

The U.S. Coast Guard

---

# Maritime Strategy for Homeland Security

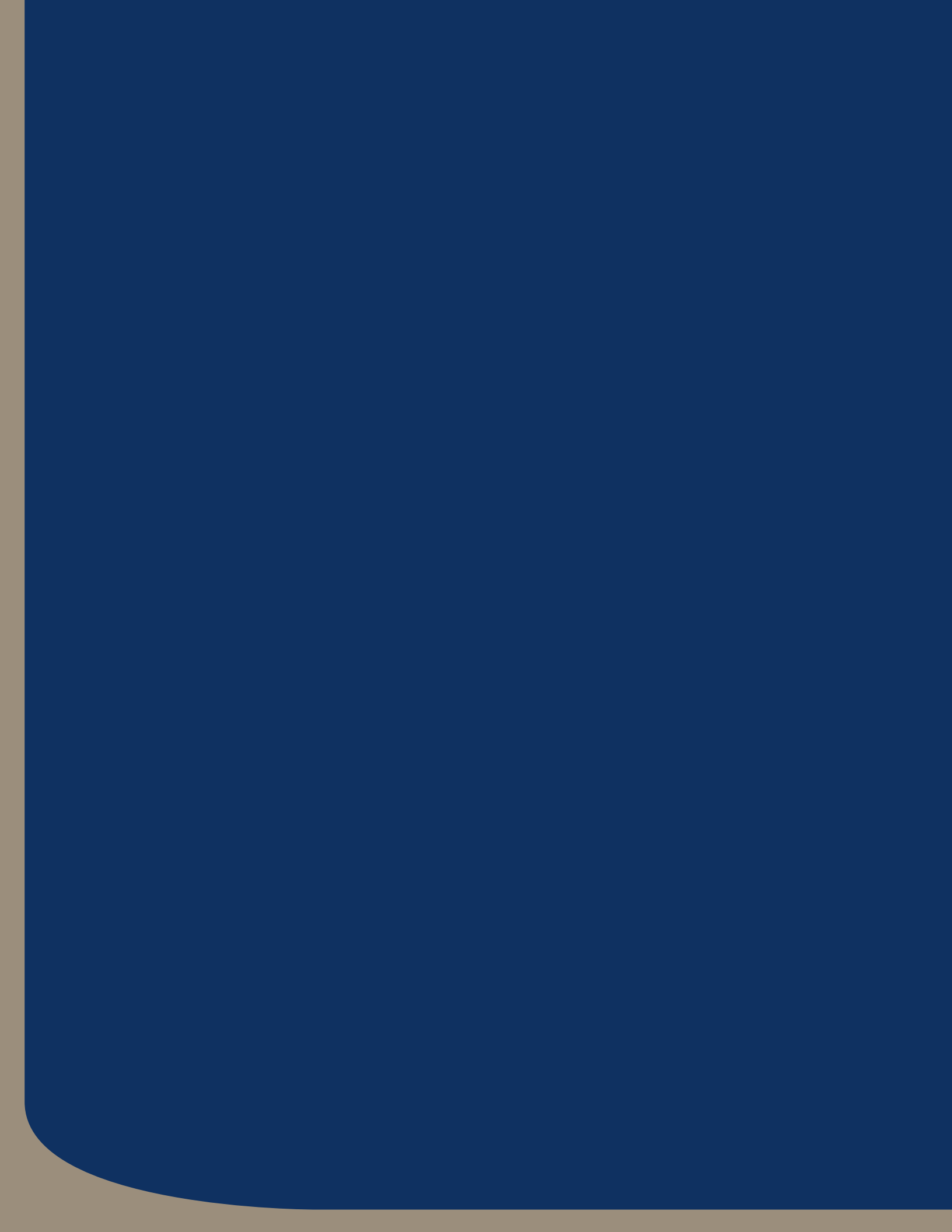


**U.S. Coast Guard Headquarters**

Washington, D.C.

---

December 2002



THE COMMANDANT OF THE UNITED STATES COAST GUARD  
Washington, D.C. 20593-0001



December 23, 2002

Commandant's Letter of Promulgation

The United States is engaged in a multi-front war against global terrorism both at home and abroad. For the foreseeable future, our homeland is vulnerable to attack by terrorists who seek to take advantage of weaknesses in our defenses and our preparedness, including exploitation of the access offered by the oceans and maritime transportation systems.

To protect America from the terrorist threat, the President prepared the *National Strategy for Homeland Security*, a bold blueprint for action that will protect America and reduce our vulnerabilities. Further, the President proposed and subsequently signed into law, legislation to create the Department of Homeland Security that will for the first time create a single federal Department whose primary purpose is to protect our homeland against terrorist threats. As this new Department now prepares to assume its central role in implementing the *National Strategy for Homeland Security*, the U.S. Coast Guard is likewise prepared to meet its responsibilities to prevent terrorist attacks, reduce America's vulnerability, and respond to and minimize the damage from attacks in the U.S. Maritime Domain. This *U.S. Coast Guard Maritime Strategy for Homeland Security* supports both the President's *National Security Strategy of the United States of America* and the *National Strategy for Homeland Security*, and follows their direction for securing the U.S. homeland in the global war on terrorism. This strategy also recognizes new responsibilities given to the Coast Guard in the Maritime Transportation Security Act of 2002.

The *Maritime Strategy* balances the Coast Guard's responsibility for upholding America's maritime security against the terrorist threat with the imperatives of preserving our fundamental liberties and economic well-being. And, it defines the Coast Guard's homeland security roles, serving as the lead federal agency for Maritime Homeland Security when responses require civil authorities, as a supporting agency to another designated lead federal agency for specific events, or as a supporting or supported commander for military operations.

The strategic approach places a premium on identifying and intercepting threats well before they reach U.S. shores by conducting layered, multi-agency, maritime security operations and by strengthening the port security posture of strategic economic and military ports. This *Maritime Strategy* also supports the Coast Guard's multi-mission responsibilities regarding the array of other dangerous threats in the U.S. Maritime Domain – drug smuggling, illegal migration, international organized crime, resource exploitation, infectious diseases, and environmental degradation.

The President has stated in the *National Strategy for Homeland Security* that, "Securing the American Homeland is a challenge of monumental scale and complexity. But the U.S. government has no more important mission." While all the missions of the Coast Guard remain vital, Homeland Security is at the forefront. With your steadfast dedication and commitment to this Maritime Strategy, we will prevail in this war against terrorism.

A handwritten signature in blue ink that reads "Thomas H. Collins".

THOMAS H. COLLINS  
Admiral, U.S. Coast Guard



# Table of Contents

Commandant's Letter of Promulgation . . . . .	<b>i</b>
Table of Contents . . . . .	<b>ii</b>
Executive Summary . . . . .	<b>1</b>
Introduction . . . . .	<b>4</b>
The Strategic Environment for Homeland Security . . . . .	<b>6</b>
The U.S. National Policy for Homeland Security . . . . .	<b>6</b>
The U.S. Department of Homeland Security . . . . .	<b>7</b>
The U.S. Coast Guard's Roles in Homeland Security . . . . .	<b>9</b>
Guiding Principles for Strategy Development . . . . .	<b>11</b>
The U.S. Coast Guard Maritime Strategy for Homeland Security . . . . .	<b>16</b>
Strategic Objectives . . . . .	<b>16</b>
Top-Level Mission Statement . . . . .	<b>21</b>
Maritime Strategy Elements . . . . .	<b>21</b>
Near-Term Program Initiatives for the Strategy Elements . . . . .	<b>25</b>
Overview of Strategy Execution . . . . .	<b>27</b>
Key Components of the Maritime Strategy . . . . .	<b>30</b>
Glossary . . . . .	<b>31</b>
Abbreviations . . . . .	<b>35</b>



# Executive Summary

## The U.S. Coast Guard Maritime Strategy for Homeland Security

*Defending our Nation against its enemies is the first and fundamental commitment of the Federal Government. Today, that task has changed dramatically. Enemies in the past needed great armies and great industrial capabilities to endanger America. Now, shadowy networks of individuals can bring great chaos and suffering to our shores for less than it costs to purchase a single tank. Terrorists are organized to penetrate open societies and turn the power of modern technologies against us. To defeat this threat we must make use of every tool in our arsenal – military power, better homeland defenses, law enforcement, intelligence, and vigorous efforts to cut off terrorist financing."*

*The National Security Strategy of the United States of America  
September 17, 2002*

*The U.S. Coast Guard Maritime Homeland Security Strategy* links the objectives of the *National Security Strategy* and the *National Strategy for Homeland Security* to the U.S. Maritime Domain and serves as a capstone document for Coast Guard homeland security operations. The strategy articulated in this document describes how Coast Guard forces will achieve the national objectives for homeland security.

*The United States National Security Strategy* has shifted focus from traditional concepts of deterrence which dominated defense policies during the Cold War to a forward-reaching, pre-emptive strategy against hostile states and terrorist groups. The purpose of the *National Strategy for Homeland Security* is to mobilize and organize our Nation to secure the U.S. homeland from terrorist attacks. It provides direction and a framework for action to the federal government departments and agencies that have a role in homeland security. This *Maritime Strategy* follows the direction of both higher level strategies while acknowledging the uniqueness of the U.S.

Maritime Domain, including the complexity associated with shared use of the oceans and waterways, long-standing international respect for freedom of navigation, and the transitional seams among America's air, land, sea, and subsurface borders.

The U.S. Coast Guard, by virtue of its military, maritime, and multi-mission character, broad statutory authorities, membership in the Intelligence Community, command and control structure, and extensive experience in conducting or coordinating complex operations, has significant and complex roles in government as validated by the 1999 Interagency Task Force on the U.S. Coast Guard Roles and Missions. For homeland security the Coast Guard serves as: (1) the lead federal agency for Maritime Homeland Security when responses require civil authorities; (2) the Federal Maritime Security Coordinator in U.S. ports as designated by the Maritime Transportation Security Act of 2002; (3) a supporting agency to the Federal Emergency Management Agency for declared disasters or emer-

agencies under the Federal Response Plan; (4) a supporting agency to the lead federal agency for specific events under the provisions of the current *U.S. Government Interagency Domestic Terrorism Concept of Operations Plan* and its projected replacement by the *Federal Incident Management Plan*; and (5) as a supporting or supported commander for military operations conducted under Title 10. Planning in support of this *Maritime Strategy* will focus on providing clarity to these distinct roles and developing appropriate doctrine, training, tactics, and procedures to allow effective command and control and the timely shift of operational forces to counter threats or respond to events.

Maritime Homeland Security is one of the highest priority missions of the U.S. Coast Guard. Deriving both from this imperative and from other national-level policy documents, seven Guiding Principles serve as the base upon which the *Maritime Strategy for Homeland Security* is built: (1) the Coast Guard is the lead federal agency (LFA) for Maritime Homeland Security; (2) the Department of Defense acts primarily as a supporting agency to the Coast Guard for Maritime Homeland Security; (3) the Department of Defense acts as the LFA for Maritime Homeland Defense, employing traditional military missions, with the Coast Guard acting as a supported or supporting commander; (4) securing the homeland requires the sharing of responsibilities among agencies; (5) securing the homeland also requires unprecedented information sharing by all agencies; (6) maritime security operations will be focused to meet essential threat-based requirements and conducted within the rule of law; and (7) forces for implementing this *Strategy* will be derived by leveraging the Coast Guard's multi-mission assets, by acquiring new resources, and through partnering with both public and private stakeholders.

The fight against terrorism is a relentless struggle that will prove neither easy nor quick to conclude. The challenge is made more difficult because terrorism can be classified as either a criminal act or an act of war. However, since the Coast Guard is simultaneously and at all times both an armed force of the United States (14 U.S.C. 1), and a law enforcement agency (14 U.S.C. 89), its capabilities are extremely relevant, valuable, and needed for Maritime Homeland Security (MHLS) whether the threat is termed a military or terrorist attack. The Coast Guard's strategic objectives for homeland security, as derived from the *National Strategy for Homeland Security*—and in order of priority—are to:

- **Prevent terrorist attacks within, and terrorist exploitation of, the U.S. Maritime Domain**
- **Reduce America's vulnerability to terrorism within the U.S. Maritime Domain.**
- **Protect U.S. population centers, critical infrastructure, maritime borders, ports, coastal approaches, and the boundaries and seams between them**
- **Protect the U.S. Marine Transportation System while preserving the freedom of the U.S. Maritime Domain for legitimate pursuits**
- **Minimize the damage and recover from attacks that may occur within the U.S. Maritime Domain as either the lead federal agency or a supporting agency.**

The Coast Guard's homeland security mission is to protect the U.S. Maritime Domain and the U.S. Marine Transportation System and deny their use and exploitation by terrorists as a means for attacks on U.S. territory, population, and critical infrastructure. Additionally, the U.S. Coast Guard (USCG) will prepare for and, in the event of attack, conduct emergency response operations. And, when directed, as the supported or supporting commander, the Coast Guard will conduct military homeland defense operations in its traditional role as a military service.

To achieve its strategic objectives the Coast Guard's *Maritime Strategy* comprises six elements:

- **Increase Maritime Domain Awareness**
- **Conduct Enhanced Maritime Security Operations**
- **Close Port Security Gaps**
- **Build Critical Security Capabilities and Competencies**
- **Leverage Partnerships to Mitigate Security Risks**
- **Ensure Readiness for Homeland Defense Operations**

Homeland security is critical to maintaining our way of life. The USCG *Maritime Strategy* will increase U.S. homeland security with minimum impact on our fundamental liberties or the economic imperative for the efficient and reliable movement of ships, cargoes, and people through our seaports. Based on the information, knowledge, and actionable intelligence that constitute Maritime Domain Awareness (MDA), Coast Guard forces supported by other military and interagency forces where appropriate will conduct maritime security operations in the U.S. Maritime Domain in the ports and waterways against internal threats and on the high seas against external threats. The Coast Guard by leveraging its unique status and capabilities of its forces—as well as working in partnership with other maritime stakeholders—will prevent terrorists from launching attacks against the Nation within the U.S. Maritime Domain. However, the maritime terrorist threat presents a daunting challenge, and adequate measures against it can never be completely guaranteed. With a vast nation to defend, the Coast Guard can neither predict nor prevent every conceivable attack. And in a free and open society, no department of government can completely guarantee our safety against ruthless killers, who move and plot in shadows. Yet America's Coast Guard will take every possible measure to safeguard our country and people.



