach the U.S. The Coast Guard accomplishes this mission in conjunction with other Federal, state, and local agencies, including U.S. Citizenship and Immigration Services, Immigration and Customs Enforcement, Customs and Border Protection, and the Department of State.

In support of this mission, the Coast Guard engages partner nations by supporting their efforts to enhance their border control and maritime law enforcement capabilities. While executing this mission, Coast Guard priorities include ensuring safety of life at sea and upholding the human dignity of migrants interdicted at sea.

2.2.4 Defense Readiness

Under Title 14 U.S.C. § 1, the Coast Guard is “at all times an armed force of the United States.” As part of the Joint Force, the Coast Guard maintains its readiness to carry out military operations in support of the policies and objectives of the U.S. government.

The Defense Readiness mission supports the National Military Strategy and Department of Defense (DoD) operations by ensuring Coast Guard assets are capable and equipped to deploy and conduct joint operations in support of the most critical needs of the combatant commanders in the following major national-defense missions:

1. Maritime interception/interdiction operations
2. Military environmental response
3. Port operations, security, and defense
4. Theater security cooperation
5. Coastal sea control operations
6. Rotary-Wing Air Intercept (RWAI) operations
7. Combating terrorism operations
8. Maritime Operational Threat Response (MOTR) support

2.3 Protect the Sea Itself

2.3.1 Ice Operations

The Coast Guard conducts icebreaking operations in the polar regions and domestically.

Polar Operations

The Polar Operations mission is conducted to provide assured surface access to ice-covered and ice-diminished waters in the polar regions in support of U.S. strategic objectives and for response to all-hazard contingencies. Polar Operations are conducted to:

- Protect United States sovereignty by providing the capability and resources necessary to carry out and support national interests in the polar regions; and
- Assist other governmental and scientific organizations in the pursuit of science activities.



The Coast Guard maintains the Nation's only polar icebreaking capability.

Domestic Icebreaking

The Domestic Icebreaking mission is conducted to facilitate commercial navigation and commerce in the inland and coastal operational areas, prevent flooding caused by ice, and enable search and rescue in icebound areas.

The Coast Guard is mandated to keep open to navigation, in so far as practicable, channels and harbors to support the reasonable demands of commerce. Domestic icebreaking ensures a regular navigation season on the Great Lakes, St. Lawrence Seaway, and the northeast U.S. coast.

International Ice Patrol

The Coast Guard conducts International Ice Patrol operations in the offshore operational area to monitor and warn mariners of iceberg danger near the Grand Banks of Newfoundland in the Atlantic Ocean.

2.3.2 Aids to Navigation and Waterways Management

The Aids to Navigation (ATON) and Waterways Management mission is conducted to maintain a safe and efficient navigable waterways system needed to:

- Support domestic commerce;
- Facilitate international trade; and
- Ensure access for the military sealift fleet required for national defense.

The Coast Guard maintains the “signposts” and “traffic signals” (more than 50,000 Federal aids to navigation, including buoys, lighthouses, day beacons, and radio-navigation signals) on the nation’s waterways. The Coast Guard operates Vessel Traffic Services (VTS) in key ports and waterways to coordinate the safe movement of commercial vessels. The Coast Guard regulates approximately 18,000 highway and railroad bridges that span navigable waterways throughout the Nation, issuing permits for bridge construction, ordering obstructive bridges to be removed, and overseeing drawbridge operations.

2.3.3 Marine Environmental Protection

The Marine Environmental Protection mission is conducted to reduce the risk of harm to the maritime environment by developing and enforcing regulations to prevent and respond to oil and hazardous substance spills in the marine environment, prevent the introduction of invasive species into the maritime environment, and prevent unauthorized ocean dumping.



In accordance with the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), the Coast Guard is responsible for pre-designating the Federal On-Scene Coordinator (FOSC) for maritime pollution incidents. The Coast Guard responds to oil and hazardous substance incidents in the inland, coastal, and offshore operational areas, including overseeing, directing and/or conducting response operations.

2.3.4 Living Marine Resources (LMR)

The Living Marine Resources (LMR) mission is conducted to support conservation and management of living marine resources and their environment, to include protected species, protected areas, and critical habitats. LMR mission activities include boarding of commercial fishing vessels and enforcement of LMR laws and regulations in the inland, coastal, and offshore operational areas.



In partnership with other Federal agencies, foreign governments and international authorities, the Coast Guard enforces compliance with international agreements to deter illegal, unreported, and unregulated fishing activity.

2.3.5 Other Law Enforcement

The Other Law Enforcement (OLE) mission is conducted to protect U.S. natural resources in the maritime domain, such as fish stocks, against illegal incursions by foreign fishing vessels. The United States has sovereign rights over all living and nonliving resources within its EEZ, which encompasses more than 3.4 million square miles of waters within 200 nautical miles of U.S.

coastline. To accomplish this task, the Coast Guard deploys assets to monitor and patrol the U.S. EEZ in the coastal and offshore operational areas.

2.4 Activities and Functions

The following table links operational activities and functions with the Coast Guard’s roles and missions.

Roles	Missions	Activities and Functions
Maritime Safety: Protect those on the sea.	Search and Rescue	Operate a national distress/response communication system; operate surface and air assets; plan, coordinate, and conduct search and rescue operations for persons and property in distress.
	Marine Safety	Establish standards and conduct vessel inspections to ensure the safety of passengers and crew aboard commercial vessels; partner with states and boating safety organizations to reduce recreational boating accidents and deaths. Investigate marine casualties; license U.S. mariners.
Maritime Security: Protect the U.S. from threats delivered by sea.	Ports, Waterways, and Coastal Security	Conduct harbor patrols, complete vulnerability assessments, enforce security zones, approve vessel and facility security plans and ensure compliance, develop Area Maritime Security Plans, conduct risk assessments, assess foreign port antiterrorism measures, and other activities to prevent terrorist attacks and minimize the damage from attacks that occur.
	Drug Interdiction	Deploy cutters, aircraft and deployable specialized forces to conduct patrols, interdict and seize maritime drug trafficking vessels.
	Migrant Interdiction	Deploy cutters and aircraft to prevent, disrupt and interdict maritime smuggling and maritime migration by undocumented migrants to the U.S.
	Defense Readiness	Provide forces to the Department of Defense (DoD) to perform joint military operations worldwide. Deploy cutters, boats, aircraft and deployable specialized forces in and around harbors to protect DoD force mobilization operations in the U.S. and expeditionary operations overseas.
Maritime Stewardship: Protect the sea itself.	Ice Operations	Conduct Polar Operations to facilitate the movement of critical goods and personnel in support of scientific requirements, national security activities and maritime safety. Conduct domestic icebreaking operations to facilitate navigation and commerce. Conduct International Ice Patrol operations.
	Aids to Navigation and Waterways Management	Maintain the extensive system of U.S. aids to navigation. Monitor and coordinate marine traffic in key ports and waterways through Vessel Traffic Services. Regulate construction and operation of bridges that span navigable waters.
	Marine Environmental Protection	Prevent and respond to oil and hazardous substance spills. Prevent illegal dumping in U.S. waters. Prevent invasions by aquatic nuisance species.
	Living Marine Resources	Safeguard U.S. living marine resources and their environment, to include protected species, protected areas, and critical habitats, from unlawful acts and environmental degradation.
	Other Law Enforcement	Protect the U.S. maritime borders, EEZ, and relevant areas of the high seas by detecting, deterring, and interdicting foreign vessels engaged in illegal operations.

Table 1: Coast Guard Roles and Missions

3. *MARITIME DOMAIN*

The maritime environment is inherently dangerous, complex, and difficult to govern. The geography, weather, water temperatures, and sea states are dynamic, presenting significant challenges to operations. Coast Guard operations in the maritime domain are—by nature— inherently dangerous, requiring well-trained and equipped people and capable assets. Properly led, Coast Guardsmen successfully conduct operations across the mission spectrum in the full range of environmental conditions. As it has throughout history, the Coast Guard adapts to the changing operational environment and new mission priorities.

3.1 **Operational Areas**

The United States claims sovereignty over 3.4 million nautical square miles of maritime territory, which comprises the MTS. The MTS includes 95,000 miles of coastline and 361 ports, from the largest mega-ports to the smallest fishing harbors and marinas. The MTS also includes the system of interconnected inland rivers and the Intracoastal Waterway (ICW), which consists of 12,000 miles of navigable waters connecting inland metropolitan areas, industrial complexes, and the agricultural heartland of the country. The MTS includes the Great Lakes, along 6,700 miles of U.S. coastline and 1,500 miles of international maritime border with Canada, that connect the industrial north and northern population centers of the Midwest through the St. Lawrence Seaway System to the Atlantic Ocean.

The Coast Guard has defined three geographic operational areas:

1. **Offshore.** The offshore operational area extends seaward from 50 nautical miles (nm) seaward of the U.S. baseline to the far reaches of the sea, including foreign waters, when authorized. It also includes international operations, including land-based forces deployed to foreign territory, when authorized. This area also includes the polar regions, defined as north of 60° N latitude (Arctic) and areas south of 60° S latitude (Antarctic), but does not include the U.S. coastal operational areas along Alaska.
2. **Coastal.** The coastal operational area includes waters extending from the U.S. baseline seaward to a distance of 50 miles offshore, including the territorial sea, contiguous zone, and that part of the U.S. EEZ extending seaward to 50 miles from the baseline. This area includes the waters seaward of the baseline on the U.S. side of the international boundary on the Great Lakes.
3. **Inland.** The inland operational area includes all waters shoreward of the U.S. baseline that are subject to the jurisdiction of the U.S., including the Western Rivers System. This area does not include those waters on the U.S. side of the international boundary on the Great Lakes that are seaward of (extending out from) the baseline.

3.2 **Jurisdictional Complexity**

The Coast Guard operational areas overlap with recognized U.S. and international geographic regimes. These regimes of ocean and airspace directly affect maritime operations by determining the degree of jurisdiction a coastal state may exercise within the regime. National waters include internal waters and territorial seas of a coastal state. International waters include waters seaward of the territorial seas of any state. Jurisdictional classifications are described below and shown in Figure 1.

