



APPENDIX D – Performance Measures and Targets

Performance Measures, Metrics and Targets are developed at the national level to evaluate the effectiveness of the program in meeting outcome and efficiency performance measures. They are to be applied not only at the national level, but also at the regional level to identify area-specific shortfalls that may not be evident at the national level.

Measurement Definitions:

Type of measure:¹

- **Input:** Resources being applied to a mission (i.e. funding, boat, cutter and aircraft resource hours, full time equivalents, etc)
- **Output:** Results of applying inputs, what is being provided with these resources (i.e. numbers of boardings, significant violations, etc)
- **Outcome:** Results of applying inputs, or the extent to which program goals are accomplished.
- **Efficiency:** Provide information about the cost of providing a certain level of service.

Tier:

- **Tier I:** Measures reported outside the USCG via the annual performance reporting system.
- **Tier II:** Measures to evaluate Tier I results and better link Tier I results to CG performance.
- **Tier III:** Measures designed for monitoring internal program performance and are not normally reported outside of the CG.

Metrics:

- **Domestic Fisheries Boardings:** Number of boardings entered in the Marine Information for Safety and Law Enforcement database where mission is defined as ELT-Fisheries Domestic.
- **EEZ Incursion Detection:** Detection of foreign fishing vessel illegally fishing inside the US EEZ. Standard rules of evidence (e.g. positioning accuracy) do not need to be met. Reports of foreign fishing vessels illegally fishing inside the US EEZ should be counted as detections when these reports are judged by OPGON as being of sufficient validity to order available resources to respond.
- **EEZ Incursion Interception:** An intercept is the arrival of a Coast Guard surface or air asset in position to document an illegal EEZ incursion by a foreign fishing vessel. Standard rules of evidence do not need to be met in order to classify an event as an incursion intercept.
- **EEZ Incursion Interdiction:** Completed interdiction process resulting in a successful endgame. This can include seizure and prosecution in U.S. court, seizure and prosecution by foreign government, or sufficient US documentation of the violation and subsequent action by flag state.
- **High Threat Area (HTA):** Area, defined by both time and locations, where illegal activity is likely to occur. For LMR enforcement, illegal activity is (1) activity meeting the "significant violation" definition, (2) foreign fishing vessel encroachment into the U.S. EEZ (both significant and non-significant), or (3) violation of international agreements.
- **Intelligence-Cued Violation:** Violation involving specific information that distinguished the target of interest from another target with a similar profile and position. Information could be specific in terms of type of violation, area, vessel, and persons, but does not have to be specific on all terms to be considered an intelligence-cued violation. For example, intelligence-cued violations could include a cued boarding of a profile fishing vessel fishing on Nantucket Rips during the right phase of the tide and moon that resulted in a net liner violation, or it could include a violation of a suspect vessel known for keeping short fish that was boarded inbound to port and short fish were found in the catch.

¹ GAO-03-155, GAO Report "Strategy Needed for Setting and Monitoring Levels of Effort for All Missions, Nov 2002, Page 29, and the Governmental Accounting Standards Board (GASB)



- Major Fishery: The primary target fishery of a fishing vessel. This should normally be a Fishery Management Plan promulgated by NOAA and the Regional Fishery Management Council, ex. Northeast Multispecies; WA, OR, CA Groundfish.
- Significant EEZ Incursion: Incursions by a foreign fishing vessel into the U.S. EEZ that result in one or more of the following conditions:
 - Significant damage/impact to U.S. fish stocks (based on volume extracted or status of stock targeted).
 - Significant financial impact due to volume and value of target fish stocks.
 - Significant sovereignty concerns due to uncertainty or disagreement with foreign neighbors over EEZ border.
- Significant Violation: Domestic or International living marine resource violations which result in one or more of the following conditions:
 - Significant damage/impact to the resource/fisheries management plan.
 - Significant monetary advantage to the violator over his/her competitor.
 - High regional or national interest.
- Status of Fish Stocks: Number or percent of fish stocks classified by NOAA Fisheries as overfished in the most recent NOAA-Fisheries annual Status of Stocks Report.
- Suspected EEZ Incursion: A specific event that although not confirmed by CG asset, due to area of event and vessel profile, vessel was believed illegally fishing within the US EEZ.

Goal 1: Prevent illegal encroachment of the U.S. Exclusive Economic Zone by foreign fishing vessels.

METRIC	TYPE	TIER	DATA SOURCE
<i>Detected significant EEZ incursions by HTA</i>	OUTCOME	I	Monthly LMR summary message
<i>Intelligence assessment of EEZ incursions by HTA</i>	OUTPUT	I	Monthly intelligence assessment
<i>Intercept Rate</i>	EFFICIENCY	I	Monthly LMR summary message
<i>Interdiction Rate</i>	EFFICIENCY	I	Monthly LMR summary message
<i>Total foreign fisheries enforcement resource hours (cutter and aircraft)</i>	INPUT	II	AOPS
<i>EEZ incursions intercepted by HTA</i>	OUTPUT	II	Monthly LMR summary message
<i>EEZ incursions interdicted by HTA</i>	OUTPUT	II	Monthly LMR summary message
<i>Interceptions/OPHOUR by HTA</i>	EFFICIENCY	III	Monthly LMR summary/AOPS
<i>Significant EEZ incursions/OPHOUR by HTA</i>	EFFICIENCY	III	Monthly LMR summary/AOPS

Performance Targets:

Reduce detected incursions into the U.S. EEZ to 185 or less by 2014. Strategies to achieve the long term and interim targets can be found in the program objectives section of Ocean Guardian and are dependent upon resources identified in the strategic budget (appendix E).