## Introduction

This *Maritime Strategy for Homeland Security* links the objectives of the *National Security Strategy* and the *National Strategy for Homeland Security* to the U.S. Maritime Domain and serves as the capstone document for Coast Guard homeland security (HLS) operations. The strategy articulated in this document describes how Coast Guard forces will achieve the national objectives for homeland security.

The United States is engaged in a multi-front war against global terrorism both at home and abroad. Meeting the complex challenges of the global war on terrorism requires a direct response. It means employing all of the instruments of national power—diplomatic, economic, military, law enforcement, and intelligence—and overt as well as covert activities. It means also a two-pronged approach to defending our country. The first of these, of course, is to combat terrorism abroad by marshalling all of the Nation's capabilities to attack and destroy terrorist organizations with global reach and to pressure those who harbor them. Second, is the implementation of critical measures to strengthen homeland security by coordinating the efforts of federal, state, and local agencies.

The fight against terrorism is a relentless struggle in which victory will prove neither easy nor quick to achieve. The challenge is made more difficult because terrorism can be classified as either a criminal act or an act of war. In the absence of a clear link to state sponsorship, terrorism is viewed as a criminal act requiring U.S. domestic civil law-enforcement. Where a link to a hostile state or other external armed and organized group can be established, terrorism can be viewed as an act of war, calling for traditional defense operations with U.S. military forces. Appropriate classification of a threat or actual event as a terrorist act or act of war may prove difficult. Since the Coast Guard is simultaneously and at all times both an armed force of the United States (14 U.S.C. 1), and a law-enforcement agency (14 U.S.C. 89), its capabilities are extremely relevant, valuable, and needed for Maritime Homeland Security whether the threat is termed a military or terrorist attack.

Current national policy addresses both incident- or event-driven operations and preemption. A sound strategy for the application of resources against the terrorist threat in a routine operating environment is also required. That strategy must necessarily focus on detection, prevention, protection, and deterrence as well as on response or consequence management.



The *Maritime Strategy* addresses the Coast Guard's responsibility as the lead federal agency for the Maritime Homeland Security mission to prevent terrorist attacks, reduce America's vulnerability, and minimize the damage from attacks that do occur in the U.S. Maritime Domain. America also faces an extensive array of other dangerous threats—drug smuggling, illegal migration, international organized crime, resource exploitation, infectious diseases, and environmental degradation. Like terrorism, these threats recognize no borders and could originate from organized groups and individuals operating within or outside the United States as well as from the activities of nation-states. At the same time, this *Maritime Strategy* balances the Coast Guard's responsibility with the imperatives of preserving our fundamental liberties and economic well-being. The Coast Guard recognizes that: (1) the United States must always remain a free, open, and democratic society; and (2) the economic and strategic importance of major American ports and waterways precludes delays in the supply chain, and frequent or long closures except for the most extraordinary circumstances. The Coast Guard's approach places a premium on intercepting threats before they reach U.S. shores by conducting layered, multi-agency, maritime security operations and by strengthening the port-security posture of strategic economic and military ports.

For the foreseeable future, anti-American terrorists have the means and the opportunity to target U.S. citizens and property on a global scale, with significant potential for using the access offered by the oceans and the U.S. Marine Transportation System (MTS) as a vehicle. Terrorists have demonstrated the technical capability and the intent to conduct lethal and catastrophic attacks on Americans, as well as on U.S. allies and friends, using weapons of mass destruction and mass disruption. Their strategy has been to focus their efforts on creating mass casualties and destroying symbols of national power, while undermining the U.S. economy and our national will through second and third order effects. The worldwide economic and societal disarray caused by the September 11, 2001 attacks will inspire terrorists to attempt additional strikes. This persistent and ubiquitous terrorist threat has made homeland security a paramount national concern.



# The Strategic Environment for Homeland Security

*We will disrupt and destroy terrorist organizations by: defending the United States, the American people, and our interests at home by identifying and destroying the threat before it reaches our borders.*

*The National Security Strategy of the United States of America  
September 17, 2002*

## The U.S. National Policy for Homeland Security

The United States is engaged in a multi-front war against global terrorism.<sup>1</sup> This persistent and ubiquitous terrorist threat has made homeland security<sup>2</sup> a paramount national concern, as reflected in the *National Security Strategy of the United States of America* and the *National Strategy for Homeland Security*.<sup>3</sup>

The *National Security Strategy* has shifted focus from traditional concepts of deterrence<sup>4</sup>—which dominated defense policies during the Cold War—to a forward-reaching, pre-emptive strategy against hostile states and terrorist groups. This shift is driven by the fact that the greatest threat facing the United States today are terrorists and enemies of the United States who are determined to inflict harm and openly seeking to develop and use weapons of mass destruction.<sup>5</sup> The *National Security Strategy* spells out U.S. policy to identify and destroy any terrorist threat before it reaches the United States.<sup>6</sup> Furthermore, the *National Security Strategy* states: "While the United States will constantly strive to enlist the support of the international community, we will not hesitate to act alone, if necessary, to

exercise our right of self-defense by acting preemptively against such terrorists, to prevent them from doing harm against our people and our country."<sup>7</sup> For example, the use of armed force to intercept a shipment of smuggled plutonium before it reaches a rogue state is completely justified if other countries are unwilling or unable to enforce treaty commitments to block the spread of nuclear materials.

The purpose of the *National Strategy for Homeland Security* is to mobilize and organize our Nation to secure the homeland from terrorist attacks. The *National Strategy for Homeland Security* provides direction and a framework for action to the federal government departments and agencies that have a role in homeland security. Additionally, it suggests steps that state and local governments, private companies and organizations, and individual Americans can take to improve our security.

Another key national-level policy document is the *U.S. Government Interagency Domestic Terrorism Concept of Operations Plan* of February 22, 2001.<sup>8</sup> This *Plan* outlines how the federal government will respond to a terrorist threat or incident in the United States, including one involving weapons of mass destruction (WMD). According to this *Plan*, the Department of Justice is designated as the over-

all lead federal agency (LFA)<sup>9</sup> for threats or acts of terrorism within U.S. territory or in international waters and that do not involve a flagged vessel of a foreign country. The Department of Justice assigns lead responsibility for operational response to the Federal Bureau of Investigation (FBI). Operational response consists primarily of law-enforcement measures to identify, acquire, and plan the use of resources needed to anticipate, preempt, prevent, and terminate threats or acts of terrorism, as well as to apprehend the perpetrators.

This *Plan* also designates the Federal Emergency Management Agency (FEMA) as the LFA for measures to protect public health and safety, restore essential government services, and provide emergency relief to governments, businesses, and individuals affected by the consequences of terrorism. State and local governments exercise primary authority to respond to the consequences of terrorism; the federal government provides assistance as required. FEMA supports the Department of Justice until the Attorney General transfers the overall LFA role to FEMA.

Counterterrorism is defined in this *Plan* as, "The full range of activities directed against terrorism, including preventive, deterrent, response and crisis management efforts."<sup>10</sup> Counterterrorism strategies include both offensive and defensive measures. Offensive counterterrorism employs political, diplomatic, information, military, and economic power in a coordinated, pro-active manner to prevent or neutralize terrorism. It includes such measures as coercive diplomacy, economic sanctions, and preemptive military strikes. "Defensive countermeasures strive to discourage terrorist acts and to mitigate damage and casualties if deterrence fails."<sup>11</sup> Passive measures to strengthen public safety, safeguard critical infrastructure, and prevent attacks, comprise the foundation for a defensive counterterrorism strategy. Impeccable intelligence is critical to both strategies.

Although this *Plan* remains in force today, the *National Strategy for Homeland Security* calls for the integration of separate federal response plans into a single all-discipline incident management plan. "Under the President's proposal, the Department of Homeland Security will consolidate existing federal government emergency response plans into one genuinely all-discipline, all-hazard plan—the *Federal Incident Management Plan*—and thereby eliminate the "crisis management" and "consequence management" distinction."<sup>12</sup> This forthcoming, overall plan will cover all incidents of national significance, including acts of bio-terrorism and agro-terrorism, and clarify roles and expected contributions of various emergency response bodies at different levels of government in the wake of a terrorist attack.

## The U.S. Department of Homeland Security

The Homeland Security Act of 2002 restructures and strengthens the executive branch of the Federal Government to better meet the threat to our homeland posed by terrorism with a unified, effective response. In establishing a new Department of Homeland Security (DHS), this Act for the first time creates a federal department whose primary mission will be to help prevent, protect against, and respond to acts of terrorism on our soil.

Among its responsibilities DHS will secure our Nation's transportation systems and borders that are composed of 5,525 miles of border with Canada and 1,989 miles with Mexico, as well as a maritime border that includes 95,000 miles of shoreline and a 3.4 million square mile of exclusive economic zone. Additionally, DHS is responsible for securing 350 official ports of entry. The tasks of managing our borders and securing our transportation systems are directly related, and at our international airports and seaports they are inseparable.

When DHS is fully operational, it will unify authority over all major federal security operations related to our borders, territorial waters, and transportation systems, and manage who and what enters our homeland, and work to prevent the entry of terrorists and the instruments of terrorism while simultaneously ensuring the speedy flow of legitimate traffic. It will be the single federal Department in charge of all ports of entry, including security and inspection operations, and would manage and coordinate port of entry activities of other federal departments and agencies.

To carry out its border security mission DHS will incorporate the duties and responsibilities of the following agencies—United States Coast Guard, the United States Customs Service, the Immigration and Naturalization Service, the United States Border Patrol, the Animal and Plant Health Inspection Service, and the Transportation Security Administration. This will allow a single government entity to manage entry into the United States. The Coast Guard will maintain its existing independent identity as a military organization under the leadership of the Commandant of the Coast Guard. Upon declaration of war or when the President so directs, the Coast Guard will still operate as an element of the Department of Defense, consistent with existing law.

DHS has additional responsibilities for emergency preparedness and response. It will oversee federal government assistance in the domestic disaster preparedness training of first responders and will coordinate the government's disaster response efforts. FEMA would become a central component of DHS. The new Department will also manage such critical response assets as the Nuclear Emergency Search Team and the National Pharmaceutical Stockpile. Finally, DHS will integrate the federal interagency emergency response plans into a single, comprehensive, government-wide plan, and ensure that all response personnel have the equipment and capability to communicate with each other as necessary.

DHS will also lead the federal government's efforts in preparing for and responding to the full range of terrorist threats involving weapons of mass destruction. To do this, DHS will set national policy and establish guidelines for state and local governments. It will direct exercises and drills for federal, state, and local chemical, biological, radiological, nuclear, and high-yield explosives (CBRNE) attack response teams and plans. DHS will analyze intelligence and other information pertaining to threats to the homeland from multiple sources. It will identify and assess current and future threats to the homeland, map those threats against our current vulnerabilities, issue timely warnings, and immediately take or effect appropriate preventive and protective action.

In a noteworthy manner the Coast Guard supports many of the responsibilities of the Department of Homeland Security. The Coast Guard's broad set of maritime missions and its multi-mission forces significantly contribute to securing our maritime borders, approaches, and ports by keeping out those who mean to do us harm and by closely monitoring who and what is coming into and out of our country. The Coast Guard is the primary federal emergency-response organization for the maritime arena, with extensive experience and expertise in minimizing the damage and recovering from attacks that may occur. The Coast Guard has the skill and knowledge to help integrate the federal interagency emergency response plans into a single, comprehensive, government-wide plan. Coast Guard forces can monitor for CBRNE effects, and its specialized Strike Teams can respond to the full range of terrorist threats involving WMD. As the new Department's only Intelligence Community member, the Coast Guard has a key role to play. Drawing upon its long relationships with state and local officials, other federal agencies, and the private sector, the Coast Guard works closely with all stakeholders to help develop integrated threat analyses with comprehensive vulnerability assessments to identify protective priorities and support protective steps.

## The U.S. Coast Guard's Roles in Homeland Security

The U.S. Coast Guard, by virtue of its military, maritime, and multi-mission character, broad statutory authorities, membership in the Intelligence Community, command and control structure, and extensive experience in conducting or coordinating complex operations, has significant and complex roles in government as validated by the 1999 Interagency Task Force on the U.S. Coast Guard Roles and Missions.<sup>13</sup> For homeland security the Coast Guard serves as: (1) the LFA for Maritime Homeland Security<sup>14</sup> when responses require civil authorities;<sup>15</sup> (2) the Federal Maritime Security Coordinator in U.S. ports as designated by the Maritime Transportation Security Act of 2002; (3) a supporting agency to FEMA for declared disasters or emergencies under the Federal Response Plan; (4) a supporting agency to the LFA for specific events under the provisions of the current *U.S. Government Interagency Domestic Terrorism Concept of Operations Plan* and its projected replacement by the *Federal Incident Management Plan*,<sup>16</sup> and (5) as a supporting or supported commander for military operations conducted under Title 10.

Terrorism can be classified as either a criminal act or an act of war. In the absence of a clear link to state sponsorship, terrorism is viewed as a criminal act requiring U.S. domestic civil law-enforcement. Where a link to a hostile state or other external armed and organized group can be established, terrorism can be viewed as an act of war, calling for

traditional defense operations with U.S. military forces. Appropriate classification of a threat or actual event as a terrorist act or act of war may prove difficult. Since the Coast Guard is simultaneously and at all times both an armed force of the United States (14 U.S.C. 1), and a law enforcement agency (14 U.S.C. 89), its capabilities are extremely relevant, valuable, and needed for Maritime Homeland Security whether the threat is termed a military or terrorist attack. Furthermore, current national policy addresses both incident- or event-driven operations and preemption. A sound strategy for the application of resources against the terrorist threat in a routine operating environment is also required.<sup>17</sup> That strategy must necessarily focus on detection, prevention, protection, and deterrence as well as on response or consequence management. Figure 1 (*see page 10*) depicts the Coast Guard's roles for both event-driven and prevention-based homeland security operations.