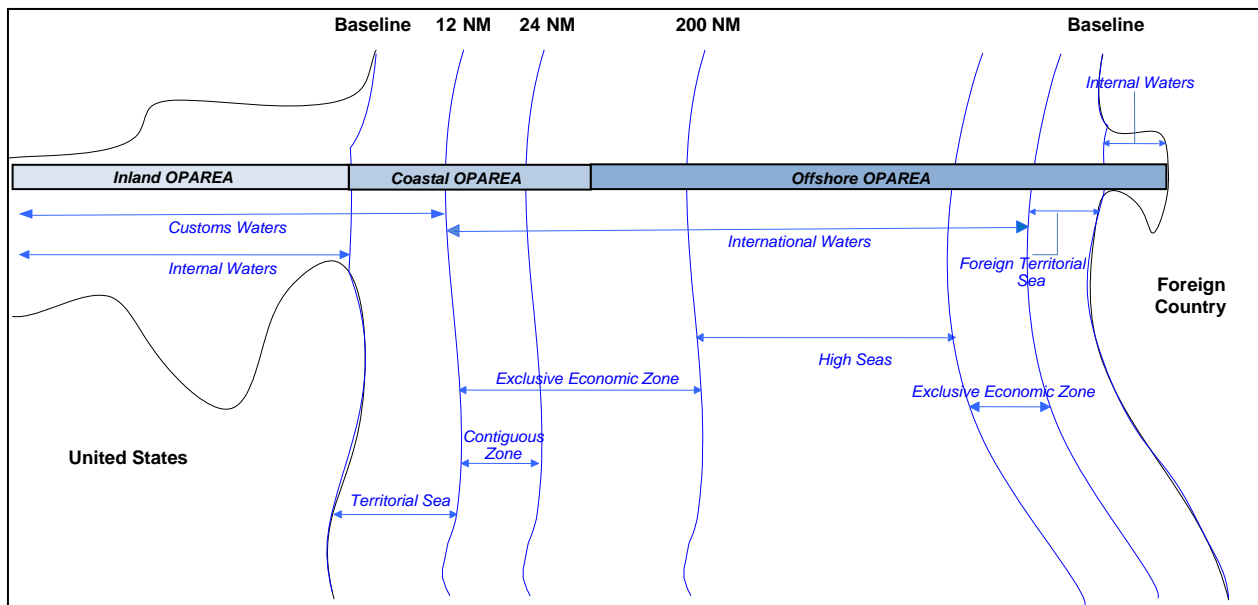


Figure 1: Jurisdictional Classifications

- **Internal Waters.** All U.S. waters shoreward of the baseline, including all waters on the U.S. side of the international boundary of the Great Lakes.
- **Territorial Sea.** The waters within the belt that is 12 miles wide and adjacent to the U.S. coast measured seaward from the baseline. For the purpose of enforcing some domestic U.S. laws, the territorial sea extends only 3 miles seaward of the baseline.
- **Contiguous Zone.** The waters within the belt adjacent to and seaward of the territorial sea and extending to 24 miles from the baseline.
- **Customs Waters.** Generally defined in as the waters shoreward of a line drawn 12 miles from the baseline (including territorial sea and inland waters with ready access to the sea).
- **Exclusive Economic Zone (EEZ).** The zone of waters beyond and adjacent to the territorial sea not extending beyond 200 miles from the baseline.
- **International Waters.** Waters seaward of the outer limit of the territorial sea of any nation, but including the high seas, EEZ, and contiguous zones (when claimed seaward of the territorial sea).
- **High Seas.** All parts of the ocean seaward of the EEZ. If a nation has not proclaimed an EEZ, the high seas begin at the seaward edge of the territorial sea.
- **Foreign Territorial Sea.** The U.S. recognizes territorial sea claims of other nations up to a maximum distance of 12 miles from the baseline.

3.3 Maritime Governance

Maritime governance is a key consideration for how the Coast Guard organizes and executes operations to accomplish its missions.

Figure 2 shows the maritime governance structure that frames the operating concept. The face of the cube represents an interlocking system of governance:

- Maritime regimes are the system of rules that shape and define acceptable activities.
- Awareness, through intelligence, provides decision advantage that allows Coast Guard commanders to plan for and conduct operations to achieve mission results.
- Operations describe activities to prevent and respond to threats.

The top of the cube depicts the three Coast Guard roles. The side of the cube shows that Coast Guard roles and responsibilities rely on leveraging partnerships with Federal, state, local, tribal governments, the private sector, and international partners to achieve unity of effort.

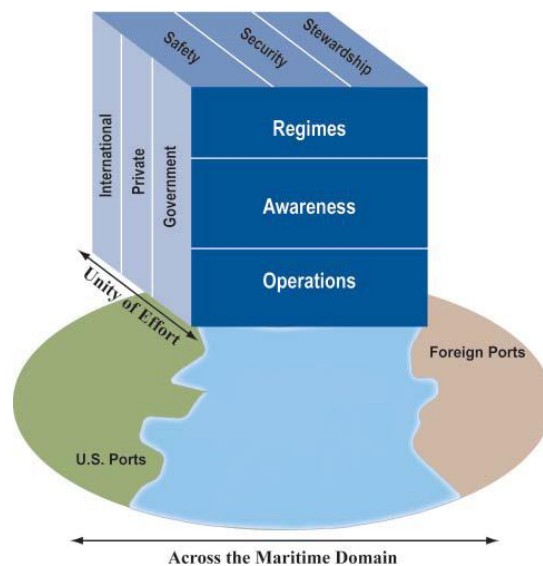


Figure 2: Maritime Governance

3.4 Risk

The Coast Guard assesses and manages risk at every level of the organization to ensure safe and effective operations. Without a continuing commitment to the safety of its forces, the Coast Guard would unnecessarily endanger personnel and jeopardize the mission. Commanders are responsible and accountable for assessing and managing risk to ensure safety and effective operations across the range of missions.

3.5 Dynamics of a Changing Maritime Domain

History proves that the nation’s maritime interests are enduring, while priorities and requirements for operations within the maritime domain are dynamic. Coast Guard operations have evolved as significant events have altered national priorities. For example, the Exxon Valdez oil spill prompted the passage of the Oil Pollution Act of 1990 and greatly increased the Coast Guard’s focus on Marine Environmental Protection. Similarly, the terrorist attacks on 9/11/2001 prompted passage of the Maritime Transportation Security Act of 2002 and Homeland Security Act, which placed increased focus on maritime security, antiterrorism, and counterterrorism operations, and moved the Coast Guard into the new Department of Homeland Security.

The certainty of future change requires the Coast Guard to anticipate and prepare for the unexpected. Over the next twenty five years, the world will be subject to changes to the operational priorities and requirements, driven by the following trends:

- **Population Growth.** If current trends continue, the world will add approximately 60 million people each year and reach a total of 8 billion by the 2030s, with 95 percent of that increase occurring in developing countries. The predicted world population growth and the associated increase in demand for raw materials, agricultural products, and manufactured products

transported via maritime routes will require increased maritime security and safety. In addition, continued migration of people from developing states to developed states, including the increase in illegal immigration, will require persistent presence along traditional and emerging maritime transit routes. The Coast Guard must adapt to these population trends and the operational demands they will generate.

- **Demand for Resources.** With global population growth, competition for scarce food, oil, mineral, and water resources will likely increase. Projected future energy needs require that the daily production and transportation of petroleum must increase by 1.4 million barrels each year. Growing demand for grain in the developing world will require significantly more production and transportation. These increased demands may result in an increase in offshore drilling for oil and harvesting of other seafloor minerals. Overfishing and depletion of fisheries coupled with competition over fish stocks have the potential for causing regional confrontations. Increased demand for fish protein may result in more U.S. and foreign fishing on the U.S. continental shelf, increasing demand for Coast Guard presence and operations. These potential changes in the maritime environment may also generate greater requirements for the Coast Guard to regulate ship building, commercial maritime traffic, and larger fleets of U.S. and foreign flag commercial vessels.
- **Disaster Response.** Crisis leadership, command and control, and incident management are Coast Guard core competencies. Crisis response crosses multiple missions. The Coast Guard must be prepared to respond to any unexpected incident, including deliberate events (e.g., terrorist attack) and natural disasters (e.g., hurricane, flood, or earthquake). The threat of these incidents will continue to pose challenges to national security, economic prosperity, and the environment. DHS and the Coast Guard must be prepared to rapidly respond to these disasters.
- **Maritime Industry.** U.S. economic prosperity is dependent on freedom of the seas, and overseas shipment will continue to be the primary source of trade and commerce. As the global maritime industry continues to expand to meet the “just in time” needs of population and demographic shifts, ships are becoming more technologically advanced, growing in size and the ability to carry goods and people, and are increasingly globally connected and integrated. Port states will continue to adapt to accommodate the growth in the shipping industry. These changes present unique challenges and demands for the Coast Guard to ensure safety, security, and stewardship, and to provide services that promote the safe, efficient flow of goods and services through the MTS.
- **Technology.** Rapid advancements in technology, used by both friends and adversaries, will challenge the Coast Guard’s ability to conduct operations. For example, technologies affect maritime stakeholders with increased use of larger, higher speed vessels for the rapid transport of goods and materials, increasing demand for inspections and MTS security. Alternative safety alerting systems such as cell phones and the Global Maritime Distress Safety System improve the ability of Coast Guard assets to locate vessels and aircraft in distress. Drug and migrant smugglers are working to exploit new routes with their own hard-to-detect assets. These and other advances in technology provide both opportunity and challenge as the pace of change in the telecommunications sectors drives equipment refresh rates and challenges the ability of the Federal government to keep pace.

- **Cyberspace.** Cyberspace permeates nearly every aspect of life. From personal computers and cell phones to networked transportation and inventory systems, today's society fundamentally depends on the use of cyberspace, and this dependence is growing at a rapid pace. Cyber threats will demand new approaches to managing information, securing information systems, and ensuring the nation's ability to operate within the maritime domain throughout an attack. Coast Guard operational assets must be protected from cyber threats that might disable or disrupt operations. The Coast Guard must also understand the impact of cyber threats and incidents on the MTS and consider them in planning and conducting prevention and response activities.
- **Climate Change.** Receding sea ice will likely open new areas for commercial transportation and natural resource exploitation. As nations scramble to stake claim to potential natural resources in these unexplored waters, tensions may rise over disputed maritime boundaries between Arctic nations and between coastal states over the designation of important new waterways as international straits or internal waters. Receding ice will allow access to previously unavailable natural resources. Higher sea levels could also impact coastal states and Coast Guard infrastructure, leading to a host of maritime challenges including population displacement, changes in navigable features, and associated environmental impacts.