	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Targets	202	202	202	202	195	195	190	190	185	185	185

Analysis:

Illegal incursions by foreign fishing vessels into the U.S. EEZ are impacted by a variety of factors including deterrence through enforcement presence and enforcement, economic incentives, and environmental conditions. There are three primary High Threat Areas (HTAs) for incursions into the U.S. EEZ: the US-RS Maritime Boundary Line (MBL) in the Central Bering Sea, the eight non-contiguous EEZs in the Central and Western Pacific, and the US-MX boundary line in the Gulf of Mexico. The threats and impacts of an incursion in each of these three areas are very different.

Analysis of historical data for the performance measure of EEZ incursions reveals shortcomings in the measure’s ability to identify capability shortfalls. To improve the measure, a suite of Tier I indicators was



developed to better measure surveillance, response and interdiction capability gaps. A comparison of detected EEZ incursions to the intelligence assessment of EEZ incursions will quantify gaps in EEZ surveillance capabilities and maritime domain awareness. Intercept rate and interdict rate will quantify gaps in response capabilities and ability to assert U.S. sovereignty by compelling compliance of foreign fishing vessels illegally fishing in the U.S. EEZ.

Goal 2: Effectively enforce federal regulations that provide stewardship of living marine resources and their environments.

METRIC	TYPE	TIER	DATA SOURCE
<i>Observed domestic fisheries compliance rate (1- Significant violations/domestic fishing vsl boardings)</i>	OUTCOME	I	MISLE
<i>Total domestic fisheries enforcement resource hours (shore-based boats, cutter and aircraft hours)</i>	INPUT	II	AOPS
<i>Number of active commercial fishing vessels by major fishery</i>	INPUT	II	NOAA Fisheries Annual Report
<i>Number of domestic fishing vessel boardings by major fishery</i>	OUTPUT	II	MISLE
<i>Boarding rate - Boardings/Active Commercial F/V's by major fishery</i>	OUTPUT	II	MISLE / NOAA
<i>Number of significant violations by major fishery</i>	OUTPUT	II	MISLE
<i>Return on Investment - # of significant violations / Domestic Resource Hours</i>	EFFICIENCY	II	MISLE / AOPS
<i>Status of Fish Stocks</i>	OUTCOME	II	NOAA Fisheries Annual Report
<i>Training Performance - # of CG members trained at RFTCs</i>	INPUT	III	TQC
<i>Training Return on Investment - Cost per CG member trained at the RFTCs</i>	EFFICIENCY	III	TQC
<i>Marine Affairs Program Progress - # of Marine Affairs graduates on active duty.</i>	INPUT	III	OPL4
<i>Marine Affairs Program Productivity - % of Marine Affairs graduates in MAF coded billets.</i>	EFFICIENCY	III	OPL4

Performance Targets:

Maintain a 97% or better observed compliance rate in U.S. domestic fisheries. Strategies to achieve the long term and interim targets with improved efficiency can be found in the program objectives section of Ocean Guardian and are dependent upon resources identified in the strategic budget (appendix E).

	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014
Targets	97%	97%	97%	97%	97%	97%	97%	97%	97%	97%	97%

Analysis:

Historically, domestic observed compliance rates have been within the 95-98% range and movement within this range is expected and mostly beyond CG control as economic and social factors other than enforcement presence motivates individuals to violate the law. As a result, a floor has been established at 97% observed compliance to evaluate if CG levels of enforcement are sufficient to ensure wide-scale compliance with the regulations.

Historical data illustrates Coast Guard enforcement presence does in fact affect observed compliance rates and also that there is a delay between enforcement presence/absence and fisheries compliance rates. Although observed compliance rate will not perfectly indicate the actual industry-wide compliance rate, it should serve as a reasonable indicator of the actual compliance rate when enforcement resource effort is sufficient to make performance tracking possible.

Goal 3: Ensure compliance with international agreements for the management of living marine resources.

METRIC	TYPE	TIER	DATA SOURCE
<i>ELT-Fisheries Foreign Hours by International Agreement</i>	INPUT	II	AOPS/LMR Summary Msg
<i>Boardings by International Agreement</i>	OUTPUT	II	MISLE



Analysis:

This mission is essentially a response mission. With the exception of High Seas Driftnet where aircraft patrols are scheduled through the NPAFC, most patrolling and enforcement response is either intelligence-based or is opportunistic enforcement while patrolling on other missions. Although this could change over the next decade, a significant CG-wide shift is not expected. As a result, performance measurement for this mission is on an as-needed basis when resource commitment is significant enough to track performance.