These differing homeland security roles require close coordination with many entities—the Office of Homeland Security (OHS), the DHS, other federal departments and agencies, U.S. combatant and functional commanders, especially U.S. Northern Command (NORTHCOM), and non-federal government agencies. The *USCG Maritime Strategy for Homeland Security*<sup>18</sup> provides clarity to these distinct roles and requires the development of appropriate doctrine, training, tactics, and procedures for effective mission execution, command and control, and the timely shift of operational forces to counter threats or respond to events.

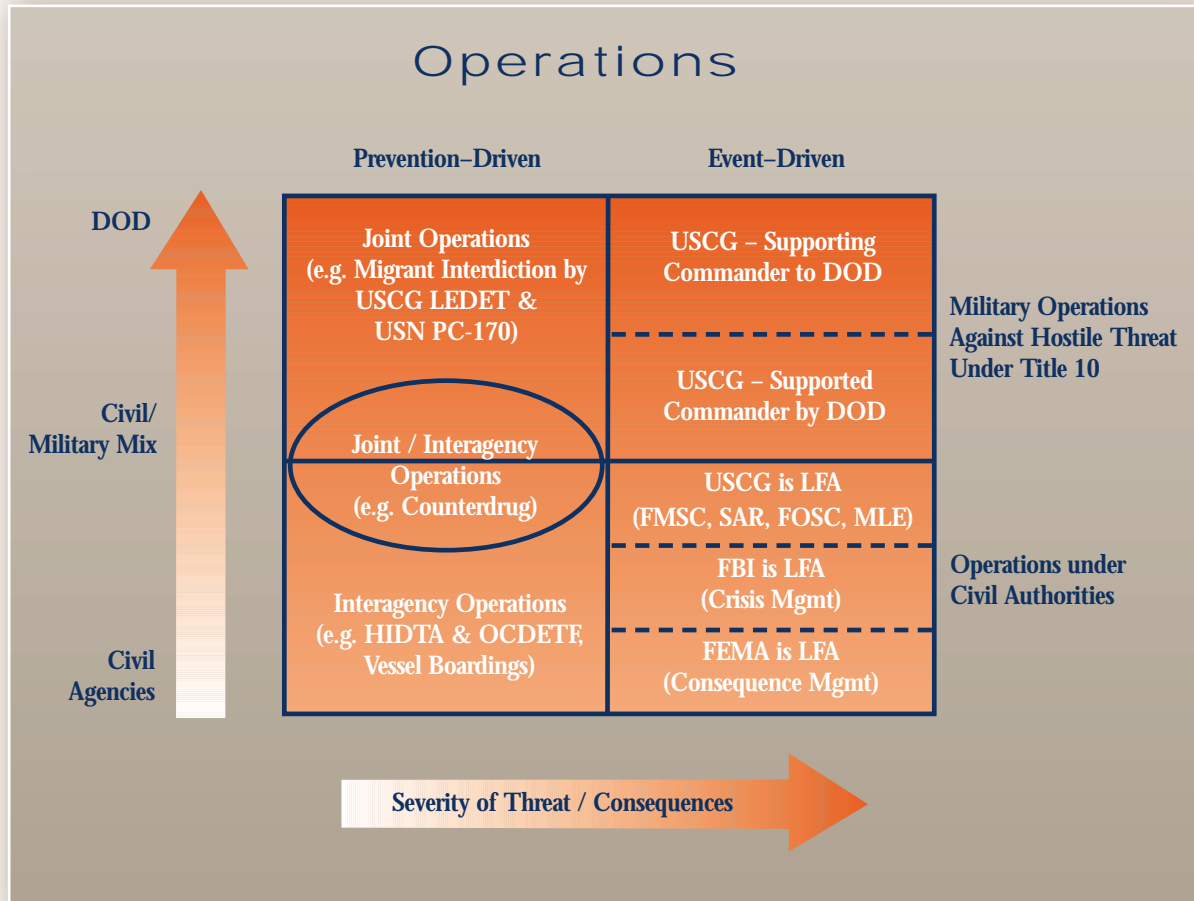


Figure 1. The U.S. Coast Guard's Roles in Homeland Security



## Guiding Principles for Strategy Development

*The attacks of September 11 and the catastrophic loss of life and property that resulted have redefined the mission of federal, state and local law enforcement authorities. ... Effectively reorienting law enforcement organizations to focus on counterterrorism objectives requires decisive action in a number of areas.*

*The National Strategy for Homeland Security  
July 16, 2002*

According to the *National Strategy for Homeland Security*: "Today's terrorists can strike at any place, at any time, and with virtually any weapon. Securing the American Homeland is a challenge of monumental scale and complexity. But the U.S. government has no more important mission."<sup>19</sup> We are in the beginning of what will be a long struggle to protect our Nation from terrorism. The President has stated that, "Unless we act to prevent it, a new wave of terrorism, potentially involving the world's most destructive weapons, looms in America's future. It is a challenge as formidable as any ever faced by our Nation."<sup>20</sup>

Maritime Homeland Security (MHLS) is one of the highest priority missions of the Coast Guard.<sup>21</sup> Deriving both from this imperative and from other national-level policy documents, seven Guiding Principles serve as the base upon which the *Maritime Strategy for Homeland Security* is built:

- The Coast Guard is the lead federal agency for Maritime Homeland Security.
- For Maritime Homeland Security, DOD primarily acts as a supporting agency to the Coast Guard.
- For Maritime Homeland Defense, employing traditional military missions, DOD is the lead federal agency with the Coast Guard acting as a supported or supporting commander.
- Securing the homeland requires the sharing of responsibilities among all agencies.
- Information will be shared in an unprecedented manner by all agencies.
- Maritime security operations will be focused to meet essential, threat-based requirements and conducted within the rule of law.
- Forces for implementing the *Maritime Strategy* will be derived by leveraging the Coast Guard's multi-mission assets, acquiring new resources and partnering with both public and private stakeholders.

These Guiding Principles for developing the *Maritime Strategy* are discussed in greater detail in the following paragraphs:

## 1. The Coast Guard is the lead federal agency for Maritime Homeland Security.

At all times the Coast Guard is a military service, a law-enforcement agency, a regulatory agency, and a member of the Intelligence Community. Because of this unique multifaceted status, the Coast Guard has LFA responsibility for the conduct and coordination of maritime security operations carried out under civil authorities for homeland security in the U.S. Maritime Domain.<sup>22</sup> Consistent with the principles of Coast Guard operations,<sup>23</sup> unity of effort will be ensured by a robust but flexible command and control (C2) system with agreed-upon protocols for assigning operational and tactical control at every level and defined relationships among the U.S. military (including the National Guard and Reserve), civil agencies, and local law-enforcement agencies. This LFA role will characterize most routine Coast Guard operations in the post September 11th national security environment. When higher level policy applies (e.g., *U.S. Government Interagency Domestic Terrorism Concept of Operations Plan or Presidential Decision Directive-39*), the Coast Guard will support the designated LFA as directed.

## 2. For Maritime Homeland Security, DOD primarily acts as a supporting agency to the Coast Guard.<sup>24</sup>

The Department of Defense (DOD) considers homeland security a national activity that is best accomplished by: (1) domestic agencies performing domestic security; (2) enhancing capabilities at the lowest levels of government; and (3) balancing DOD's ability to defend the nation while adapting to the domestic security environment. DOD principally the U.S. Navy under its Title 10 authorities

will generally support the Coast Guard in discharging its primary responsibility for MHLS within legal and policy constraints.<sup>25</sup>

There are three broad homeland security circumstances under which the DOD would conduct activity within the United States. In the first two circumstances, DOD provides specialized support. In the third circumstance, DOD assumes LFA status to conduct traditional military missions or combat operations in or over U.S. domestic territory. This third circumstance is considered as homeland defense (HLD)<sup>26</sup> versus homeland security (see element 3 below):

- The first of these are temporary circumstances, limited-scope missions, or assignments in which other agencies have the lead from the outset. An example of these are physical security operations at National Security Special Events (addressed in PDD-62) such as the 2002 Winter Olympics in Salt Lake City, during which DOD supported local authorities. Assisting in the training of first-responders or supporting law-enforcement agencies are other examples.
- Second, are emergency circumstances of a catastrophic nature requiring post-event management. For example, responding to the consequences of attack or assisting in response, DOD may be asked to act quickly to provide and supply capabilities (for example, logistics, supply and mobility) that other agencies simply do not have, much like DOD does now with respect to the aftermath of hurricanes, forest fires, floods, tornadoes, and the like.
- Third, are the extraordinary circumstances that require DOD-unique capabilities to execute traditional military missions or combat operations, such as combat air patrols, maritime defense operations, or explosive ordnance disposal, within our borders. In these circumstances, DOD would take the lead in defending people on the territory of our country.



### **3. For Maritime Homeland Defense, employing traditional military missions, DOD is the lead federal agency, with the Coast Guard acting as a supported or supporting commander.**

Under extraordinary circumstances that requires DOD to execute traditional military missions, such as combat air patrols or maritime defense operations (See element 3 above), the Coast Guard may serve as the supported commander<sup>27</sup> or supporting commander<sup>28</sup> in the conduct of traditional military (combat) operations to defend the homeland. As a U.S. Armed Force, the Coast Guard will execute tasks assigned by U.S. combatant or functional commanders in accordance with orders issued by the Secretary of Defense.

On October 1, 2002, the President established a combatant command for homeland defense, U.S. Northern Command (NORTHCOM). Northern Command will defend the people and territory of the United States against external threats, and coordinate the provision of U.S. military forces to support civil authority. In addition, Northern Command will also be responsible for certain aspects of security, cooperation and coordination with Canada and Mexico, and will help DOD coordinate its military support to federal, state and local governments in the event of natural or other disasters. Its geographic area of responsibility includes the United States (including Alaska, but not Hawaii), Canada, Mexico, and the land, sea, and aerospace approaches to the United States. Northern Command's formal missions are to:<sup>29</sup>

- Conduct operations to deter, prevent, and defeat threats and aggression aimed at the United States, its territories, and interests.
- Provide military assistance to civil authorities including consequence management operations, when directed by the President or Secretary of Defense.

It is important to note that the requirements for homeland security and homeland defense missions require seamless geographic and functional integration among the Coast Guard and the other military services and DOD commands.

### **4. Securing the homeland requires the sharing of responsibilities among all agencies.**

These responsibilities must be shared among other federal agencies, international partners, state and local governments, the private sector, non-governmental organizations, and the American people. The openness of American society and the structure of our traditional governance argue against centralizing all aspects of MHLS within even an expanded federal infrastructure. Thus, the Coast Guard's approach to MHLS is based on the principle of unity of effort<sup>30</sup> and includes shared responsibility, partnership, and mutual support. Moreover, an aware and committed populace and the cooperation of private industry alert, active, and involved are essential. As stated in the *National Strategy for Homeland Security*, "the challenge is to develop interconnected and complimentary systems that are reinforcing rather than duplicative and that ensure essential requirements are met."<sup>31</sup>

## 5. Information will be shared in an unprecedented manner by all agencies.

According to the *National Security Strategy*, "intelligence—and how we use it—is our first line of defense against terrorists and the threat posed by hostile states." The *National Security Strategy* calls for the transformation of the intelligence community—focused originally on gathering voluminous information about the Soviet bloc—to keep pace with the challenge of following a far more complex and elusive set of targets. "Intelligence must be appropriately integrated with our defense and law enforcement systems and coordinated with our allies and friends. We must strengthen intelligence warning and analysis to provide integrated threat assessments for national and homeland security. Since the threats inspired by foreign governments and groups may be conducted inside the United States, we must also ensure the proper fusion of information between intelligence and law enforcement."<sup>32</sup>

To achieve information transparency, all MHLS stakeholders and participants must have free and ready access to vulnerability assessments, timely indications and warnings, actionable intelligence, and operational data to the greatest extent permissible by law. Databases used for law-enforcement, immigration, intelligence, defense, and public health surveillance will be connected through an enterprise architecture, and interagency intelligence fusion centers will improve information sharing. Collection is also accomplished by physical and remote presence, direct and indirect observation, and reconnaissance and surveillance, especially by the Intelligence Community and the DOD military services. The collection of this information requires the leveraging of all sources available in the U.S. Maritime Domain, such as vessel sighting reports, output from automatic identification systems, verification and background records checks, reports from "specialized" port collection units, open-source records, data from other agencies, and Intelligence

Community products. This information becomes the basis for building MDA, which in turn, provides the foundation for optimizing the allocation of effort.

As an important part of maintaining MDA, the Coast Guard will continue to encourage citizens and other stakeholders to report all incidents and observations with potential relevance to MHLS. This requires building trust in both the private and public sectors that information-sharing will not lead to abuse, and that appropriate privacy and disclosure policies will be accommodated. Information sharing will also increasingly include foreign governments and international organizations that have joined the United States in the war on terrorism.

## 6. Maritime security operations will be focused to meet essential, threat-based requirements and conducted within the rule of law.

Despite the magnitude of the threat, the Coast Guard's response, except in the most extraordinary of circumstances, must minimize disruption of legitimate commerce and travel and not limit traditional civil liberties as defined by the U.S. Constitution and associated statutes. The Coast Guard's Principle of Restraint applies.<sup>33</sup> Unlike traditional military scenarios in which adversaries and theaters of action are clearly defined, the war against terrorism defies crisp characterization as a purely military undertaking against identifiable enemies. Rather, likely opponents are a diffusely-organized blend of state-supported agents, non-state actors, and independent operators.

MHLS operations will be planned using the concept of effects-based operations (EBO).<sup>34</sup> These type of operations focus on planning, executing, and assessing in terms of the *results* produced rather than merely attacking targets or simply dealing with objectives. An EBO approach starts from a high-level systems perspective and explicitly seeks to understand, trace, and anticipate direct and indirect

effects of a specific action as effects propagate through the enemy's political, military, and economic infrastructure. It is applicable to understanding oneself, understanding an adversary, or in any other context where elements interrelate, interconnect, or otherwise are interdependent.<sup>35</sup> EBO is a critical process for successfully achieving desired results by the effective implementation of an integrated strategy that selectively employs a range of instruments of national power of the United States and its coalition partners, to bring about intended effects that together undermine the adversary's power and will to continue to do harm without unduly compromising other national interests and objectives.