Threat Areas

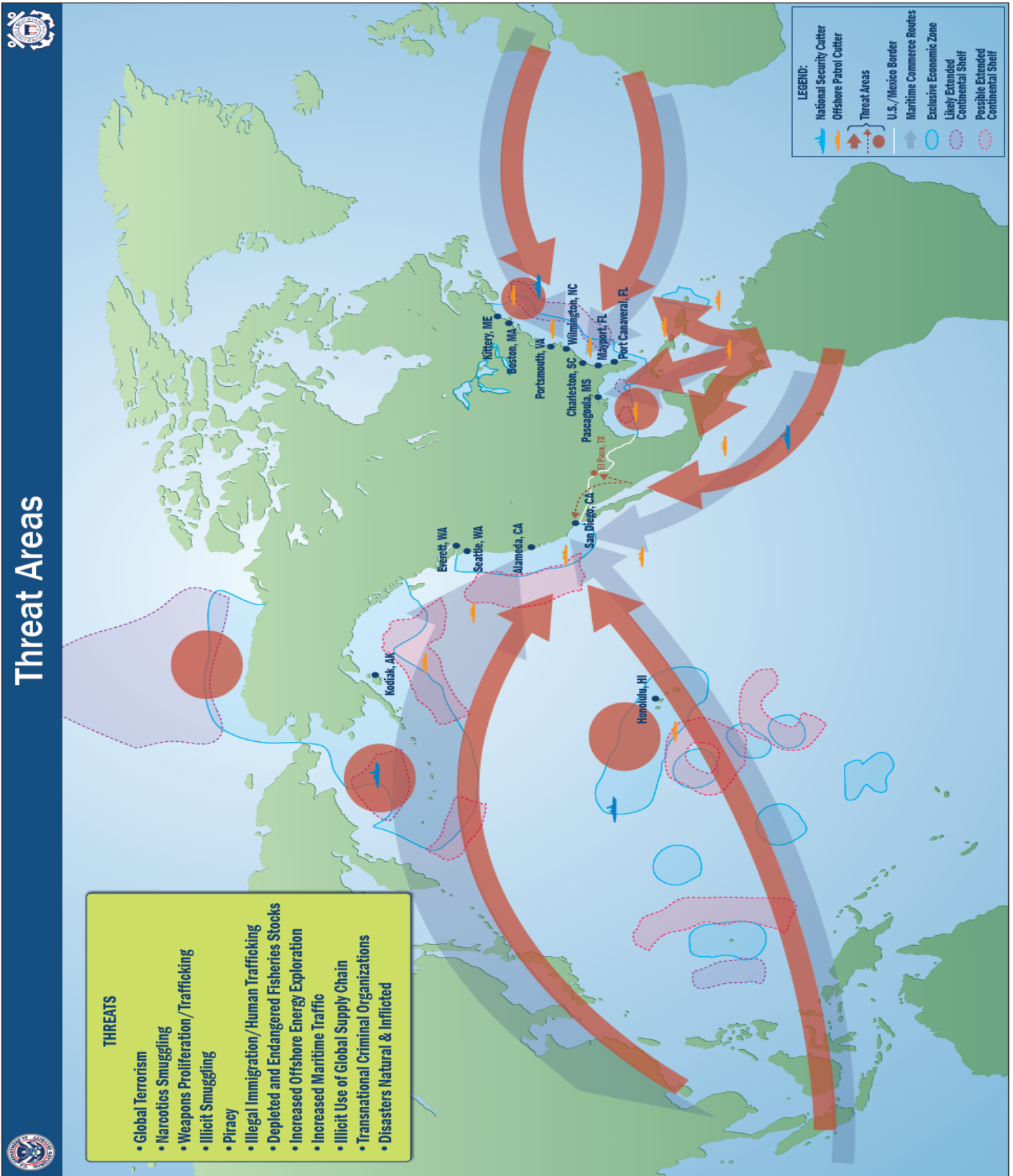


Figure 3: Threat Areas

4. ORGANIZING FOR OPERATIONS

Coast Guard operations are conducted by the Maritime Trident of Forces: Shore-based Forces, Maritime Patrol Forces, and Deployable Specialized Forces. Operations are enabled through command and control, intelligence, and mission support functions.

4.1 Command and Control

The Coast Guard's command and control structure provides the ability to allocate, coordinate, deploy, surge and direct forces regionally and globally to operate independently and in coordination with Federal, state, local, tribal, and international partners.

The Coast Guard employs a multi-level organizational structure that provides the commander at each level the authority and discretion to conduct operations within the operational areas. Coast Guard command and control begins at Headquarters, where overall operational control resides with the Commandant. The Coast Guard is divided into two theater commands: Atlantic Area and Pacific Area. The Area commanders delegate command and control to District Commanders. Districts delegate command and control to Sector Commanders. The Coast Guard's command and control structure is shown in Figure 4.



Figure 4: Coast Guard Command Structure

4.1.1 Coast Guard Headquarters

Headquarters is responsible for the strategy, policy and doctrine development for Coast Guard operations, and coordinates the use of Service capabilities to advance U.S. interests. The Commandant, under the direction of the Secretary of Homeland Security, supports the

development and execution of national strategies and policies. Headquarters also coordinates Coast Guard budget submissions and acquisitions of human and capital resources. Headquarters represents the Coast Guard in the MOTR Plan and Protocols for interagency operational coordination. However, Headquarters does not exercise direct operational control of assets. The Commandant, through Headquarters Program Directors, apportions forces to the Area Commanders and the combatant commanders through the Standard Operational Planning Process (SOPP) and Global Force Management (GFM) process, based on:

- The Coast Guard's Performance Goals;
- Requests for Forces (RFFs) from combatant commanders;
- Historical (prior year) application of resources by mission;
- Operational Performance Assessment Reports (OPARs) submitted by operational commanders; and
- Projected emergent or contingency requirements for that year.

4.1.2 Area Commanders

The Atlantic and Pacific Area Commanders are responsible for Coast Guard operations, and develop and implement operational objectives through theater plans for Coast Guard missions. This level of command translates policy into attainable operational objectives and plans, which form the basis for tactical operations performed by Coast Guard forces. Area Commanders:

- Manage operational risk for Coast Guard missions across all assigned districts;
- Advocate for assigned forces by validating and prioritizing operational requirements;
- Coordinate, facilitate, and provide mission guidance, a common operating picture, and intelligence to subordinate commands;
- Coordinate inter-district transfer of assets to meet operational requirements; and
- Control execution of missions that incorporate multiple districts or occur outside of district areas of responsibility.

Area Commanders develop patrol schedules based on available forces and allocated employment resource hour ceilings from the Commandant. Area Commanders schedule forces to requesting commands based on this process to:

- Execute Area or theater plans in support of performance goals;
- Conduct regional operations unique to a District Commander's area of responsibility; and
- Support DoD Commanders as directed by the Commandant.

The Area Commanders are responsible for scheduling and control of forces including:

- Polar icebreakers;
- Major cutters;
- Long Range Surveillance (LRS) fixed-wing aircraft; and

- Deployable Specialized Forces (DSF).

4.1.3 Coast Guard District Commanders

District Commanders are responsible for regional operations. They assume tactical control of allocated assets and execute operations in their area of responsibility through tasking of those assets. District Commanders:

- Coordinate regional operations with interagency partners;
- Develop operation plans and operation orders;
- Oversee tactical performance; and
- Submit OPARs to Area Commanders.

District Commanders are responsible for scheduling and control of forces including:

- Sectors;
- Buoy Tenders;
- Patrol Boats;
- Icebreaking Tugs;
- Air Stations, which operate:
 - Long Range Surveillance (LRS) fixed-wing aircraft;
 - Medium Range Surveillance (MRS) fixed-wing and Medium Range Response (MRR) and Short Range Response (SRR) rotary-wing aircraft; and
- Assigned DSF.

4.1.4 Coast Guard Sector Commanders

Sector Commanders are responsible for sub-regional and local operations within each District. They assume tactical control of allocated assets and execute operations in their area of responsibility through tasking of those assets. The Sector Commander is the sole person in their area of responsibility for directing interagency planning, tactical operations with other agencies, coordinating with other Sector Commanders, and receiving requests for Coast Guard resources from within their Sector. Sector Commanders have specific legal authorities that enable operations, including:

- Captain of the Port (COTP), with authority to enforce port safety, security and marine environmental protection regulations;
- Officer in Charge of Marine Inspection (OCMI), with authority over vessel standards compliance and mariner competency;
- Federal On-Scene Coordinator (FOSC), with authority over oil and hazardous material spill response and preparedness; and
- Federal Maritime Security Coordinator (FMSC), with authority to establish and appoint members to the Area Maritime Security (AMS) Committee and implement and exercise the

AMS Plan in coordination with the AMS Committee.

- Search and Rescue (SAR) Mission Coordinator (SMC), with authority to direct SAR operations, including rendering decisions to suspend active searches.

Sector Commanders are responsible for scheduling and control of forces including:

- Patrol Boats (as designated by Districts);
- Boat Stations;
- Harbor Tugs;
- Inland River ATON and Construction Tenders;
- Aids to Navigation Teams;
- Marine Safety Units and Detachments;
- Sector Prevention and Response Forces;
- Vessel Traffic Services (in specified ports); and
- Assigned DSF.

4.2 Operating Forces – Maritime Trident of Forces

Coast Guard forces are organized into the Coast Guard Maritime Trident of Forces: (1) Shore-based Forces, (2) Maritime Patrol Forces, and (3) Deployable Specialized Forces.