**7. Forces for implementing the *Maritime Strategy* will be derived by leveraging the Coast Guard's multi-mission assets, acquiring new resources, and through partnering with both public (federal-state-local) and private stakeholders.**

Many of the traditional activities of the Coast Guard, such as emergency preparedness and response and maritime law enforcement, are already aligned with the MHLS mission. As the Coast Guard is assigned greater MHLS responsibilities, it will receive a commensurate level of new resources. As stated in the *National Strategy for Homeland Security*, "the President is committed to building a

strong and effective Coast Guard and will continue to support the re-capitalization of the Coast Guard's aging fleet, as well as target improvements in the areas of maritime domain awareness, command and control systems and shore side facilities."<sup>36</sup> Additionally, the Coast Guard will employ performance measures to evaluate the effectiveness of its maritime security operations. These performance measures will allow the Coast Guard to measure its progress, make resource allocation decisions, and adjust priorities accordingly. The Coast Guard's proven working relationships with state, local and federal agencies as well as many private stakeholders will be expanded and leveraged for homeland security and emergency response operations.

The Coast Guard equally values emergency preparedness and the response needed to minimize damage and recover from any future terrorist attacks that may occur, despite its best efforts at prevention and deterrence. The Coast Guard faces not only the possibility of terrorist attacks against the Nation's chemical and energy facilities, but also the threat that military-type CBRNE weapons may be used against our citizens. To meet this new threat increased levels of preparedness and response capabilities are required, including additional personnel specially trained and equipped to mitigate the impacts of a terrorist incident. Coast Guard efforts in preparing to respond to terrorism will strengthen our capability to respond to other, lesser incidents.



# The U.S. Coast Guard Maritime Strategy for Homeland Security

*The increasing mobility and destructive potential of modern terrorism has required the United States to rethink and renovate fundamentally its systems for border and transportation security. Indeed, we must now begin to conceive of border security and transportation security as fully integrated requirements because our domestic transportation systems are inextricably intertwined with the global transportation infrastructure.*

*The National Strategy for Homeland Security  
July 16, 2002*

## Strategic Objectives

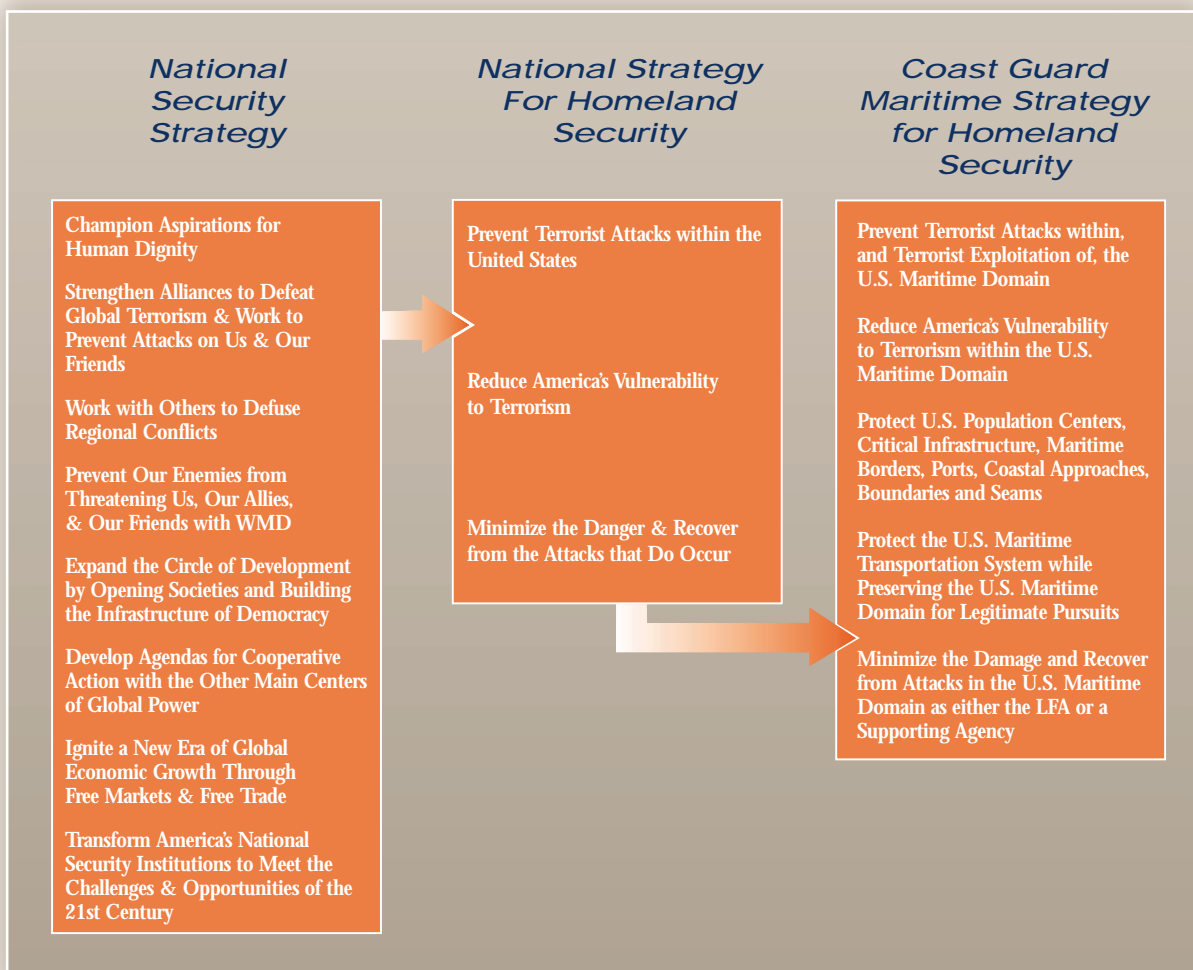
National policy dominates all strategies, including this one, by defining a desired end-state and providing overarching guidance. The analysis of the national end-states and guidance contained in the *National Security Strategy* and the *National Security Strategy for Homeland Security* yields subordinate, supporting objectives leading to the desired national end-state, as well as to provide purpose, focus, and justification for the actions or ways embodied in a supporting strategy. The *National Security Strategy* lays out broad objectives and direction for the use of all the instruments of power. From the *National Security Strategy* and the *National Security Strategy for Homeland Security*, the Coast Guard has developed, within the context of its Guiding Principles, a cascading, subordinate *Maritime Strategy* to support the achievement of national objectives. Drawing upon these critical national-level policy documents, and acting in its capacity as the LFA for Maritime Homeland Security, the Coast Guard's strategic objectives, in order of priority are to:

- Prevent terrorist attacks within, and terrorist exploitation of, the U.S. Maritime Domain
- Reduce America's vulnerability to terrorism within the U.S. Maritime Domain
- Protect U.S. population centers, critical infrastructure,<sup>37</sup> maritime borders, ports, coastal approaches, and the boundaries and seams between them
- Protect the U.S. Marine Transportation System<sup>38</sup> while preserving the freedom of the maritime domain for legitimate pursuits
- Minimize the damage and recover from attacks that may occur within the U.S. Maritime Domain as either the LFA or a supporting agency.

The alignment of these strategic objectives among the hierarchy of strategies is shown in figure 2. The *Maritime Strategy* directly supports the *National Security Strategy of the United States of America* and the *National Strategy for Homeland Security* and follows their direction. Yet it reflects the uniqueness of the U.S. Maritime Domain,<sup>39</sup> including the complexity associated with shared use of the oceans and

waterways, long-standing international respect for freedom of navigation, and the transitional seams between our air, land, sea, and subsurface borders. Furthermore, the *Maritime Strategy* incorporates: (1) the application of the Coast Guard's capstone doctrinal concepts;<sup>40</sup> (2) the security strategies recommended in the 1999 Marine Transportation System Report to Congress;<sup>41</sup> (3) the operational planning and experience gained by the Coast Guard

since the September 2001 terrorist attacks; and (4) extensive collaboration with joint, interagency, international, state, local, and private sector stakeholders. This *Maritime Strategy* will be amended and adjusted over time as the *National Strategy for Homeland Security* and the *Federal Incident Management Plan* are deployed and refined, based on actual experience. These Coast Guard strategic objectives are discussed in greater detail in the following paragraphs.



**Figure 2. Alignment of Strategic Objectives**

## 1. Prevent terrorist attacks within, and terrorist exploitation of, the U.S. Maritime Domain.

The marine areas under U.S. jurisdiction are enormous, covering some 3.5 million square miles of ocean area and 98,000 miles of coastline. The oceans and maritime approaches to America are conduits for both good and bad influences. On these waters, commercial shipping carries more than 95 percent by volume of the U.S. overseas trade that is critical to U.S. economic health. These same waters offer access to America by transnational, asymmetric and non-military threats. A priority objective of this *Maritime Strategy* is to prevent terrorists from exploiting the U.S. Maritime Domain for mounting attacks on U.S. lives and property. This will require an increased threshold level of maritime security operations—especially detection and deterrence—specifically directed against terrorism. This threshold level must be enduring, sustainable, flexible in application, and expandable to successively higher degrees of protection, depending on the threat. Essentially, the Coast Guard will implement a layered defense intended to thwart terrorist threats as far from our shores as possible, and will multi-task assigned assets across mission areas to execute surveillance and reconnaissance, tracking, and interdiction. Comprehensive information sharing and targeted intelligence operations will support this posture by maintaining maritime domain awareness (MDA) in all geographic areas of interest. Simultaneously, both public-private partnerships and international cooperation will establish maritime security regimes for protecting ships, ports, cargoes, and infrastructure, while facilitating pre-emptive operations against identified threats. Eliminating terrorist threats as early and as far from U.S. borders as possible will be a key factor in preventing terrorist attacks from and within the U.S. Maritime Domain.

## 2. Reduce America's vulnerability to terrorism within the U.S. Maritime Domain.

Closer to home, the Coast Guard will conduct criticality, threat, and vulnerability assessments of the major sea lines of communication, the coastal shoreline, and our maritime approaches and corresponding infrastructure. The results of these ongoing assessments – further refined by real-time, comprehensive MDA – will be used to allocate limited resources optimally in the face of changing threat levels. More stringent reporting requirements, more thorough-going ocean surveillance and tracking of high-interest vessels and cargoes, and increased interagency coordination for unity of effort among multiple civil, military, and law-enforcement organizations will all ameliorate terrorist threats within the U.S. Maritime Domain.

## 3. Protect U.S. population centers, critical infrastructure, maritime borders, ports, coastal approaches, and the boundaries and seams between them.

Critical coastal facilities, marine and otherwise—military facilities, nuclear power plants, oil refineries, fuel tanks, pipelines, chemical plants and vital bridges—line American ports, waterways, and shores. These and many other national assets are critical to our economic and national security and vital for the free and seamless movement of passengers and goods throughout the country. Defending coastal population centers and their associated civil, commercial, and industrial infrastructures will require a coordinated multi-agency effort based on comprehensive and shared MDA and implemented with unprecedented unity of effort. Because of the concentration of sea, land, and air traffic, arriving and departing cargoes, transshipment facilities, and commercial activities in port areas, our vulnerability there to hostile infiltration and acts of terror is dramatically heightened. Thus, port, approach, and

border security will take top priority on America's maritime frontiers, and to ensure positive and controlled movement of high-interest vessels, mandatory adherence will be required to a national vessel-movement reporting system for designated vessels entering and departing the United States. Since even small ships and boats can pose a serious threat, today's reporting requirements that exempt smaller vessels may need to be reexamined. In any event, advanced sensor and surveillance systems for both vessels and cargoes will be an integral part of any maritime security implementation plan, and these will feed directly into a network-centric command and control infrastructure that facilitates seamless connectivity and interoperability with DOD and other federal and local agencies. For investigating suspicious maritime activities and responding to rapidly developing threats, designated air, sea, and land forces—drawn from the other armed services and law-enforcement organizations—must be capable of immediate deployment to the key areas of risk for this higher priority mission. Additionally, Coast Guard forces must be capable of fast redeployment from other operational missions. The Coast Guard's longstanding capability for executing multiple missions simultaneously from a single platform is an excellent fit with its additional homeland security requirements.

#### **4. Protect the U.S. Maritime Transportation System while preserving the freedom of the Maritime Domain for legitimate pursuits.**

The U.S. Maritime Transportation System (MTS) consists of waterways, ports and their intermodal connections, vessels, vehicles, and system users, as well as federal maritime navigation systems. The System's objective is the safe, secure, environmentally sound movement of goods, people, and military assets in the most efficient and economically effective manner possible. Annually the MTS handles more than 2 billion tons of freight, 3 billion tons of oil, more than 134 million ferry passengers, and

more than 7 million cruise ship passengers. On the order of 7,500 foreign ships, manned by 200,000 foreign sailors, enter U.S. ports every year to off-load approximately six million truck-size cargo containers onto U.S. dock. Additionally, many of these seaports are critical military strategic sealift ports whose availability must be constantly assured. The growing volume of maritime commerce passing through our ports and along internal waterways is so crucial to the Nation's economy that protecting the MTS – located largely within U.S. borders – is a major element of homeland security. The Coast Guard is already addressing this challenge with Port Security Committees, Maritime Safety and Security Teams, and a re-definition of the role of Captains of the Port in protecting local infrastructure.<sup>42</sup> Since the ports and their associated waterways are major nodes of the MTS, robust port security measures will constitute a key aspect of defending the MTS and preserving its vital economic role.

#### **5. Minimize the damage and recover from attacks that may occur within the U.S. Maritime Domain as either the Lead Federal Agency or a supporting agency.**

The Coast Guard will be prepared to minimize damage and recover from any future terrorist attacks that may occur despite our best efforts at prevention and deterrence. In accordance with the *National Strategy for Homeland Security*, the Coast Guard will integrate its response plans into a single all-discipline, all-hazard *Federal Incident Management Plan* and will work with other federal, state, local, and non-governmental public safety organizations to build a comprehensive national incident-management system. The Coast Guard will particularly ensure the readiness of its forces to work safely in areas where CBRNE weapons have been used, as well as its ability to communicate with first responders from other military, civil, and law-enforcement agencies in applying common disaster-relief and terrorist incident protocols.

## Top-Level Mission Statement

To achieve these objectives the Coast Guard's homeland security mission is to protect the U.S. Maritime Domain and the U.S. Marine Transportation System and deny their use and exploitation by terrorists as a means for attacks on U.S. territory, population, and critical infrastructure. Additionally, the U.S. Coast Guard will prepare for and, in the event of attack, conduct emergency response operations. And, when directed, as the supported or supporting commander, the Coast Guard will conduct military homeland defense operations in its traditional role as a military service.

## Maritime Strategy Elements

The *U.S. Coast Guard Maritime Strategy for Homeland Security* consists of the following six elements, which serve as the methods to achieve the Coast Guard's strategic objectives (*see Figure 3*):

- Increase Maritime Domain Awareness
- Conduct Enhanced Maritime Security Operations
- Close Port Security Gaps
- Build Critical Security Capabilities
- Leverage Partnerships to Mitigate Security Risks
- Ensure Readiness for Homeland Defense Operations

These strategy elements are discussed in greater detail in the following paragraphs.

### 1. Increase Maritime Domain Awareness – Build and leverage Maritime Domain Awareness to create a comprehensive knowledge base for maritime security operations.

To offset the physical impossibility of patrolling the entire U.S. Maritime Domain simultaneously or inspecting, certifying, and validating all travelers and cargoes, the Coast Guard will develop comprehensive, timely, and detailed visibility into events, conditions and trends in the maritime domain. The Coast Guard will do this by combining an unparalleled level of information sharing and targeted intelligence that will allow it to sharpen the focus of its operational effort on threats in the U.S. Maritime Domain. This is Maritime Domain Awareness and it will constitute a significant force multiplier as missions expand against a background of limited resources.<sup>43</sup> Building MDA requires both a process and an infrastructure. In its most fundamental terms, the process consists of:

- collecting maritime data, information, and intelligence
- collating, correlating, analyzing, and interpreting the collected material
- providing effective assessment, actionable intelligence, and relevant knowledge
- disseminating actionable intelligence to appropriate federal, state, local, private, and international stakeholders.

A robust MDA capability will provide national leaders, operational commanders, and maritime stakeholders the information, intelligence, and knowledge they need for both operational and policy decisions. National security decision makers need MDA to develop top-down strategies and to allocate resources for homeland security. Operational commanders need MDA to plan and execute operations, as well as to maintain situational awareness and to



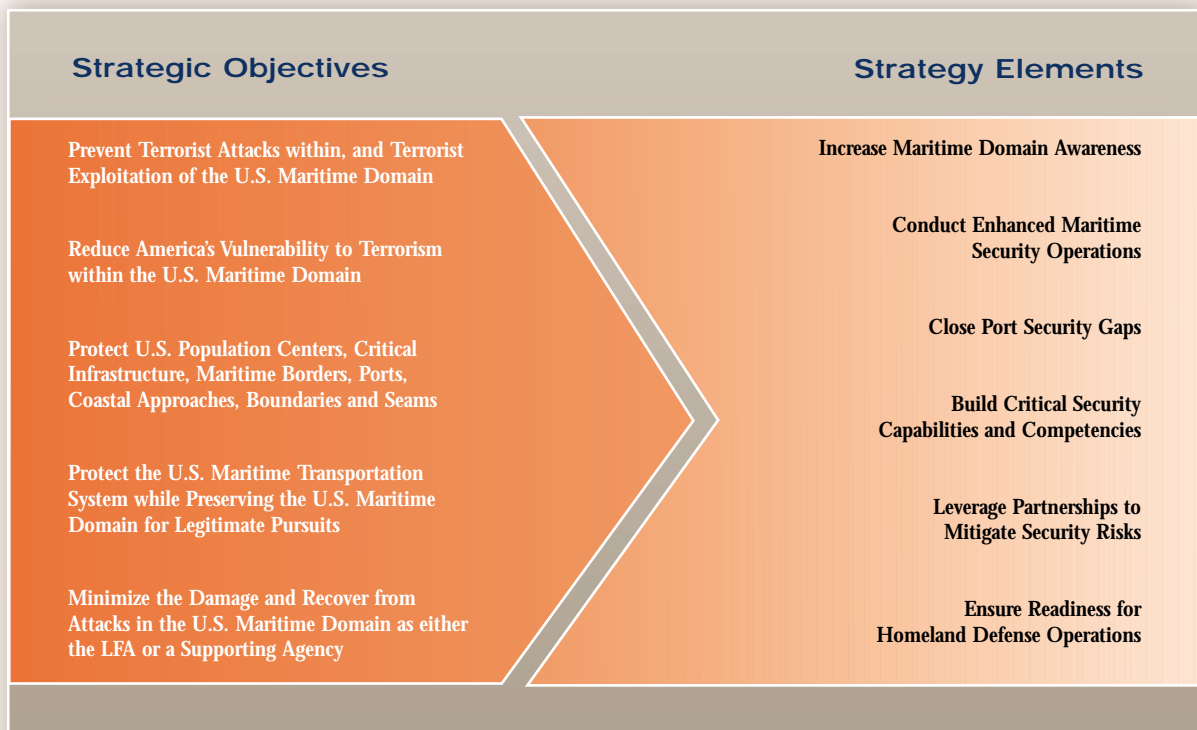


Figure 3. The *Maritime Strategy*—Elements and Objectives

conduct risk-based decision-making. Maritime stakeholders require MDA to coordinate their plans and activities to ensure unity of effort at the international, national, state, and local levels in achieving business, environmental, and other maritime goals under the umbrella of homeland security.

**2. Conduct Enhanced Maritime Security Operations – Establish and maintain a new threshold level of maritime security readiness, including layered maritime security operations for selective area control and denial, heightened levels of emergency preparedness, and a targeted response to the threat of terrorism.**

The events of 11 September demand a new threshold level of operations specifically directed against terrorism without degrading other critical missions such as search and rescue, marine safety, maritime

mobility, law enforcement, national defense, and protection of natural resources. Recognizing safety and security as two sides of the same coin, the Coast Guard will establish a new benchmark of maritime security operations while continuing to fully leverage the synergies inherent in its multi-mission character. This new threshold level must be enduring, sustainable, and flexible enough to accommodate both regional and local requirements within broad geographic limitations, and expandable to successively produce higher levels of protection. Thus, in accordance with budgetary realities, the Coast Guard will scale the level of operational resources, procedures, and physical security for personnel, vessel, port, facility, and cargo protection, as appropriate, in accordance with threat level and risk. Once achieved, the threshold level will provide for the protection of both Coast Guard forces and critical infrastructure. Threshold levels will ensure that participating forces and organizations are fully mission-capable to conduct emergency response operations if necessary.

The Coast Guard will implement a layered defense comprising the full range of maritime security operations and measures, starting overseas and extending to U.S. shores, ports, and internal waterways, including navigable inland rivers and lakes. This defense-in-depth in key portions of the U.S. Maritime Domain will enable the Coast Guard to address both external and internal threats across the full geographic spectrum: at their source, in the oceans and the U.S. maritime approaches, and in U.S. territorial and internal waters. This layered defense will also allow the Coast Guard to eliminate terrorist threats as early and as far from U.S. borders as possible,<sup>44</sup> as well as neutralizing those found within our borders. The Coast Guard will multi-task assigned assets across mission areas when and where appropriate to execute comprehensive surveillance and reconnaissance, tracking, and interdiction. Other infrastructure, as well as procedural seams – such as the command and control interfaces among the numerous agencies – will be adequately protected to prevent their exploitation by terrorists. As a necessary first step to minimize the risk of high-consequence events, the Coast Guard will conduct criticality, threat, and vulnerability assessments of the coastal shoreline, U.S. maritime approaches, and sea lines of communications (SLOCs) to the United States.

The Coast Guard will be prepared to minimize damage and recover from any future terrorist attacks that may occur despite its best efforts at prevention and deterrence. The Coast Guard will plan, equip, train, and exercise its response forces to mobilize without warning for any emergency. Per the *National Strategy for Homeland Security*, the Coast Guard will integrate its response plans into a single all-discipline, all-hazard *Federal Incident Management Plan*.<sup>45</sup> The Coast Guard will work with other federal, state, local, and non-governmental public safety organizations, and stakeholders to build a comprehensive national incident management system—using common terminology for all

parties and providing a unified command structure, scalable to meet incidents of all sizes—to respond to terrorist incidents and natural disasters. In the aftermath of any major terrorist attack, emergency response efforts would likely involve hundreds of offices from across the government and the country. Coast Guard response personnel will use equipment, systems, and procedures that will allow them to communicate and work effectively with other first responders. The Coast Guard will also ensure the readiness of its forces to work safely in an area where CBRNE weapons have been used.

Interagency coordination centers, intelligence fusion centers, and common procedures will be established at the operational and tactical levels of command to ensure unity of effort among all the agencies. This is particularly important to ensure effective coordination with the U.S. Northern Command and other national control entities. These interagency coordination centers will allocate assets from multiple agencies, prioritize and adjudicate tasking, and facilitate deconfliction.

### **3. Close Port Security Gaps – Strengthen the port security posture and reduce the vulnerability of strategic economic and military ports.**

In view of the particular vulnerability of American ports with their large commercial vessel traffic in passenger liners, container ships, bulk cargo carriers, and tankers, many of which are foreign-flagged, port security is a key component of the *Maritime Strategy*. As a necessary first step to minimize the risk of high-consequence events, the Coast Guard will conduct criticality, threat, and vulnerability assessments of port infrastructure. On this basis, and in accordance with the ports economic and national defense roles, the Coast Guard will determine the appropriate security posture of individual ports and assign the commensurate level of maritime security forces to ensure that personnel, ships, and critical

infrastructure<sup>46</sup> are adequately guarded. Drawing upon their significant legal authorities, the Captains of the Port, working with the Port Security Committees, will lead and coordinate security plans to support this effort.

To ensure positive and controlled movements of high-interest vessels, mandatory adherence will be required to a national vessel-movement reporting system by designated vessels entering and departing the United States, regardless of flag. Current reporting requirements that exempt smaller vessels from movement reporting will be reexamined in light of the terrorist threat that can still be posed by small ships. Technologically advanced surveillance and sensor systems will be an integral part of the maritime security implementation plan.

#### **4. Build Critical Security Capabilities – Develop required capabilities, improve core competencies, and recapitalize the Coast Guard for maritime security operations.**

To conduct more pervasive surveillance and reconnaissance, to respond to threats and incidents, and to provide maximum support to first responders, the Coast Guard will require additional and upgraded capabilities.

For improved unity of effort, responsiveness, and overall effectiveness, the Coast Guard will expand its existing C2 system to serve better the MHLS mission. Coast Guard maritime security forces already interface with a wide range of departments, agencies, and commands to facilitate two-way communications and operational-intelligence sharing for current tasking. Nonetheless, a maritime C2 system for MHLS must function increasingly as a well-defined, flexible, and seamless structure that provides commanders timely exercise of authority and direction over assigned and attached forces, as well as the comprehensive information required for sound com-

mand decisions. It must be able to leverage all national, civil, commercial, and international capabilities, from intelligence collection through interdiction, to provide layered warning and defense against terrorist attacks. And, it must provide appropriate connectivity and interoperability among maritime, joint, interagency, and selected combined commands, as well as state and local organizations and the private sector.

The Coast Guard will recapitalize its Deepwater<sup>47</sup> forces; increase its maritime security capabilities with the Maritime Safety and Security Teams (MSST)<sup>48</sup> and Sea Marshals;<sup>49</sup> expand and better equip its National Strike Force (NSF)<sup>50</sup>; acquire additional surveillance systems and other related capabilities for port security,<sup>51</sup> and expand use of the national incident management command system as appropriate.<sup>52</sup> A major factor in achieving this homeland security baseline will be the Coast Guard's multi-year initiatives to recapitalize cutters, coastal patrol boats, aircraft, and C2 nodes. The resulting network-centric command and control infrastructure will facilitate seamless connectivity and interoperability with DOD especially with the U.S. Northern Command and other federal and state government agencies.

Moreover, Coast Guard recruiting and training will be upgraded to satisfy MHLS demands. While Coast Guard training has always stressed the breadth and flexibility needed for responding to the service's broad mission, tomorrow's training will emphasize the specific attitudes, tactics, and skills required to reflect the high priority of the MHLS mission. In addition to the traditional focus on basic seamanship, search-and-rescue, and environmental protection, exercise scenarios will expand to include surveillance and patrol, tracking and trailing, interdiction, opposed boarding, weapons proficiency, and tactical hostile engagement. Thus, as the Coast Guard transitions from its peacetime footing to the counter-terrorism posture demanded by MHLS, the training and exercise curriculum will adjust accordingly.

## **5. Leverage Partnerships to Mitigate Security Risks – Organize and sustain a public-private sector partnership, while increasing international cooperation.**

In addition to strengthening the security relationships that exist among federal, state, and local governments, non-government organizations, industry, and the American people, the Coast Guard will increase international cooperation to create a global defense against maritime terrorism. This growing domestic and international outreach, in turn, will increase active participation in both intelligence sharing and maritime security operations and will establish multi-lateral and agreed-upon protocols for ensuring port security, for exercising anti-terrorist procedures, and for facilitating real-world, combined operations against the common threat. Working through the International Maritime Organization will be essential to establishing international maritime security regimes and other measures that complement this Maritime Strategy. Port security liaison officers will be assigned abroad to assist and coordinate the efforts of the Coast Guard's international partners.

## **6. Ensure Readiness for Homeland Defense Operations – Prepare, equip, and train forces to conduct both homeland security and homeland defense operations and to transition smoothly between them.**

In the face of the terrorist threat, the *National Security Strategy* calls for the transformation of all the major institutions of American national security, because they were designed in a different era to meet different requirements. Since the threats and enemies that America confronts has changed, so must America's armed forces. They must develop a wider range of military options to discourage aggression or any form of coercion against the United States, our allies, and our friends.<sup>53</sup>

As an armed force of the United States (14 U.S.C. 1) at all times, the Coast Guard will serve as either the supported commander or supporting commander in the conduct of traditional military operations to defend the homeland. In this capacity the Coast Guard will execute tasks assigned by U.S. combatant or functional commanders in accordance with orders issued by Secretary of Defense. Coast Guard forces must have the appropriate interoperable equipment, ready forces, training, and doctrine to make this transition. The need for a smooth transition between HLS and HLD operations is underscored by the additional requirement for Coast Guard forces to conduct national defense missions in overseas operating areas, as has been the case in the Persian Gulf.