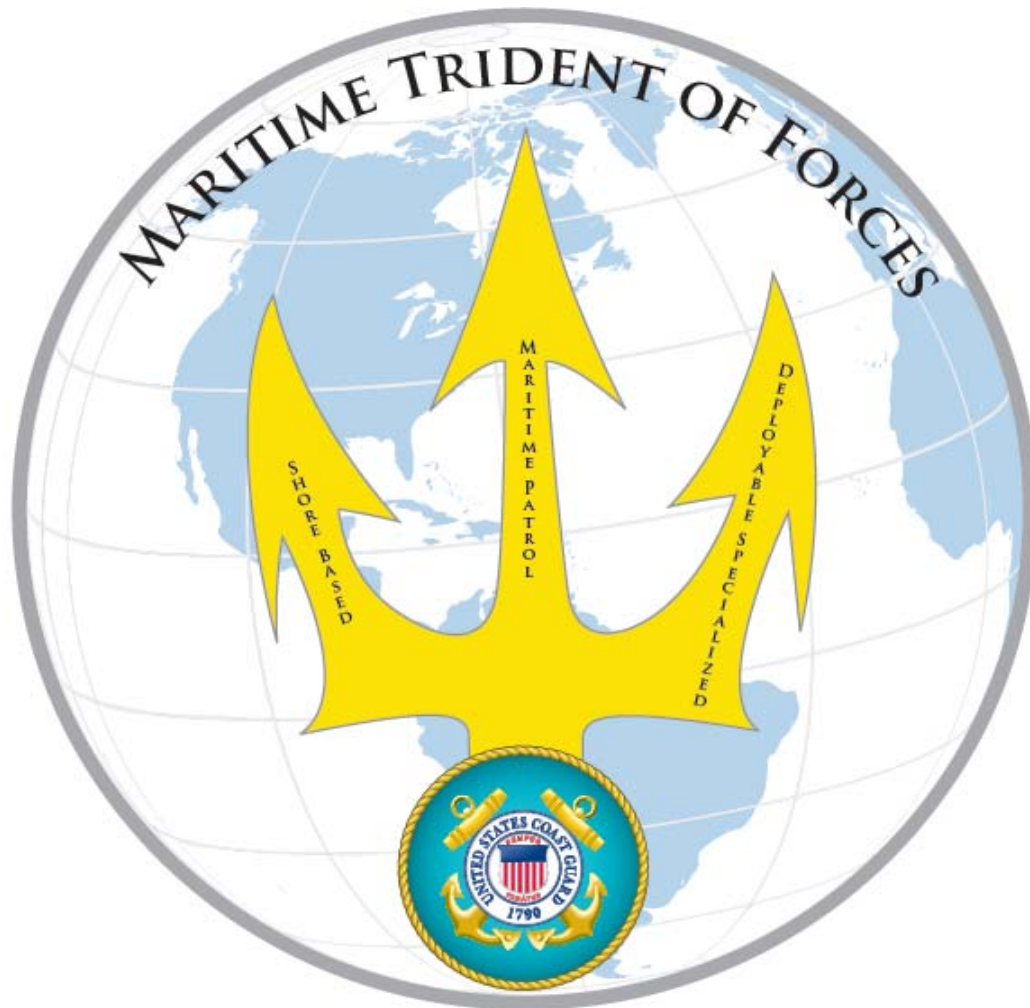


Figure 5: Maritime Trident of Forces

4.2.1 Shore-based Forces

Shore-based Forces are comprised of Sector commands and specific subordinate units that operate in ports, waterways, and coastal regions of the U.S. and its territories. Sector commands include a command and control element and staff (with organic mission support and intelligence functions), and prevention and response elements. Prevention elements conduct marine inspections, waterways management and marine investigations activities (e.g., aids-to-navigation, issuing safety and security zones, inspecting regulated vessels and facilities, investigating marine casualties). Response elements conduct incident management and enforcement activities (e.g., SAR, pollution investigation, security patrols, vessel boardings).

Shore-based Forces execute the broad legal authorities and roles of the Sector Commander, which include Captain of the Port, Officer in Charge of Marine Inspection, Federal On Scene Coordinator, Federal Maritime Security Coordinator, and SAR Mission Coordinator.

Shore-based Forces include the following subordinate units:

- **Boat Stations.** These fixed response units conduct operations in inland and coastal areas using motor life boats, response boats, and special purpose craft.
- **Aids to Navigation Team (ANT).** These mobile prevention units conduct operations in inland and coastal areas using aids to navigation boats.
- **Marine Safety Unit (MSU) and Marine Safety Detachment (MSD).** These fixed prevention units, located geographically distant from the Sector headquarters and staff, conduct operations through a range of prevention activities, including inspections, investigations and waterways management in support of the Sector.
- **Vessel Traffic Services (VTS).** These fixed prevention units conduct operations to facilitate the safe and efficient transit of commercial vessel traffic along high-density routes in inland and coastal areas. VTS coordinates commercial vessel movement through specified areas using command and control, communications and surveillance, and supports Coast Guard operations by providing domain awareness.
- **River, Construction, and Inland Buoy Tenders.** These cutters conduct operations to maintain aids to navigation in inland areas. They also conduct other prevention and response activities (e.g., assisting with flood recovery operations).
- **Harbor and Icebreaking Tugs.** These cutters conduct operations to break ice in inland areas, including the Great Lakes, to keep the MTS open for commerce. They also conduct other prevention and response activities (e.g., SAR, maritime security patrols).

Although Coast Guard Air Stations are shore-based commands, all fixed-wing and rotary-wing aircraft that deploy from Air Stations are categorized as Maritime Patrol Forces because of their capabilities and employment.

4.2.2 Maritime Patrol Forces

Maritime Patrol Forces are comprised of Coast Guard cutters and aircraft, and their crews. These assets deploy primarily in coastal and offshore areas to conduct prevention and response operations through patrol, presence, and at-sea operations (e.g., interdiction, boarding, enforcement, search and rescue). Cutters provide armed, persistent presence and command and control capabilities throughout the maritime domain. In addition to conducting Coast Guard operations, cutters project U.S. presence and protect U.S. sovereignty. These forces provide unique capabilities to DoD for joint operations, including warfighting under combatant commander operational control. Cutters also include the polar icebreakers, the nation's only capability for providing access to polar regions when restricted by ice.

Maritime Patrol Forces also conduct Intelligence, Surveillance, and Reconnaissance (ISR) activities in support of Coast Guard and national requirements.

Maritime Patrol Forces can also operate in inland areas when required, such as performing mobile command and control, prevention and response operations following a disaster or disruption to normal Sector operations, or when Sectors require augmenting forces.

Maritime Patrol Forces include:

- **Major Cutters.** These large oceangoing cutters conduct the full range of Coast Guard operations, except for icebreaking, primarily in the offshore operational area. Superior endurance and sea keeping capabilities provide the ability to maintain persistent presence in a range of environmental conditions. Major cutters include national security cutters (NSC), high (WHEC) and medium endurance (WMEC) cutters, and the planned offshore patrol cutters (OPC). Major cutters have assigned small boats and routinely deploy with embarked rotary wing aircraft.
- **Patrol Boats.** These smaller cutters conduct the full range of Coast Guard operations, except for icebreaking, primarily in the coastal operational area. Patrol Boats include fast response cutters (FRC), patrol boats (WPB), and coastal patrol boats (CPB). They are designed for rapid response, patrol, and interdiction. They may also deploy overseas in support of the combatant commanders for foreign coastal interdiction operations in the offshore operational area.
- **Polar and Great Lakes Icebreakers.** These cutters assure access to the polar regions and U.S. ports and navigational channels in the Great Lakes. They are specifically designed with reinforced and tailored hulls for open-water icebreaking.
 - **Polar Icebreakers.** These cutters protect U.S. sovereignty in the polar regions, support science and research, supply remote stations, and perform other operations across the Coast Guard mission spectrum. They are the only means of providing assured surface access in support of polar maritime security, national defense, and sea control requirements.
 - **Great Lakes Icebreaker.** This cutter assists in keeping channels and harbors open to commercial navigation on the Great Lakes to ensure a regular navigation season on the Great Lakes and St. Lawrence Seaway.
- **Oceangoing and Coastal Buoy Tenders.** These cutters maintain aids to navigation in inland and coastal operational areas. They also conduct operations across the Coast Guard mission spectrum. Certain oceangoing buoy tenders may carry an organic dive team as part of the crew to support aids to navigation operations.
- **Fixed-Wing Aircraft.** These all-weather aircraft deploy primarily from land-based Coast Guard Air Stations to conduct airborne operations. They consist of Long Range Surveillance (LRS) and Medium Range Surveillance (MRS) aircraft. These aircraft conduct operations supporting all Coast Guard missions and perform mission support activities (e.g., logistics/transport flights).
- **Rotary-Wing Aircraft.** These aircraft deploy primarily from land-based Coast Guard Air Stations or underway cutters to conduct airborne operations supporting all Coast Guard missions. They consist of Medium Range Response (MRR) and Short Range Response (SRR) helicopters. These aircraft conduct operations supporting all Coast Guard missions

and perform mission support activities (e.g., logistics/transport flights).

4.2.3 Deployable Specialized Forces

Deployable Specialized Forces (DSF) are teams of readily available and globally deployable personnel and assets with specialized capabilities, organized into unit types by specialty function and capabilities. DSF conduct operations across a range of Coast Guard missions where their unique capabilities are required.

DSF includes:

- **Maritime Safety and Security Team (MSST).** These units consist of law enforcement teams with boat forces and deployable boats that conduct waterborne operations and limited shoreside security operations across Coast Guard mission areas. MSSTs have specialized capabilities to conduct maritime security and response operations. MSSTs operate primarily in the inland operational area.
- **Maritime Security Response Team (MSRT).** This unit consists of advanced tactical teams with specialized capabilities for conducting law enforcement and counterterrorism operations through advanced interdiction, boarding, and enforcement activities. MSRT has specialized capabilities to conduct maritime security and response operations, including chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE) detection and response. MSRT operates in all operational areas.
- **Tactical Law Enforcement Team (TACLET).** These units consist of deployable Law Enforcement Detachments (LEDETs). LEDETs primarily deploy aboard and operate from U.S. Navy or allied vessels to conduct law enforcement operations through interdiction, boarding, and enforcement activities. LEDETs operate primarily in the offshore areas.
- **Port Security Unit (PSU).** These units consist of a command element, security forces, and boat forces with deployable boats and organic mission support capabilities. PSUs conduct expeditionary operations through coastal and port security activities in support of combatant commander requirements. PSUs operate primarily in the offshore operational area.
- **The National Strike Force (NSF).** This unit consists of the National Strike Force Coordination Center and three National Strike Teams that provide high-end pollution and hazardous materials response. NSF has specialized capabilities to detect and respond to CBRNE incidents. NSF operates in all operational areas.
- **Regional Dive Locker (RDL).** These units conduct military diving operations in support of PWCS, ATON, and Polar Operations missions. Coast Guard divers also conduct underwater ship husbandry and underwater search and recovery in support of other operations and mission support requirements. This does not include explosive ordnance disposal capabilities.

4.3 Coast Guardsmen

Coast Guardsmen are the Service's most valuable resource and make the Maritime Trident of Forces a unique instrument of national power. The force comprises approximately 41,000 active duty military personnel, over 8,000 Reservists, over 8,000 civilian employees, and approximately 30,000 Auxiliarists. The Reserve force provides highly trained and well-qualified personnel for

active duty in time of war or national emergency, with surge capacity and flexibility to respond to all threats and all hazards. The Coast Guard Auxiliary is a uniformed all-volunteer force supporting all Coast Guard operations except military operations and law enforcement.