## Near-Term Program Initiatives for the Strategy Elements

---

Tomorrow, the Coast Guard's Deepwater Project will award a multi-year contract to replace aging ships and aircrafts and improve communications and information sharing. The whole purpose is to push out our maritime borders, giving us more time to identify threats and more time to respond.

President George W. Bush  
Remarks at Port Elizabeth, New Jersey  
June 24, 2002

---

The *Maritime Strategy* offers the Coast Guard a blueprint for securing the homeland from the threat of terrorism. Homeland security is a challenge of monumental scale and complexity. It will not be cheap, easy, or quick. Achieving our homeland security objectives requires hard work and a sustained investment of money and time. Our job has already begun and will continue indefinitely. The Coast Guard has developed a carefully conceived plan to ensure that these efforts yield maximum security benefits at the least possible financial and social costs. The Coast Guard is already developing a comprehensive series of program initiatives to implement the *Maritime Strategy*.

These initiatives take full account of the existing Coast Guard capabilities, forces, and systems for

providing homeland security. The initiatives also reflect the basic management principle that they should be clearly and logically aligned with the Coast Guard's responsibilities, authorities, and core competencies. These initiatives: (1) build upon current Coast Guard capabilities, forces, and systems that work well and are sensibly organized; (2) improve others; and (3) where necessary, generate new capabilities, forces, and systems. Furthermore, these initiatives, for the most part, are not solely stove-piped to benefit only homeland security, but can benefit other requirements. For example, an emergency management system that is better able to manage terrorism can address all hazardous threats (fire, flooding, hurricanes, chemical spills, etc.), and sensors for maritime security can be used for search and rescue and maritime law enforcement. Each strategy element contains multiple initiatives. Figure 4 (*see page 26*) lists several of the initiatives within their respective strategy element.

---

When it comes to securing our homeland, and helping people along the coast, the Coast Guard has got a vital and significant mission. ... We must make sure that our Coast Guard has got a modern fleet of vessels. We must make sure that port security is as strong as possible.

President George W. Bush  
Remarks at Southern Maine  
Technical College in Portland, Maine  
January 25, 2002

---

Strategic Elements	Near Term Initiatives
<p><b>1. Increase Maritime Domain Awareness</b></p>	<ul style="list-style-type: none"> <li>• Establish Maritime Intelligence Fusion Center at each Area to leverage interagency information sharing .</li> <li>• Co-chair with Navy a Joint Maritime Surveillance Working Group.</li> <li>• Install SIPRNET at each COTP and Group.</li> <li>• Install GCCS in all command centers.</li> <li>• Expand sensor capability with RESCUE-21, PAWSS, Deepwater, and state-of-the-art port surveillance system.</li> </ul>
<p><b>2. Conduct Enhanced Security Operations</b></p>	<ul style="list-style-type: none"> <li>• Commission MSSTs and enhance boarding team capabilities.</li> <li>• Evaluate arming all HH-60/65s.</li> <li>• Conduct robust exercise plan to test effectiveness of an expanded layered defense.</li> <li>• Acquire new small boat fleet.</li> <li>• Increase acquisition of WPB-87 Coastal Patrol Boat.</li> <li>• Deploy HC-130J with advanced C2 and sensor systems for increased maritime surveillance capability.</li> </ul>
<p><b>3. Close Port Security Gaps</b></p>	<ul style="list-style-type: none"> <li>• Conduct and update Port Security Assessments on ports, vessels and facilities using Port Security Risk Assessment Tool methodology.</li> <li>• Conduct follow-on detailed vulnerability assessments on ports most at risk.</li> <li>• Plan and conduct port-level counter-terrorism exercises.</li> <li>• Field bio-terrorism response policy.</li> <li>• Establish Port Security Committees in each port with participation from all key stakeholders.</li> </ul>
<p><b>4. Build Critical Security Capabilities and Competencies</b></p>	<ul style="list-style-type: none"> <li>• Expand, train and commission MSSTs.</li> <li>• Expand security-training infrastructure to include Operational Intelligence and MLE Schools and Fast Boat Center of Excellence.</li> <li>• Modernize via Deepwater upgraded C4ISR capabilities in 37 existing major cutters, all WPBs, selected HC-130s, all HH60Js, all HH65s and 12 command centers, and add new MPAs and UAVs.</li> <li>• Develop skill sets in workforce to leverage increased technological capability being fielded.</li> </ul>
<p><b>5. Leverage Partnerships to Mitigate Security Risks</b></p>	<ul style="list-style-type: none"> <li>• Conduct port vulnerability assessments.</li> <li>• Establish and exercise specialized HAZMAT Response Teams and other critical capabilities from existing first responder type organizations.</li> <li>• Pursue efforts to increase cargo security and enhance the security and validity of mariner documentation at international level.</li> </ul>
<p><b>6. Ensure Readiness for Homeland Defense</b></p>	<ul style="list-style-type: none"> <li>• Field Deepwater to increase operational capability and DOD compatibility.</li> <li>• Prepare to conduct operations as a supported and supporting commander to U.S. NORTHCOM.</li> <li>• Prepare, equip, and train forces to conduct both HLS and HLD operations and to transition smoothly between missions.</li> <li>• Procure CBRNE personal protective equipment for field personnel deemed at risk.</li> <li>• Develop training programs to ensure safety and effectiveness of Coast Guard personnel pursuing HLS and HLD missions.</li> </ul>

**Figure 4. Near-Term Program Initiative**

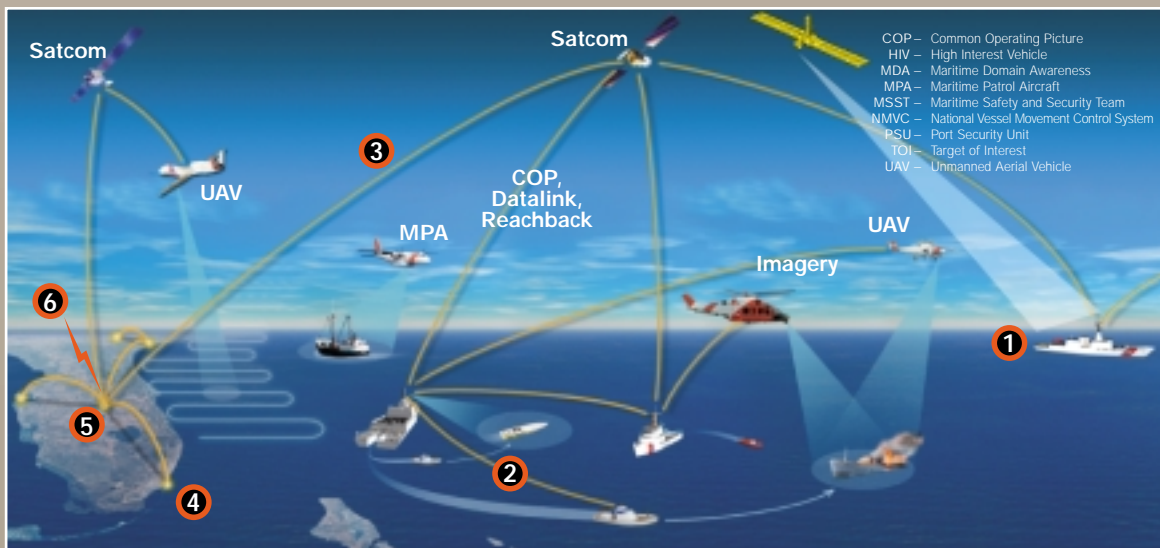
## Overview of Strategy Execution

Based on the information, knowledge, and actionable intelligence that constitute MDA, Coast Guard forces supported by other military and interagency forces where appropriate will conduct maritime security operations in the U.S. Maritime Domain in ports and waterways against internal threats, and on the high seas against external threats. Maritime security operations against external threats depend on wide-area surveillance, coastal sea-control, maritime interdiction, and offensive/disruption operations. Maritime security operations against internal threats focus on port security and preventive measures, harbor defense, and vessel movement-and-control operations. Coast Guard forces will be prepared to deter, detect, and defend effectively against traditional weapons and asymmetric attacks, including CBRNE and high-yield explosives.

Working closely with foreign governments, international organizations, and commercial firms around

the world, Coast Guard and inter-agency maritime security forces will identify potentially hazardous or clandestine cargo before it is loaded aboard vessels bound for the United States and its territories. They will monitor those vessels, cargoes, and people from the point of embarkation, through intervening ports, to the point of arrival to ensure the integrity of the transit, to manage maritime traffic routing, and, if necessary, to divert vessels for inspection and search. The Coast Guard will exercise all its authorities aggressively and to leverage its extensive relationships and partnerships at the international, federal, state, and local levels, as well as engaging industry, non-government organizations, commercial firms, and citizens to eliminate threats to the United States as early as possible. Finally, in the event of an attack Coast Guard forces will be prepared to lead and otherwise support national and local emergency response teams in the U.S. Maritime Domain. Figures 5 and 6 (*see pages 28 & 29*) depict examples of maritime security operations conducted in portions of the U.S. Maritime Domain.

## Layered Maritime Security Operations For Defense in Depth – I

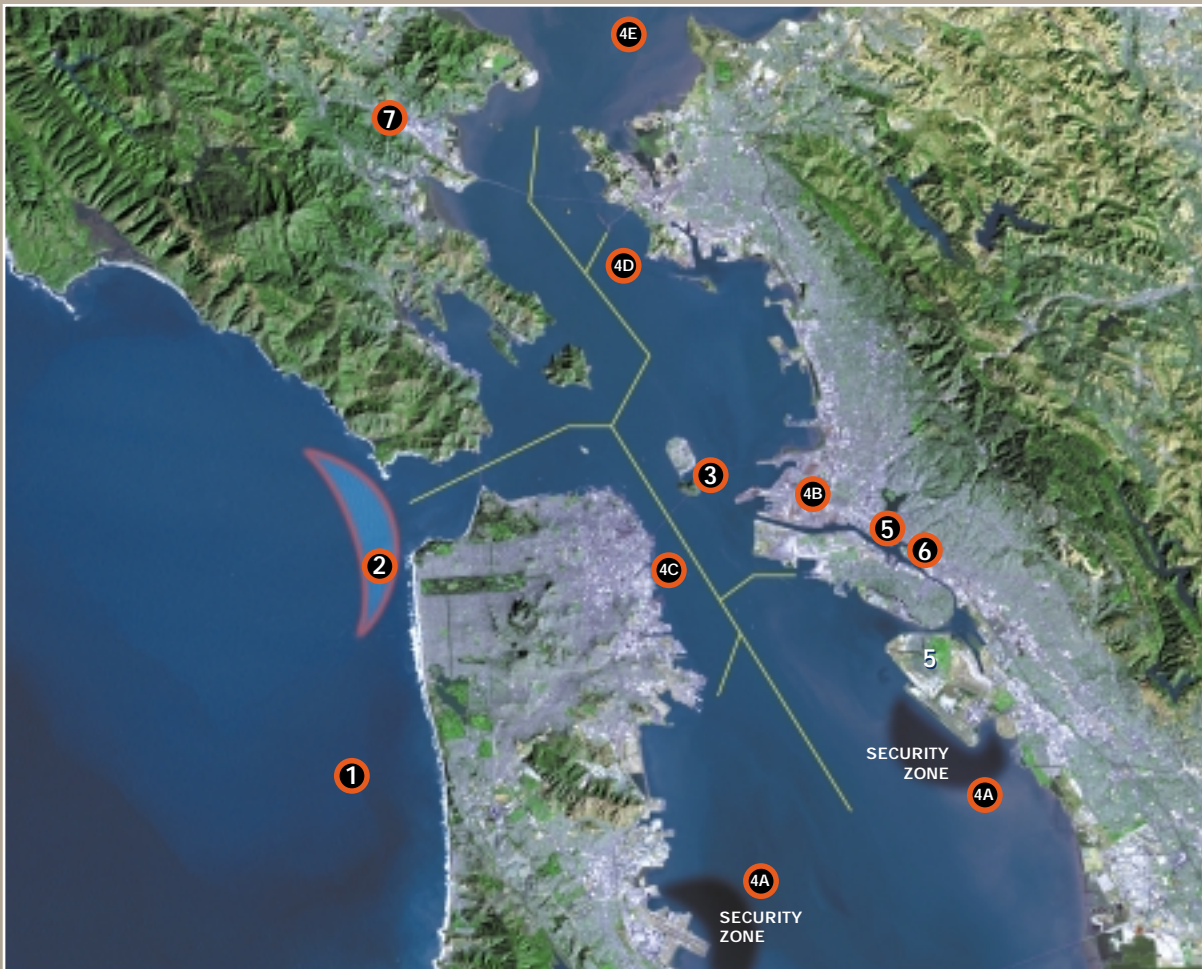


- 1** Mid-Ocean Maritime Security Operations  
Positioned by MDA products and using data from satellite surveillance, a major cutter intercepts TOIs and HIVs. Also conducts drug and migrant interdiction operations, high seas drift net fisheries enforcement, and national defense missions.
- 2** U.S. EEZ Maritime Security Operations  
A major cutter conducts two simultaneous tasks: engagement of terrorist boat, and hot pursuit of evasive drug smuggler. The cutter launches interceptor to interdict drug smuggler. UAVs provide tactical data. Another major cutter engages terrorist threat with its pursuit boat and armed helo.
- 3** U.S. Maritime Approaches Security Operations  
UAV and MPA conduct wide-area surveillance and reconnaissance tasks – surveys, detects, classifies, identifies, and images TOIs and HIVs. Overflight verifies if vessels are participating in the NMVC system. Sends real-time data to command center for COP integration. Data supports other missions (counter-drug, fisheries enforcement, and international ice patrol).
- 4** Coastal, Harbor and Port Security Operations  
MSST, PSU, and Sea Marshals provide active port presence and meet HIVs upon arrival. Port Security Committees coordinate integrated security program.
- 5** Shore-Based Command / Control and Intelligence Fusion  
Regional command node plans and conducts multi-agency maritime security operations. Develops and distributes MDA products. Prioritizes tasks. Allocates resources.
- 6** Multi-agency Intelligence and Information Exchange  
All-source input supports generation of MDA products, which are shared in return with other agencies.