4.4 Developing and Employing Forces to Conduct Operations

The Coast Guard relies on a continuous, proven process to develop, train, equip, maintain, and employ capabilities and forces to conduct operations:

- (1) Establish clear requirements for capabilities;
- (2) Establish mission essential tasks and the competencies required for those tasks;
- (3) Establish policy, doctrine, and TTP prior to conducting operations;
- (4) Train Coast Guard personnel to proficiency and sustain that proficiency;
- (5) Provide standardization of equipment, operations and tactics, and evaluate readiness;
and
- (6) Focus on mitigating operational risk and conducting safe, effective operations.

4.4.1 Asset Distribution across Geographic Region and Command Structures

Coast Guard assets conduct operations across the operational areas as depicted by the following table (P-primary, S-secondary). Command Structures indicated reflect the regular operational commander. Most forces are regularly shifted to operational control of lower command echelons as operations require.

Assets	Operating Areas			Command Structures		
	Inland	Coastal	Offshore	Sector	District	Area
Shore-based Forces						
Boat Stations	P	P		X		
Aids to Navigation Teams	P	P		X		
Vessel Traffic Services	P	P		X		
Marine Safety Unit	P	P		X		
River, Construction and Inland Buoy Tenders	P			X		
Harbor and Icebreaking Tugs	P	S		X		
Maritime Patrol Forces						
Major Cutters	S	S	P			X
Patrol Boats	S	P	P	X		
Polar Icebreakers		S	P			X
Great Lakes Icebreaker		P			X	
Oceangoing and Coastal Buoy Tenders	S	P	S		X	
Fixed-wing Aircraft	S	P	P		X	X
Rotary-wing Aircraft	P	P	P		X	
Deployable Specialized Forces						
MSSTs	P	S	S			X
MSRT	P	P	P			X
TACLETs	S	S	P			X
PSUs	S	S	P			X
NSF	P	P	P			X
RDL	P	S	S			X

Table 2: Asset Distribution across Operational Areas

5. FUNDAMENTALS OF OPERATIONS

U.S. national strategy calls for extending security as far from U.S. shores as possible to prevent, detect, and defeat threats early. The array of potential threats and challenges to the U.S. and its interests in the maritime domain require the Coast Guard maintain a broad range of skills and tools to meet national requirements. Security-in-depth is much more than simply assigning a specific capability to a specific target or area of responsibility. ***Rather, a layered, security-in-depth concept of operations is a flexible, rapidly adaptable construct of synchronized forces combined with a highly integrated system of authorities, capabilities, competencies, and partnerships.***

5.1 Principles of Coast Guard Operations

The seven Principles of Coast Guard Operations described in *Coast Guard Publication 1* guide Coast Guardsmen in the execution of their duties. These guiding principles trace their roots to Alexander Hamilton's letter to the first commanding officers of the Revenue Cutter Service. They succinctly describe the Coast Guard operating ethos and underpin the Service's ability to conduct successful operations in all operational areas.

Figure 6: Principles of Coast Guard Operations

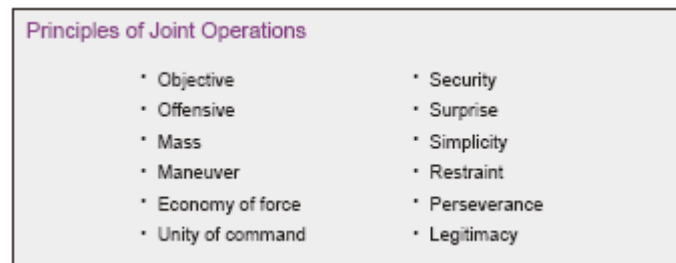
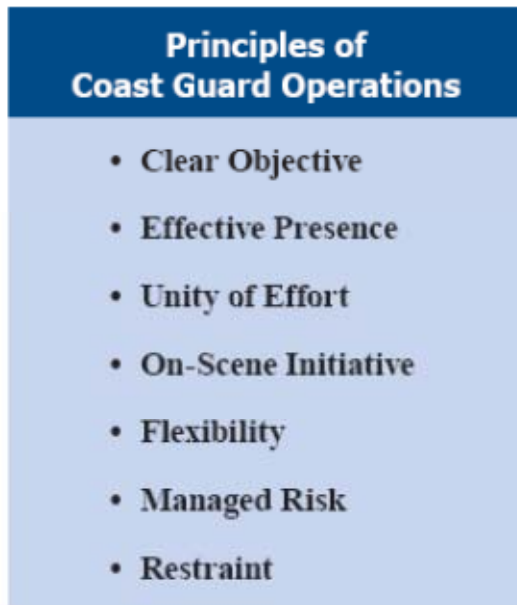


Figure 7: Principles of Joint Operations

The Coast Guard also subscribes to the Principles of Joint Operations codified in joint doctrine. The Principles of Coast Guard operations complement the Principles of Joint Operations and accommodate the distinctions between war-fighting and law enforcement and security operations. The principles

of Coast Guard operations apply across the full range of missions:

- **Clear Objective** means every operation should be directed toward a clearly defined, attainable goal or outcome.
- **Effective Presence** means having the right assets and capabilities at the right place at the right time.
- **Unity of Effort** means working cooperatively with diverse governmental and non-governmental entities. Achieving successful outcomes requires positive leadership to ensure clear understanding of the objective and the role that each individual, unit, or organization is expected to play in meeting that objective, particularly when there is

no overarching unity of command with a traditional command and control framework.

- **On-Scene Initiative.** The nature of operations demands that Coast Guard men and women have the initiative to act quickly and decisively within the scope of their authority, without waiting for direction from higher levels in the chain of command.
- **Flexibility.** Arising from a combination of broad authority, diverse responsibilities, and limited resources, the flexibility principle implies that if we are to succeed in pursuing multiple missions with common assets and personnel, then we must be able to adjust to a wide variety of tasks and circumstances.
- **Managed Risk** means the commander’s obligation to ensure the unit is properly trained, equipped, and maintained for its mission. The commander must also measure crew and equipment capabilities and capacities against the operational scenario when assessing whether and how to execute a given operation.
- **Restraint.** Coast Guard personnel have always been under a special obligation to exercise their powers prudently and with restraint.

“While I recommend in the strongest terms to the respective officers, activity, vigilance, and firmness, I feel no less solicitude, that their deportment may be marked with prudence, moderation and good temper. Upon these last qualities, not less than the former, must depend the success, usefulness and consequently continuance of the establishment...”

Alexander Hamilton’s Letter of Instruction to Revenue Cuttermen

5.2 Precepts for Conducting Operations

The precepts for conducting operations derive from the Principles of Operations:

- Leverage authorities to establish and enforce standards, reduce risk, and respond to incidents in the maritime domain.
- Maximize asset versatility across mission sets and operating environments.
- Cultivate the multi-mission character of Coast Guard personnel, well-grounded and proficient in maritime operations and core competencies.
- Operationalize Federal, state, local, tribal, and international partnerships.

Coast Guard Core Competencies

They create the unique value that the Coast Guard brings to the Nation.

- Multi-mission agility, adaptability, and 24/7 readiness
- Maritime safety and security expertise
- Marine industry leadership, expertise and global engagement
- Crisis leadership, command and control, and incident management
- Interoperability with the joint force as an armed force
- Federal law enforcement and regulatory authorities
- Maritime interdiction and boarding expertise
- Global search and rescue expertise and leadership
- Seamanship and airmanship
- Interagency coordination
- Mission support

Figure 8: Coast Guard Core Competencies

We can be more effective and provide greater value to our country when we forge partnerships with local, state, tribal, Federal, and international authorities. For the same reasons, strengthening appropriate relationships with private industry is imperative. Ultimately, strong partnerships are critical to enhancing our capability, effectiveness and credibility in the maritime domain.

***Admiral Robert J. Papp, Jr.
Commandant***

5.3 The Nature of Command

At all times a military service and branch of the armed forces, the Coast Guard relies on command authority and military discipline to successfully organize and conduct operations. Command authority is the assignment of authority, responsibility, and accountability for functions with a sole individual: the commander, commanding officer, or officer-in-charge. Command authority is built on a hierarchical structure of the chain of command. Each commander is required and expected to develop and exercise the art of command, using strong leadership to ensure successful mission execution. The person in command must employ a combination of courage, ethics, leadership, judgment, and situational awareness, as well as considering competing or contrary viewpoints gained over time through training, education, and experience.

5.4 Elements of Coast Guard Operations

Coast Guard forces conduct operations through a continuous cycle of synchronized elements:

<p>COMMAND AND CONTROL</p>	<p>Command and Control (C2) is the exercise of authority and direction by an operational commander of assigned forces to accomplish the mission. The commander provides operational vision, guidance and direction to the forces. The Coast Guard employs the Statement of No Objection (SNO) process for ensuring appropriate C2 of certain Coast Guard operations that may impact the foreign relations of the U.S. C2 also includes interagency operational coordination, such as through the National Response Framework (NRF), Incident Command System (ICS), and MOTR Plan and Protocols.</p> <p>Command and Control also includes two critically important supporting functions:</p> <ol style="list-style-type: none"> 1. Legal 2. Governmental and Public Affairs <p>Coast Guard legal delivers advice and support to the personnel who carry out the varied functions of the Coast Guard to ensure their missions, operations, and activities can be achieved within the spirit, as well as the letter, of the law.</p> <p>Governmental and Public Affairs is also fundamental to mission success. As servants of the public’s trust, we have an obligation and responsibility to educate the public on Coast Guard activities. Governmental and Public affairs is part of the operational planning process and directly supports mission execution.</p>
<p>INTELLIGENCE</p>	<p>The intelligence function assures decision advantage for the commander by providing integrated, evaluated, analyzed, and interpreted information concerning potential threats across the spectrum of Coast Guard mission areas. <i>Coast Guard Publication 2</i> describes how the Coast Guard conducts effective intelligence activities and functions, which are integrated into all Coast Guard operations.</p>
<p>OPERATIONS</p>	<p>Prevention – Response is the core operating concept—how Coast Guard forces deliver mission results. First, the Coast Guard conducts operations to prevent dangerous or illicit activities in the maritime environment. When incidents occur, whether deliberate or accidental, the Coast Guard conducts operations to rapidly and effectively respond.</p>
<p>MISSION SUPPORT</p>	<p>Mission support is the provision of operational logistics and personnel services to prepare and sustain Coast Guard facilities (e.g. cutters, boats, aircraft, infrastructure and systems) and personnel to conduct operations. In order to maintain the high degree of readiness required, the Coast Guard employs an agile and responsive logistics support system that is synchronized with operations. Personnel, training, supply, engineering, C4IT, financial, and acquisition systems must be agile and proactive in meeting the needs of field units executing Coast Guard missions. Mission support also includes functions necessary to protect and preserve operational capabilities, including security measures to protect Coast Guard personnel, facilities, information systems, communications, and operations.</p>

5.5 Security-in-Depth

The Coast Guard employs security-in-depth to conduct operations. Personnel and assets are deployed and stationed in layers in the offshore, coastal, and inland operational areas to prevent and respond to threats well before they reach U.S. waters and the MTS. Coast Guard forces reduce the risk of security incidents by identifying and addressing vulnerabilities to threats, then detecting, interdicting and defeating threats before they approach U.S. shores. When an incident occurs, Coast Guard forces remain ready to conduct response operations and assist with initial recovery.