Figure 5. Layered Maritime Security Operations – Coastal and Oceanic



## Layered Maritime Security Operations For Defense in Depth – I I



- 1 U.S. Maritime Approaches**  
UAV and MPA conduct wide-area coastal surveillance and reconnaissance tasks – surveys, detects, classifies, identifies, and images TOIs and HIVs. Overflight verifies if vessels are participating in the NVMC system, and sends real time data to command center for COP integration. Data also supports other missions.
- 2 U.S. Port Entrance**  
Major Cutter conducts port entrance patrol and provides platform for Sea Marshals to meet HIVs upon arrival.
- 3 Port Command and Control Center**  
Port Command and Control Center plans and conducts multi-agency (federal and local) port security operations. Develops and distributes tailored MDA products. Prioritizes tasks, Allocates resources. Operates VTS. Controls movement of all vessels within port. Coordinates with state and local authorities and local Port Security Committee.
- 4 Coast Guard Forces for Port and Coastal Maritime Security Operations**  
MSST, PSU, Group, and MSO forces provide active port presence to deter, defend against, and respond to any terrorist attack.
- 4A** These forces maintain security zones around key infrastructure–airports.
- 4B** These forces protect critical facilities for national defense outloads and commercial containers.
- 4C** These forces protect cruise ships and associated passenger terminals.
- 4D** These forces protect critical energy offload facilities with significant HAZMAT potential.
- 4E** These forces protect critical national defense installations such as ammunition load-out facilities.
- 5 Coast Guard Shore-Based Command and Control and Intelligence Fusion**  
Regional command node plans and conducts multi-agency maritime security operations. Provides operational direction to lower echelon commands for unity of effort. Develops and distributes MDA products. Prioritizes tasks. Allocates resources.
- 6 Multi-Agency Intelligence and Information Exchange**  
All-source input supports generation of MDA products, which are shared in return with other agencies.
- 7 HAZMAT/CBRNE Coast Guard First Response Capability**  
Coast Guard Strike Team positioned as a port first responder for HAZMAT spill or for a CBRNE attack.

Figure 6. Layered Maritime Security Operations – Coastal and Port

## Key Components of the Maritime Strategy

### The U.S. Coast Guard Maritime Strategy for Homeland Security

#### Strategic Objectives

- Prevent terrorist attacks within, and terrorist exploitation of, the U.S. Maritime Domain
- Reduce America's vulnerability to terrorism within the U.S. Maritime Domain
- Protect U.S. population centers, critical infrastructure, maritime borders, ports, coastal approaches, and the boundaries and seams among them
- Protect the U.S. Marine Transportation System while preserving the freedom of the U.S. Maritime Domain for legitimate pursuits
- Minimize the damage and recover from attacks that may occur within the U.S. Maritime Domain as either the Lead Federal Agency or a supporting agency

#### Top Level Mission Statement

Protect the U.S. Maritime Domain and the U.S. Marine Transportation System and deny their use and exploitation by terrorists as a means for attacks on U.S. territory, population, and critical infrastructure. Prepare for and, in the event of attack, conduct emergency response operations. When directed, as the supported or supporting commander, conduct military homeland defense operations.

#### Strategy Elements

- Increase Maritime Domain Awareness
- Conduct Enhanced Maritime Security Operations
- Close Port Security Gaps
- Build Critical Security Capabilities
- Leverage Partnerships to Mitigate Security Risks
- Ensure Readiness for Homeland Defense Operations

---

### Guiding Principles for Strategy Development

1. The Coast Guard is the lead federal agency for Maritime Homeland Security.
2. For Maritime Homeland Security, DOD primarily acts as a supporting agency to the Coast Guard.
3. For Maritime Homeland Defense, employing traditional military missions, DOD is the lead federal agency with the Coast Guard acting as a supported or supporting commander.
4. Securing the homeland requires the sharing of responsibilities among all agencies.
5. Information will be shared in an unprecedented manner by all agencies.
6. Maritime security operations will be focused to meet essential, threat-based requirements and conducted with in the rule of law.
7. Forces for implementing this Maritime Strategy will be derived by leveraging the Coast Guard's multi-mission assets, acquiring new resources and partnering/coordinating with public and private stakeholders.



## Glossary

**Civil Support (CS):** Department of Defense support to U.S. civil authorities for domestic emergencies, and for designated law enforcement and other activities. (Joint Pub 1-02).

**Command and Control (C2):** The exercise of authority and direction by a properly designated commander over assigned forces in the accomplishment of the mission. Command and control functions are performed through an arrangement of personnel, equipment, communication, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling forces and operations in the accomplishment of the mission.

**Command and Control System:** The facilities, equipment, communications, procedures, and personnel essential to a commander for planning, directing, and controlling operations of assigned forces pursuant to the missions assigned.

**Counterterrorism:** The full range of activities directed against terrorism, including preventive, deterrent, response and crisis management efforts. *U.S. Government Interagency Domestic Terrorism Concept of Operations Plan* of 22 February 2001, Appendix B.

**Critical Infrastructure:** The assets, systems, and functions vital to our national security, governance, public health and safety, economy, and national morale. *National Strategy for Homeland Security*, Page IX.

**Department of Homeland Security (DHS):** The Homeland Security Act of 2002 established the Department of Homeland Security whose primary mission is to prevent, protect against, and respond to acts of terrorism on our soil.

**Effects-Based Operations (EBO):** Effects-based operations are operations conceived and planned in a systems framework that considers the full range of direct, indirect, and cascading effects, which may—with different degrees of probability—be achieved by the application of military, diplomatic, psychological, and economic instruments. Paul K. Davis, *Effects-Based Operations (EBO): A Grand Challenge for the Analytical Community*, RAND, Santa Monica, CA, 2001, Page 7.

**Federal Maritime Security Coordinator (FMSC):** As stipulated in the Maritime Security Act of 2002, the Secretary will pre-designate a Coast Guard official to serve as the FMSC in each area to develop an area maritime security plan and coordinate actions under the National Transportation Security Plan.

**High Intensity Drug Trafficking Area (HIDTA):** Under the Office of National Drug Control Policy (ONDCP), the High Intensity Drug Trafficking Area program enhances and coordinates drug control efforts among local, State, and Federal law enforcement agencies. The program provides agencies with coordination, equipment, technology, and additional resources to combat drug trafficking and its harmful consequences in critical regions of the United States.

**Homeland Defense (HLD):** Homeland defense is the protection of U.S. territory, domestic population and critical infrastructure against military attacks emanating from outside the United States. In understanding the difference between homeland security and homeland defense, it is important to understand that U.S. Northern Command is a military organization whose operations within the United States are governed by law, including the Posse Comitatus Act that prohibits direct military involvement in law enforcement activities. Thus, its missions are limited to military homeland defense and civil support to lead federal agencies. U.S. Northern Command Homepage.

**Homeland Security (HLS):** Homeland security is a concerted national effort to prevent terrorist attacks within the United States, reduce America's vulnerability to terrorism, and minimize the damage and recover from attacks that do occur." *National Strategy for Homeland Security*, Page 2.

**Integrated Deepwater System (IDS):** The Integrated Deepwater System is a multi-year program to recapitalize, update, and improve the capabilities of the U.S. Coast Guard's current fleet of ships and aircraft, providing the best mix of aircraft, cutters, sensors, communications and logistics capabilities. At full implementation, Deepwater will comprise three classes of new cutters and their associated small boats, a new fixed-wing manned aircraft fleet, a combination of new and upgraded helicopters, and both cutter-based and land-based UAVs. All these assets will be linked with interoperable C4ISR systems, and will be supported by an integrated logistics regime. Deepwater missions are performed close to shore or far out to sea and involve either extended on scene presence, long transit distances, or forward deployment, and exceed the operating capabilities of shore-based small boats. Deepwater forces significantly contribute to the homeland security by providing a capability to detect, intercept and interdict potential threats on the high seas, using a layered defense of major cutters, patrol boats, and MPA before the threat reaches the U.S. coastline.

**Law Enforcement Detachment (LEDET):** A Law Enforcement Detachment is a highly-deployable, small team of U.S. Coast Guard personnel who principally conduct maritime law enforcement tasking from Coast Guard units (both afloat and ashore), U.S. Navy ships, and selected foreign navy ships. LEDETs are consolidated into three Tactical Law Enforcement Teams (TACLETs), located in Yorktown, VA., Miami, FL., and San Diego, CA., and deploy world-wide.

**Lead Federal Agency (LFA):** The agency designated by the President to lead and coordinate the overall Federal response is referred to as the LFA and is determined by the type of emergency. In general, an LFA establishes operational structures and procedures to assemble and work with agencies providing direct support to the LFA in order to provide an initial assessment of the situation; develop an action plan; monitor and update operational priorities; and ensure each agency exercises its concurrent and distinct authorities under U.S. law and supports the LFA in carrying out the President's relevant policy. Specific responsibilities of an LFA vary according to the agency's unique statutory authorities. *U.S. Government Interagency Domestic Terrorism Concept of Operations Plan of 22 February 2001*, Appendix B.

**Maritime Domain Awareness (MDA):** Maritime Domain Awareness is comprehensive information, intelligence, and knowledge of all relevant entities within the U.S. Maritime Domain—and their respective activities—that could affect America's security, safety, economy, or environment.

**Maritime Homeland Security (MHLS):** Maritime homeland security is the concerted national effort lead by the U.S. Coast Guard to secure the homeland associated with or in the U.S Maritime Domain from terrorist attacks.

**Maritime Safety and Security Teams (MSST):** Maritime Safety and Security Teams are U.S. Coast Guard mobile units established for maritime homeland security missions in response to the terrorist attacks of September 11, 2001. These 100-person units are modeled after the Coast Guard's existing Port Security Units and Law Enforcement Detachments to provide a fast-deployment capability for homeland security. Like all Coast Guard units, MSSTs are multi-mission capable, and can conduct search and rescue and law

enforcement missions, as well as maritime security tasking. MSTTs will deploy in support of National Security Special Events (addressed in PDD-62) such as OpSail, Super-Bowls, and Olympics, as well as for severe weather recovery operations, protection of military load-outs, enforcement of security zones, defense of critical waterside facilities in strategic ports, and interdiction of illegal activities.

**Maritime Transportation Security Act of 2002:** Landmark legislation passed by the 107th Congress to increase the security efforts of the Coast Guard and other agencies in the U.S. Maritime Domain.

**National Distress and Response System (NDRS):** The National Distress and Response System is the replacement communications and distress reporting system for the U.S. Coast Guard. Once fielded this new communications system will serve as the means for Coast Guard operational commanders to exercise command and control (C2) over Coast Guard all units conducting all missions along the 95,000-mile U.S. coastline out to 20 miles offshore, as well as, in the ports and interior waterways including the Great Lakes. Additionally, NDRS serves as the emergency reporting system for the public and commercial mariners for them to contact the Coast Guard if in distress. This system is also designated as "Rescue 21."

**National Strike Force (NSF):** The National Strike Force is a U.S. Coast Guard capability composed of three mobile units established for rapid response to oil discharges and hazardous substance releases. With highly specialized equipment, NSF units support Federal On-Scene Coordinators and Coast Guard incident commanders to reduce the environmental damage from oil discharges and hazardous substance releases. Since the NSF also has a CBRNE capability (that was used in the aftermath of the bio-terrorism attacks on the U.S. Capital), the NSF has a major role in homeland security preparedness and recovery operations in the U.S. Maritime Domain.

**Organized Crime Drug Enforcement Task Force (OCDETF):** The Organized Crime Drug Enforcement Task Force is a federal drug enforcement program that focuses attention and resources on the disruption and dismantling of major drug trafficking organizations. OCDETF provides a framework for federal, state, and local law enforcement agencies to work together to target well-established and complex organizations that direct, finance, or engage in illegal narcotics trafficking and related crimes. (Related crimes include money laundering and tax violations, public corruption, illegal immigration, weapons violations, and violent crimes.) The program has been in existence since 1982 and operates under the guidance and oversight of the Attorney General, U.S. Department of Justice.

**Ports and Waterways Safety System (PAWSS):** The Ports and Waterways Safety System is a U.S. Coast Guard project to provide an integrated system of vessel traffic centers, communications, information management capabilities, remote sensors, and associated facilities for vessel traffic management in selected U.S. ports and waterways to provide safe operations and protect the environment. PAWSS capabilities can directly support Coast Guard maritime security operations for tasking such as surveillance, detection, and command and control.

**Sea Marshals:** Sea Marshals are a U.S. Coast Guard capability to intercept and board incoming ships to the United States prior to the ships arrival in U.S. ports, principally to deter and prevent the ship itself from being used a means to conduct a terrorist attack in the port. Upon boarding a vessel Sea Marshals meet

with the ship's captain to explain their purpose and check cargo manifests and crew lists. They stand guard in critical areas of the ships, including the bridge, keeping a watchful eye for suspicious behavior. Ships carrying hazardous materials or those hailing from countries that the United States has identified as having terrorist links or unfriendly relations with the United States are given the highest priority. Other vessels are boarded randomly, both in port and at sea.

**Secret Internet Protocol Router Network (SIPRNET):** The Secret Internet Protocol Router Network is a Department of Defense communications router system to provide classified network connectivity.

**Strategy:** As used in this document, strategy is the employment of a national instrument of power—the U.S. Coast Guard in cooperation with other national means (political/diplomatic, economic, military, and informational) to achieve national objectives. Strategy in this context, is the pursuit, protection, or advancement of national objectives through the application of a specific national instrument of power.

**Supported Commander:** The commander having primary responsibility for all aspects of a task assigned by the Joint Strategic Capabilities Plan or other joint operational planning authority. In the context of joint operation planning, this term refers to the commander who prepares operations plans or operations orders in response to the requirements of the Chairman of the Joint Chiefs of Staff. *Joint Publication 1-02, Joint Terminology Master Database*, 10 June 1998, page 433.

**Supporting Commander:** A commander who provides augmentation forces or other support to a supported commander or who develops a supporting plan. Includes the designated combatant commands and Defense agencies as appropriate. *Joint Publication 1-02, Joint Terminology Master Database*, 10 June 1998, page 434.