This layered security regime begins in foreign countries, where Coast Guard personnel conduct foreign port assessments under the International Port Security Program to assess effectiveness of foreign port security and antiterrorism measures. Also, Coast Guard personnel are posted as attachés, liaisons, and maritime advisors with many U.S. embassies around the world. The International Mobile Training Branch (MTB) temporarily deploys to foreign countries under Department of State direction to conduct international engagement with foreign partners. In the offshore operational area, Maritime Patrol Forces and DSF (when embarked on cutters, U.S. Navy or allied ships) provide persistent presence and deterrence in areas of potential threats primarily by patrolling, conducting ISR, and response operations through detection, interdiction, boarding, and enforcement.

In the coastal operational area, Maritime Patrol Forces, Shore-based Forces, and DSF conduct operations through a combination of scheduled prevention operations, patrols, and response operations. Coast Guard forces maintain high states of readiness to enable immediate or rapid response to threats or incidents.

In the inland operational area, Shore-based Forces, DSF, and aviation forces conduct prevention and response operations and maintain high states of readiness to enable immediate or rapid response to threats or incidents.

Security-in-depth demands that Coast Guard operations be synchronized with other U.S. and international operations to respond to maritime threats with unity of effort. The Coast Guard relies on the NRF, ICS, and MOTR Plan and Protocols to synchronize U.S. response to maritime threats and incidents, including coordination with foreign governments.

Figure 9 depicts how the Coast Guard forces are allocated to conduct operations across the defined Coast Guard operational areas to provide security-in-depth.

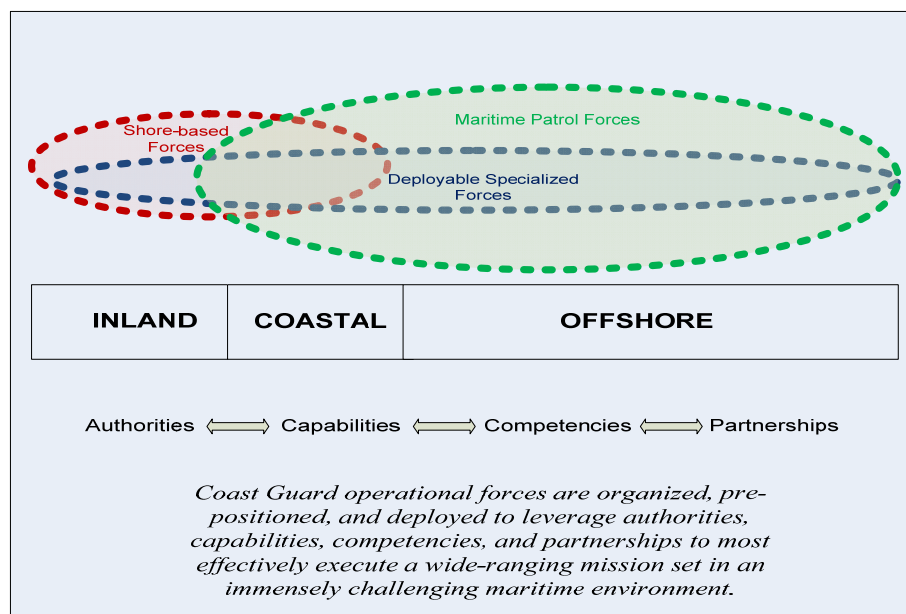


Figure 9: Security-in-Depth

6. OPERATIONS IN ACTION

6.1 Offshore Operational Area

6.1.1 Offshore Mission Profile

Major Cutters, Fixed-wing and Rotary-wing aircraft, and LEDETs embarked aboard U.S. Navy or allied warships/government vessels, are continuously deployed and patrol in areas of known or suspected threats (e.g., drug smuggling or migrant smuggling routes, areas of illegal fishing) as informed by intelligence, planning, and C2. Major Cutters have the required endurance to provide persistent presence far at sea, where they patrol and maintain maximum readiness to rapidly respond to threats well before they reach the U.S. As U.S. warships, Major Cutters are armed with multiple crew-served weapons, carry organic small boats, and deploy armed law enforcement boarding teams from within the cutter crew. Major Cutters frequently embark a Medium Range or Short Range Response aircraft to launch and recover from the cutter to increase ISR and interdiction capabilities and conduct complimentary operations. Major Cutters have the capability to detect, interdict, stop and board other vessels. They employ a range of TTP and levels of force depending on the severity of threat, including when necessary and appropriate, employment of warning fires, disabling fires, and destructive fires. Major cutters can also tow vessels, depending on the size and characteristics of the other vessel.

Long Range and Medium Range Surveillance aircraft launch from Air Stations to conduct patrols, ISR, and operations within their geographic range and endurance.

Medium Range and Short Range Response helicopters deploy from Air Stations to conduct SAR, PWCS, and Drug Interdiction operations, and support other operations through ISR activities. Helicopters may carry, deploy, and recover a Rescue Swimmer to conduct SAR. Helicopters may carry, deploy, and recover armed boarding teams (e.g., MSRT, MSST or LEDET forces) through vertical insertion or vertical delivery to board a ship.

LEDETs embark and deploy from U.S. and allied warships/government vessels as armed boarding teams to conduct law enforcement boardings of suspected smuggling vessels or suspected pirated vessels.

In the polar regions, Polar Icebreakers with embarked Short Range Response aircraft conduct operations. Long Range Surveillance aircraft and Medium Range Response aircraft support Arctic operations.

The Maritime Security Response Team (MSRT) conducts advanced interdiction, boarding and law enforcement operations in support of counterterrorism and the PWCS mission. The MSRT may deploy by airborne and waterborne means to conduct interdiction and boarding of non-compliant or opposed vessels.

Port Security Units (PSU) perform military port and waterside security operations in foreign countries under operational control of a combatant commander in support of Department of Defense operations.

6.1.2 Examples in the Offshore Operational Area

On a typical day:

- A National Security Cutter with embarked MH-65D helicopter interdicts, stops, and boards a suspected self-propelled semi-submersible drug smuggling vessel in the Eastern Pacific Ocean, west of Central America.
- An HC-130H launches from Air Station Kodiak, Alaska to conduct a surveillance flight in the Bering Straits for vessels suspected of encroaching and fishing in the U.S. EEZ.
- A Medium Endurance Cutter conducts a multinational naval exercise with South American naval vessels to enhance security cooperation and improve coalition operations.
- A LEDET embarked aboard a U.S. Navy destroyer responds to a reported piracy incident in the Gulf of Aden. After the destroyer interdicts the pirated ship, the LEDET deploys from the destroyer by small boat to board the vessel, take custody of the suspected pirates, and free the ship's crew.
- An International Port Security Liaison Officer assesses security of a container loading facility in a foreign port to determine compliance with the International Ship and Port Facility Code.
- A 110 foot Patrol Boat assigned to operational control of U.S. Central Command conducts military operations in the northern Arabian Gulf.
- A Port Security Unit performs waterborne and shore side security in Guantanamo Bay, Cuba.

Historical vignettes:

- In January 2009, Miami-based LEDET 405, operating as part of Combined Task Force (CTF) 151 and conducting counter-piracy operations aboard USS VELLA GULF (CG 72) and USS MAHAN (DDG 72) in the Gulf of Aden, assisted in the apprehension of 16 suspected pirates in a 24-hour period.
- During Operation Iraqi Freedom, Port Security Units conducted operations to ensure security for strategic sealift in key ports of Saudi Arabia, Bahrain, Iraq, and Kuwait.
- In January 2010, the USCGCs FORWARD, MOHAWK, and TAHOMA were the first U.S. assets to arrive on scene at Port au Prince, Haiti, following a devastating earthquake. These units provided air traffic control for military aircraft, conducted damage assessments of the port, and ferried supplies and injured people with embarked boats and helicopter.
- In July 2009, USCGC BERTHOLF disrupted a major drug smuggling operation in the Eastern Pacific when it seized two suspected "go fast" drug smuggling boats 80nm southwest of Guatemala. A Short Range Response helicopter launched from BERTHOLF and employed warning and disabling fires under Airborne Use of Force (AUF) TTP to stop the vessels. A boarding team from USCGC BERTHOLF boarded the vessels, detained four suspected smugglers and recovered nearly one ton of cocaine.

- In September 2009, USCGC BEAR located a grossly overloaded 40-foot Haitian sail freighter 30 miles west of Great Inagua, Bahamas with 164 embarked Haitian migrants attempting to reach the U.S. USCGC BEAR distributed life jackets and water to the migrants and remained on scene until the migrants were safely transferred to the USCGC CONFIDENCE, which subsequently repatriated the migrants to Cap-Haitien, Haiti.
- In September 2002, high radiation levels were detected on the container ship PALERMO SENATOR during a routine boarding in Newark, NJ. USCGC ESCANABA escorted the container ship back out to sea and then detained the vessel offshore while a multi-agency boarding was conducted to determine the source of the initial radiation detection. Although the PALERMO SENATOR was eventually cleared to return to port, the agility with which this coordinated operation was conducted ensured a safe and timely adjudication.
- In 2011, USCGC HEALY deployed with the Canadian Coast Guard Ship (CCGS) LOUIS S. ST-LAURENT on the 2010 Extended Continental Shelf Project. This project will determine the limits of the extended continental shelf relative to the depth and shape of the seafloor and the thickness of underlying sediment layers. This effort will help shape sovereignty claims in the resource rich region.
- In 2007, while on patrol in the Northwest Pacific Ocean, USCGC BOUTWELL interdicted, boarded, and seized six fishing vessels that were using illegal high seas drift nets in violation of international law. The operation was conducted in coordination with the Chinese Fisheries Law Enforcement Command, which took custody of the seized vessels.

6.2 Coastal Operational Area

6.2.1 Coastal Operational Area Mission Profile

Major Cutters typically transit through—but do not primarily patrol in—the coastal operational area. If the mission demands, a Major Cutter may be deployed to employ C2 to direct multiple afloat and aviation forces and conduct response operations following a major threat or maritime incident.

Patrol Boats are deployed and continuously conduct patrols in areas of known or suspected threats, as informed by intelligence, planning, and C2. They may be rapidly deployed from a high state of readiness to respond to threats, incidents, reports of mariners in distress, or to conduct other operations. They may also be deployed to conduct planned operations, such as law enforcement patrols. Patrol Boats are armed with crew served weapons, carry an organic small boat, and deploy an armed law enforcement boarding team from within the cutter crew. Patrol Boats provide persistent presence in the U.S. littorals and can extend operations into the offshore operational area for limited duration, depending on range and endurance. Patrol Boats detect, interdict, stop and board other vessels. They may employ a range of TTP and levels of force depending on the severity of threat including, when necessary and appropriate, employment of warning fires, disabling fires, and destructive fires.

Boat stations maintain high states of readiness and immediately launch motor lifeboats, response boats, or special purpose craft to respond to threats, incidents, reports of mariners in distress, or to conduct other operations. Boat stations may also launch boats for planned operations, such as vessel escorts or law enforcement patrols. These boats, depending on type, can detect, interdict, stop and board other vessels. Motor lifeboats are specially designed craft for conducting SAR

operations, with unique capabilities to operate in surf or heavy weather. Response boats are general-purpose boats for a range of operations, including SAR, PWCS, Drug Interdiction, Migrant Interdiction and LMR. Special purpose craft, depending on designation, are designed and equipped for specific operational environments and objectives (e.g., high-speed interception and pursuit, aids to navigation, ice rescue). Generally, boats can tow other vessels, deploy an armed boarding team from within the boat crew or embarked on the boat and, depending on boat type and designation, may be armed with automatic weapons for security patrols. They may employ a range of TTP and levels of force depending on the severity of threat including, when necessary and appropriate, employment of warning fires, disabling fires, and destructive fires.

Ocean going and coastal buoy tenders perform scheduled or emergency maintenance on buoys, including replacement and repositioning of aids. In addition to their primary mission, buoy tenders are multi-mission cutters and can conduct response operations across other missions similar to Major Cutters and Patrol Boats.

The Great Lakes Icebreaker and Icebreaking Tugs break ice in navigational channels throughout the Great Lakes system during the fall and spring ice seasons to facilitate safe navigation and commerce. In addition to their primary mission, icebreakers are multi-mission cutters and can conduct response operations across other missions similar to Major Cutters and Patrol Boats.

Medium Range and Short Range Response helicopters conduct similar operations as in the offshore operational area.

Long Range and Medium Range Surveillance aircraft conduct similar operations as in the offshore operational area.

The NSF conducts oil and hazardous materials response operations.

MSSTs conduct similar operations as in the inland operational area.

The MSRT conducts similar operations as in the offshore operational area.

6.2.2 Examples in the Coastal Operational Area

On a typical day:

- Boat stations and Air Stations maintain highest readiness levels for immediate response to mariners in distress. Upon receiving a notice of distress, the small boat station takes action to respond, including issuing a Marine Assistance Request Broadcast or Urgent Marine Information Broadcast by radio, and launching a motor lifeboat or response boat to conduct SAR operations. An Air Station may launch a fixed-wing aircraft or helicopter to conduct SAR operations. Coast Guard forces conducting SAR are under C2 of the Commander responsible for the SAR mission for that area.
- Response boats intercept and conduct armed boardings and inspections of recreational vessels to ensure compliance with applicable laws and regulations. If the boarding team detects a violation (e.g., boating under the influence, lack of required safety equipment), the team may take enforcement actions against the owner/operator of the vessel.
- Most oceangoing commercial vessels bound for a U.S. port are required to submit a 96-hour Advanced Notice of Arrival (ANOA). The ANOA is provided to the Intelligence Coordination Center (ICC) and Area Maritime Intelligence Fusion Centers (MIFCs), which

evaluate the vessel, crew, passengers, and cargo information against known data bases for potential threats, and provide warning as appropriate to the cognizant District and Sector. If the vessel or crew is determined to pose a security risk, the Sector will conduct appropriate response operations. These activities may vary depending on the level of risk: inspecting the vessel upon arrival in port; conducting a boarding of the vessel at sea, establishing positive control, and providing armed escort into port; or preventing the vessel from entering the port.

Historical vignettes:

- The Deepwater Horizon oil spill response in the Gulf of Mexico impacted major segments of the coastal and inland operational areas along the coast of five states. The Coast Guard conducted response operations in SAR and Marine Environmental Protection missions. Coast Guard forces led the largest U.S. interagency response to a spill of national significance through a C2 construct under the National Response System: National Incident Command, Unified Area Command, and Incident Command Posts. Coast Guard forces included medium endurance cutters, ocean going and coastal buoy tenders, and small boats. An average of one fixed-wing and four rotary-wing aircraft were assigned daily ISR missions.
- As an example of the 22,000 SAR cases executed every year, Sector Port Angeles, WA, received a report that the fishing vessel MOONBEAM was taking on water 16 miles southwest of Cape Alava, WA. Through the use of its enhanced Rescue 21 communications and locating systems, the Sector command center sortied a Coast Guard rotary-wing aircraft and 47' Motor Lifeboat. A Navy P3 aircraft on routine patrol was diverted to locate the fishing vessel. The P3 quickly located the abandoned MOONBEAM and a nearby skiff with the two crewmen onboard. The 47' boat was vectored to the location, quickly rescued the two persons from their skiff, and returned them safely to shore.
- Immediately following the terrorist attacks of 9/11, the Coast Guard took swift actions to strengthen protection of U.S. ports and waterways from potential maritime terrorist threats. Coast Guard cutters and aircraft diverted from offshore operational areas, such as the North Atlantic, the Caribbean, and the Eastern Pacific, to patrol directly in and around U.S. ports and coastal waters.

6.3 Inland Operational Area

6.3.1 Inland Operational Area Mission Profile

Sector personnel conduct operations at facilities and aboard vessels in and along U.S. ports and waterways. Marine Inspectors conduct safety and security inspections of regulated U.S. vessels, facilities, and foreign vessels in U.S. ports to ensure compliance with applicable U.S. and international laws and standards. Marine Investigators conduct marine casualty investigations following vessel accidents to determine the cause and identify corrective actions. Marine Investigators also conduct investigations involving suspected negligence or misconduct by licensed U.S. mariners and take appropriate action to enforce laws and regulations. Pollution investigators rapidly respond to reports of oil or hazardous substance spills. The Sector Commander issues orders and regulations under COTP, FMSC or OCMi authority to control movements and activities of non-government vessels, facilities, and personnel to ensure the safety and security of the MTS. The Sector Commander and staff hold regular meetings and

share information with Federal, state, local, and tribal authorities, and maritime industry to ensure safety and security of the MTS. This may include meetings of standing coordinating bodies, such as the Area Maritime Security Committee. If an incident occurs, Sector personnel conduct crisis response and incident management operations under the ICS, NRF, and NCP.

Boat stations and attached boats conduct similar operations in the inland operational area.

River, construction and inland buoy tenders perform scheduled or emergency maintenance on fixed and floating aids to navigation, including replacement and repositioning of aids. These cutters also perform other missions, as required, such as flood relief and SAR.

ANTs perform scheduled or emergency maintenance on fixed and floating aids, employing special purpose craft boats.

Harbor and icebreaking tugs break ice in navigational channels to facilitate safe navigation and commerce, and perform other missions as required, such as enforcement of safety and security zones, flood relief and SAR.

Medium Range and Short Range Response helicopters conduct similar operations in the inland operational area.

MSSTs conduct small boat operations in support of the PWCS mission. MSST response boats (and, when assigned, special purpose craft) patrol to provide Sector forces with enhanced safety and/or security for designated vessels in transit and for designated port facilities by enforcing a Naval Vessel Protection Zone, Safety Zone or Security Zone. They are typically deployed for planned events, such as a National Special Security Event (NSSE) or in response to a major incident. MSST personnel and boats conduct patrols, interdiction, and may conduct boarding and enforcement operations. MSSTs also have capabilities for underwater/anti-swimmer defense.

The NSF conducts similar operations as in the coastal operational area.

The MSRT conducts similar operations as in the coastal and offshore operational areas.

6.3.2 Examples in the Inland Operational Area

On a typical day:

- Marine inspectors conduct a facility security inspection of a chemical processing facility along a major navigable waterway.
- Pollution investigators respond to reports of an oily sheen near a tank vessel transiting through a major port.
- The Sector Commander issues a COTP order to a vessel to remain at anchorage pending a secondary Port State Control inspection to address inadequate compliance with international pollution standards.
- The Sector Commander issues a regulation establishing a safety zone around a sunken vessel near a navigable channel.
- An MH-65D conducts patrol and SAR over an area of inland flooding.
- A Response Boat-Small (RB-S) enforces a moving Naval Vessel Protection Zone around a

U.S. Navy aircraft carrier in transit through a major waterway.

Historical vignettes:

- Immediately following the terrorist attacks of 9/11, the Sector Commander for New York, as COTP, temporarily closed local waterways to all traffic and coordinated the evacuation by water of hundreds of thousands of people from lower Manhattan.
- Annually, the Coast Guard, along with the National Association of State Boating Law Administrators and other state and local law enforcement agencies, participate in "Operation Dry Water," a national coordinated effort aimed at eliminating boating under the influence and the number of alcohol-related accidents and fatalities. Since 2009, Operation Dry Water has yielded 930 BUI arrests and more than 11,000 citations and 21,000 safety warnings.
- In April 2009, Coast Guard Sector Corpus Christi units consisting of surface forces from Port Aransas, Sector enforcement officers, Coast Guard Auxiliary aircraft, and Customs and Border Patrol agents from Comstock Station in Del Rio, Texas, seized over 440 pounds of marijuana from boats traveling on Lake Amistad. As a result of a five-day, joint operation, Department of Homeland Security agencies seized \$352,000 of marijuana.
- During a six-day period in March 2009, Sector Upper Mississippi conducted 95 SAR cases in response to flooding of the Red River in North Dakota. The Sector Commander, as COTP, established a safety zone on the Red River from Wahpeton to Pembina, ND, restricting all vessel traffic in the zone except SAR and law enforcement vessels. Short Range Response helicopters, disaster response teams, airboats, Coast Guard Auxiliary communications trailers, and approximately 120 Coast Guard personnel conducted operations in support of the flood relief.
- In February 2007, while pushing four barges, the tug JOHN ROBERTS struck the Vicksburg, MS, railroad bridge. One of the barges, carrying 756,000 gallons of crude oil, burst into flames. The flaming barge broke away and drifted 12 miles down the Mississippi River until it was pushed against the riverbank and the fire extinguished. The Coast Guard Sector Commander, as the FOSC, led a multi-agency response. Along with ensuring there was no loss of life, the Coast Guard's coordination of this response ensured the expeditious cleanup and timely resumption of the high volume of commercial traffic that transits that waterway.
- The Coast Guard escorts certain U.S. Navy warships while in transit within the U.S. territorial sea and inland waters, and provides waterside security and escorts for military outloads from U.S. commercial and military strategic seaports.

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APPENDIX A. GLOSSARY

The following sections provide a list of acronyms and terms used in this document and their definitions.

A.1 Acronyms

<u>Acronym</u>	<u>Description</u>
ANT	Aids to Navigation Team
AOR	Area of Responsibility
AtoN	Aids to Navigation
BUSL	Buoy Utility Stern Loading Boat
C2	Command and Control
C4ISR	Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance
CBRNE	Chemical, Biological, Radiological, Nuclear, and High-yield Explosive
CCJO	Capstone Concept for Joint Operations
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CGC	Coast Guard Cutter
CIP	Common Intelligence Picture
COMMCEN	Communications Center
COMSEC	Communications Security
COP	Common Operating Picture
COTP	Captain of the Port
CS 21	<i>A Cooperative Strategy for 21st Century Seapower</i>
DCMS	Deputy Commandant for Mission Support
DCO	Deputy Commandant for Operations and Policy
DHS	Department of Homeland Security
DoC	Department of Commerce
DoD	Department of Defense

<u>Acronym</u>	<u>Description</u>
DSF	Deployable Specialized Forces
EEZ	Exclusive Economic Zone
FOSC	Federal On Scene Coordinator
FRC	Fast Response Cutter
FWPCA	Federal Water Pollution Control Act
GCC	Geographic Combatant Commander
HSPD	Homeland Security Presidential Directive
HSTF-SE	Homeland Security Task Force – Southeast
ICW	Intracoastal Waterway
IIP	International Ice Patrol
IMO	International Maritime Organization
ISPS	International Ship and Port Facility Security Code
ISR	Intelligence, Surveillance, and Reconnaissance
LE	Law Enforcement
LEDET	Law Enforcement Detachment
LMR	Living Marine Resources
MEP	Marine Environmental Protection
MLB	Motor Lifeboat
MOTR	Maritime Operational Threat Response
MSD	Marine Safety Detachment
MSRT	Maritime Security Response Team
MSST	Maritime Safety and Security Team
MTS	Marine Transportation System
MSU	Marine Safety Unit

<u>Acronym</u>	<u>Description</u>
NAIS	National Automatic Identification System
NCP	National Oil and Hazardous Substances Pollution Contingency Plan
NDCS	National Drug Control Strategy
NICCP	National Interdiction Command and Control Plan
NM	Nautical Mile
NMFS	National Marine Fisheries Service
NOC	Naval Operations Concept
NRS	National Response System
NSC	National Security Cutter
NSF	National Strike Force
NSMS	National Strategy for Maritime Security
OCS	Outer Continental Shelf
OLE	Other Law Enforcement
ONDCP	Office of National Drug Control Policy
OPC	Offshore Patrol Cutter
PSU	Port Security Unit
PWCS	Ports, Waterways, and Coastal Security
QHSR	Quadrennial Homeland Security Review
RB-M	Response Boat, Medium
RB-S	Response Boat, Small
RWAI	Rotary-Wing Air Intercept
SAR	Search and Rescue
SCC	Sector Command Center
SNMR	Short Notice Maritime Response
SOLAS	International Convention for Safety of Life at Sea of 1974
SPSS	Self-propelled Semisubmersible
SRR	Search and Rescue Region

<u>Acronym</u>	<u>Description</u>
TACLET	Tactical Law Enforcement Team
TTP	Tactics, Techniques and Procedures
U.S.	United States
USC	United States Code
UTB	Utility Boat
VTS	Vessel Traffic Services
WAGB	Coast Guard Large Icebreaker
WBIED	Waterborne Improvised Explosive Device
WHEC	Coast Guard High Endurance Cutter
WMEC	Coast Guard Medium Endurance Cutter
WTGB	Coast Guard Icebreaking Tug
WWM	Waterways Management
WYTL	Coast Guard Harbor Tug, Small

A.2 Terms

Term	Definition
Area of Responsibility	<p>Refers to a geographic area in which a Coast Guard commander is responsible for carrying out missions.</p> <p>The geographical area associated with a combatant command within which a combatant commander has authority to plan and conduct operations.</p>
Coastal	<p>The coastal operational area includes waters extending from the U.S. baseline seaward to a distance of 50 miles offshore, including the territorial sea, contiguous zone, and that part of the U.S. EEZ extending seaward to 50 miles from the baseline. This area includes the waters seaward of the baseline on the U.S. side of the international boundary on the Great Lakes.</p>
Concept of Operations	<p>A concept that deals in principles and basic themes rather than in specifics. It addresses general cases rather than particular situations. It requires further amplification before it can be used by planners or commanders for specific situations and requires extensive interpretation in practice.</p>
Doctrine	<p>Fundamental principles by which military forces or elements thereof guide their actions in support of national objectives. Doctrine is authoritative but requires judgment in application, and provides decision makers and personnel a standard frame of reference.</p> <p>There are four types of Coast Guard doctrine:</p> <ol style="list-style-type: none"> 1) Principles and Culture: The overarching guidance communicating the intent, purpose, history, ethos, values, and reason for the existence of the Coast Guard, its missions, and its workforce. 2) Organizational: A series of publications promulgated to communicate unity of effort and guide professional judgment. Organizational doctrine is authoritative but requires judgment in application and influences how forces are organized and trained, as well as how systems and equipment are procured and maintained. 3) Operational: Guidance on developing and performing mission execution processes and meeting operational standards. It provides operational guidance for subordinate commanders to follow in carrying out routine Coast Guard missions. It is intended to assist subordinate commanders in making resource apportionment decisions. 4) Mission Support: Guidance on developing and performing mission support activities; delivering required capability; and, meeting support standards informed by readiness, operational, and resource priorities. Mission Support doctrine guides the delivery of full life cycle support to Coast Guard forces to enable and sustain mission execution.

Term	Definition
Inland	The inland operational area includes all waters shoreward of the U.S. baseline that are subject to the jurisdiction of the U.S., including the Western Rivers System. This area does not include those waters on the U.S. side of the international boundary on the Great Lakes that are seaward of (extending out from) the baseline.
Littoral	The littoral is composed of two segments. The seaward portion is that area from the open ocean to the shore that must be controlled to support operations ashore. The landward portion is the area inland from the shore that can be supported and defended directly from the sea.
Logistics	Encompasses all the activities associated with design and development, acquisition, storage, movement, distribution, maintenance, evacuation, and disposition of materiel; movement, evacuation, and hospitalization of personnel; acquisition or construction, maintenance, operation, and disposition of facilities; and acquisition or furnishing of services. The overall objective of logistics is to provide the right capability in the right place, at the right time, at the right cost.
Maritime Domain	All areas and things of, on, under, relating to, adjacent to, or bordering on a sea, ocean, or other navigable waterway, including all maritime-related activities, infrastructure, people, cargo, and vessels and other conveyances.
Offshore	The offshore operational area extends seaward from 50 nautical miles (nm) seaward of the U.S. baseline to the far reaches of the sea, including foreign waters, when authorized. It also includes international operations, including land-based forces deployed to foreign territory, when authorized. This area also includes the polar regions, defined as north of 60° N latitude (Arctic) and areas south of 60° S latitude (Antarctic), but does not include the U.S. coastal operational areas along Alaska.
Operating Concept	Means by which guiding principles are applied to mission activities and mission functions to achieve operations coordination. Ultimately, these concepts are intended to guide development of concepts of operations, plans, training, exercises, and other contributors to effective operations coordination. Source: DHS OPS. <i>Homeland Security Operations Coordination Doctrine</i> (Oct 2009)
Operating Environment	<ol style="list-style-type: none"> 1) The air, land, sea, space, and associated adversary, friendly, and neutral systems (e.g., political, military, economic, social, informational, infrastructure, legal) that are relevant to a specific joint operation. 2) A composite of the conditions, circumstance, and influences that affect the operation of forces and bear on the decisions of the commander.
Operational Areas	The divisions of the maritime environment into three geographic zones in which Coast Guard and other maritime forces operate: Offshore, Coastal, and Inland.

Term	Definition
Operational Outcome	Includes performance goals and immediate goals corresponding to the 11 Coast Guard mission-programs mandated by the Department of Homeland Security.
Policy	Policy is restrictive or prescriptive direction issued by a person in authority who is accountable for accomplishing a planned outcome.
Risk	The likelihood of injury, harm, damage, or loss multiplied by its potential magnitude. Risk is a function of Threat, Vulnerability and Consequence.
Strategy	A prudent idea or set of ideas for the operation of a national instrument of power in a synchronized and integrated fashion to achieve objectives.

APPENDIX B. 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

		<ul style="list-style-type: none"> • 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
<p>Title 16: Conservation</p>	<ul style="list-style-type: none"> • 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) 	<ul style="list-style-type: none"> • Provides authorities to regulate and/or enforce various laws related to marine life, including: <ul style="list-style-type: none"> • protection of endangered species • prevention of aquatic nuisance species in U.S. waters • Provides authorities to enforce various laws related to marine life, including: <ul style="list-style-type: none"> • illegal taking of marine mammals • illegal taking of fish • illegal encroachment into the Nation's Exclusive Economic Zone
<p>Title 19: Customs Duties</p>	<ul style="list-style-type: none"> • Officer of Customs (Sec 1401) 	<ul style="list-style-type: none"> • Provides authority for Coast Guard petty officers, warrant officers, and commissioned officers to act as customs officers
<p>Title 33: Navigation and Navigable Waters</p>	<ul style="list-style-type: none"> • 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) 	<ul style="list-style-type: none"> • 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

<p>Title 42: The Public Health and Welfare</p>	<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
<p>Title 43: Public Lands</p>	<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
<p>Title 46: Shipping</p>	<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
<p>Title 47: Telegraphs, Telephones and Radiotelegraphs</p>	<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
<p>Title 50: War and National Defense</p>	<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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