**Terrorism:** Terrorism is characterized as any premeditated, unlawful act dangerous to human life or public welfare that is intended to intimidate or coerce civilian populations or governments. *National Strategy for Homeland Security*, The White House, Washington, DC, July 16, 2002, Page 2.

**U.S. Marine Transportation System (MTS):** The U.S. Marine Transportation System consists of waterways, ports and their intermodal connections, vessels, vehicles, and system users, as well as federal maritime navigation systems. Specifically, it consists of: 25,000 miles of navigable channels; over 300 ports; 238 locks at 192 locations; Great Lakes; St. Lawrence Seaway; over 3,700 marine terminals; and numerous recreational marinas. Through 1400 designated intermodal connections, it connects with over 174,000 miles of rail connecting all 48 contiguous States, as well as Canada and Mexico); over 45,000 miles of interstate highway (supported by over 115,000 miles of other roadways); and over 460,000 miles of pipelines.

**U.S. Maritime Domain:** The U.S. Maritime Domain encompasses all U.S. ports, inland waterways, harbors, navigable waters, Great Lakes, territorial seas, contiguous waters, customs waters, coastal seas, littoral areas, the U.S. Exclusive Economic Zone, and oceanic regions of U.S. national interest, as well as the seelanes to the United States, U.S. maritime approaches, and the high seas surrounding America.



## Abbreviations

C2	Command and Control	LEDET	Law Enforcement Detachment
C4ISR	Command, Control, Communications and Computers, Intelligence, Surveillance and Reconnaissance	LFA	Lead Federal Agency
CBRNE	Chemical, Biological, Radiological, Nuclear, and High-Yield Explosives	MDA	Maritime Domain Awareness
CIA	Central Intelligence Agency	MHLS	Maritime Homeland Security
COP	Common Operating Picture	MLE	Maritime Law Enforcement
COTP	Captain of the Port	MPA	Maritime Patrol Aircraft
CT	Counterterrorism	MTS	Marine Transportation System
CS	Civil Support	NSF	National Strike Force
DHS	Department of Homeland Security	NDRS	National Distress and Response System
DOD	Department of Defense	NORTHCOM	U.S. Northern Command
EBO	Effects Based Operations	OCDETF	Organized Crime Drug Enforcement Task
FBI	Federal Bureau of Investigation	OHS	Office of Homeland Security
FEMA	Federal Emergency Management Agency	ONDCP	Office of National Drug Control Policy
FMSC	Federal Maritime Security Coordinator	PAWSS	Ports and Waterways Safety System
FOSC	Federal On-scene Coordinator	PDD	Presidential Decision Directive
FRP	Federal Response Plan	RESCUE-21	Another Term for the National Distress and Response System
GCCS	Global Command and Control System	SAR	Search-and-Rescue
HAZMAT	Hazardous Material	SIPRNET	Secret Internet Protocol Router Network
HIDTA	High Intensity Drug Trafficking Area	SLOC	Sea Lines of Communications
HIV	High Interest Vessel	TOI	Target of Interest
HLD	Homeland Defense	UAV	Unmanned Aerial Vehicle
HLS	Homeland Security	USCG	U.S. Coast Guard
IDS	Integrated Deepwater System	VTS	Vessel Traffic Services
		WMD	Weapons of Mass Destruction
		WPB	U.S. Coast Guard designation for its Patrol Boats

## Footnotes

<sup>1</sup>Terrorism is characterized "as any premeditated, unlawful act dangerous to human life or public welfare that is intended to intimidate or coerce civilian populations or governments." *National Strategy for Homeland Security*, Office of Homeland Security, Washington, DC, July 16, 2002, p. 2.

<sup>2</sup>"Homeland Security is a concerted national effort to prevent terrorist attacks within the United States, reduce America's vulnerability to terrorism, and minimize the damage and recover from attacks that do occur." *National Strategy for Homeland Security*, p. 2.

<sup>3</sup>Other key national-level policy documents are the National Strategy to Combat Terrorism and the National Strategy to Combat Weapons of Mass Destruction.

<sup>4</sup>*The National Security Strategy of the United States of America*, The White House, September 2002, p. 13: "The nature of the Cold War threat required the United States—with our allies and friends—to emphasize deterrence of the enemy's use of force, producing a grim strategy of mutual assured destruction. With the collapse of the Soviet Union and the end of the Cold War, our security environment has undergone a profound transformation." p. 15: "Traditional concepts of deterrence will not work against a terrorist enemy whose avowed tactics are wanton destruction and the targeting of innocents; whose so-called soldiers seek martyrdom in death, and whose most potent protection is statelessness."

<sup>5</sup>*Ibid.* p. 15: "In the Cold War, weapons of mass destruction were considered weapons of last resort whose use risked the destruction of those who used them. Today, our enemies see weapons of mass destruction as weapons of choice. For rogue states these weapons are tools of intimidation and military aggression against their neighbors. These weapons may also allow these states to attempt to blackmail the United States and our allies to prevent us from deterring or repelling the aggressive behavior of rogue states. Such states also see these weapons as their best means of overcoming the conventional superiority of the United States."

<sup>6</sup>*Ibid.* p. 15: "It has taken almost a decade for us to comprehend the true nature of this new threat. Given the goals of rogue states and terrorists, the United States can no longer solely rely on a reactive posture as we have in the past. The inability to deter a potential attacker, the immediacy of today's threats, and the magnitude of potential harm that could be caused by our adversaries' choice of weapons, do not permit that option. We cannot let our enemies strike first."

<sup>7</sup>*Ibid.* p. 6.

<sup>8</sup>This Plan implements *Presidential Decision Directive-39 (PDD-39)*, *U.S. Policy on Counterterrorism*, which establishes policy to reduce the Nation's vulnerability to terrorism, deter and respond to terrorism, and strengthen capabilities to detect, prevent, defeat, and manage the consequences of terrorist use of weapons of mass destruction. PDD-39 is under revision and will eventually be replaced, since the *National Strategy for Homeland Security* calls for a single all-discipline incident management plan (see page 42 of the *National Strategy for Homeland Security*).

<sup>9</sup>Lead Federal Agency (LFA) is "The agency designated by the President to lead and coordinate the overall Federal response is referred to as the LFA and is determined by the type of emergency. In general, an LFA establishes operational structures and procedures to assemble and work with agencies providing direct support to the LFA in order to provide an initial assessment of the situation; develop an action plan; monitor and update operational priorities; and ensure each agency exercises its concurrent and distinct authorities under US law and supports the LFA in carrying out the President's relevant policy. Specific responsibilities of an LFA vary according to the agency's unique statutory authorities." *U.S. Government Interagency Domestic Terrorism Concept of Operations Plan* of 22 February 2001, Appendix B.

<sup>10</sup>*Ibid.* Appendix B.

<sup>11</sup>John M. Collins, *Military Strategy - Principles, Practices, and Historical Perspectives*, Brassey's, Inc., 2002, Dulles, Virginia, p. 208.

<sup>12</sup>*National Strategy for Homeland Security*, p. 42.

<sup>13</sup>*A Coast Guard for the Twenty First Century*, Interagency Task Force on U.S. Coast Guard Roles and Missions, Washington, DC, December 1999.

<sup>14</sup>Governor Tom Ridge, Director of Homeland Security, Written Statement Submitted to the House Select Committee on Homeland Security July 15, 2002. "The Coast Guard is the lead federal agency for maritime homeland security."

<sup>15</sup>The Coast Guard enforces or assists in the enforcement of federal laws on, under, and over the high seas and waters subject to the jurisdiction of the United States pursuant to 14 U.S.C. §§ 2 and 89. Particular missions include alien migration interdiction operations conducted pursuant to Exec. Order 12,807, Presidential Decision Directive 9, and 8 U.S.C. §§ 1221-1225; drug interdiction operations conducted pursuant to the Maritime Drug Law Enforcement Act, 46 U.S.C. App. §§ 1901-1904; protection and security of vessels, harbors, and waterfront facilities, conducted pursuant to 50 U.S.C. §§ 191-194 (implemented by 33 C.F.R. Part 6), and 33 U.S.C. § 1221, *et seq.*; living marine resources enforcement, conducted pursuant to 16 U.S.C. § 1801, *et seq.*; and marine pollution enforcement, conducted pursuant to 33 U.S.C. § 1251, *et seq.*



<sup>16</sup>*National Strategy for Homeland Security*, p. 42.

<sup>17</sup>As used in this document, strategy is the employment of a national instrument of power—the U.S. Coast Guard in cooperation with other national means (political/diplomatic, economic, military, and informational) to achieve national objectives. Strategy in this context, is the pursuit, protection, or advancement of national objectives through the application of a specific national instrument of power.

<sup>18</sup>Hereafter, referred to simply as the USCG *Maritime Strategy*.

<sup>19</sup>*National Strategy for Homeland Security*, p. 2.

<sup>20</sup>*Ibid.* p. 1.

<sup>21</sup>"The U.S. asks much of its Coast Guard and we will ensure the service has the resources needed to accomplish its multiple missions. We saw the dedication and the versatility of the U.S. Coast Guard in the aftermath of September 11, a performance that vividly demonstrated the U.S. Coast Guard's vital contributions to homeland security. Nevertheless, the U. S. Coast Guard is also responsible for national defense, maritime safety, maritime mobility, and protection of natural resources, and would continue to fulfill these functions in the Department of Homeland Security." *National Strategy for Homeland Security*, p. 23.

<sup>22</sup>107th Congress, Maritime Transportation Security Act of 2002, Sec 70101

<sup>23</sup>Principles of Coast Guard Operations are: Clear Objective, Effective Presence, Unity of Effort, On-Scene Initiative, Flexibility, Managed Risk, and Restraint. *Coast Guard Publication 1*, p. 71.

<sup>24</sup>Based on: (1) Testimony by Secretary of Defense Donald H. Rumsfeld before the House Select Committee on Homeland Security, Washington, D.C., July 11, 2002; and (2) A briefing titled "Homeland Security" by Mr. Peter Verga (Special Assistant for Homeland Security, Office of the Secretary of Defense, and Director of the Department of Defense Homeland Security Task Force) presented during Panel II, "Evolving Role of the Armed Forces" of the 2002 Joint Operations Symposium on "Homeland Security: The Civil-Military Dimensions" sponsored by the National Defense University and the University of Maryland on September 19, 2002 at National Defense University, Washington, DC. See Joint Publication 3-26, Joint Doctrine for Homeland Security for additional detail.

<sup>25</sup>10 U.S.C. 375 ("The Secretary of Defense shall prescribe such regulations as may be necessary to ensure that any activity (including the provision of any equipment or facility or the assignment or detail of any personnel) under this chapter does not include or permit direct participation by a member of the Army, Navy, Air Force, or Marine Corps in a search, seizure, arrest, or other similar activity unless participation in such activity by such member is otherwise authorized by law."). See DOD

Directive 5525.5. See Joint Publication 3-26, Joint Doctrine for Homeland Security for additional detail.

<sup>26</sup>"Homeland defense (HLD) is the protection of U.S. territory, domestic population and critical infrastructure against military attacks emanating from outside the United States." In understanding the difference between homeland security and homeland defense, it is important to understand that U.S. Northern Command is a military organization whose operations within the United States are governed by law, including the Posse Comitatus Act that prohibits direct military involvement in law enforcement activities. Thus, its missions are limited to military homeland defense and civil support to lead federal agencies.

U.S. Northern Command Homepage ([www.northcom.mil](http://www.northcom.mil)). See Joint Publication 3-26, Joint Doctrine for Homeland Security for additional detail.

<sup>27</sup>Supported Commander: "The commander having primary responsibility for all aspects of a task assigned by the Joint Strategic Capabilities Plan or other joint operational planning authority. In the context of joint operation planning, this term refers to the commander who prepares operations plans or operations orders in response to the requirements of the Chairman of the Joint Chiefs of Staff." *Joint Publication 1-02, Joint Terminology Master Database*, 10 June 1998, p. 433.

<sup>28</sup>Supporting Commander: "A commander who provides augmentation forces or other support to a supported commander or who develops a supporting plan. Includes the designated combatant commands and Defense agencies as appropriate." *Joint Publication 1-02, Joint Terminology Master Database*, 10 June 1998, p. 434.

<sup>29</sup>U.S. Northern Command Homepage ([www.northcom.mil](http://www.northcom.mil)).

<sup>30</sup>*Coast Guard Publication 1*, p. 74.

<sup>31</sup>*National Strategy for Homeland Security*, p. 5.

<sup>32</sup>*Ibid.* p.30

<sup>33</sup>*Coast Guard Publication 1*, p. 83.

<sup>34</sup>Paul K. Davis, *Effects-Based Operations (EBO): A Grand Challenge for the Analytical Community*, RAND, Santa Monica, CA, 2001, p. 7: "Effects-based operations are operations conceived and planned in a systems framework that considers the full range of direct, indirect, and cascading effects, which may – with different degrees of probability – be achieved by the application of military, diplomatic, psychological, and economic instruments."

<sup>35</sup>EBO complements, rather than replaces, target-based or objectives-based approaches (such as strategy-to-tasks) and is very amenable to mission-type orders and strategy options that do not emphasize attrition-based approaches. EBO applies across the entire range of military missions from humanitarian relief operations, peacekeeping operations, enforcement operations, or

conventional war. It applies with or without the use of lethal or non-lethal, kinetic or potential force. Since EBO is not platform-specific, it is a critical capability for information operations such as defensive or offensive counter information warfare.

<sup>36</sup>*National Strategy for Homeland Security*, p. 67 and p. 23.

<sup>37</sup>Critical Infrastructure is defined as "The assets, systems, and functions vital to our national security, governance, public health and safety, economy, and national morale." *National Strategy for Homeland Security*, p. IX.

<sup>38</sup>The U.S. Marine Transportation System (MTS) consists of waterways, ports and their intermodal connections, vessels, vehicles, and system users, as well as federal maritime navigation systems. Specifically, it consists of: 25,000 miles of navigable channels; over 300 ports; 238 locks at 192 locations; Great Lakes; St. Lawrence Seaway; over 3,700 marine terminals; and numerous recreational marinas. Through 1400 designated intermodal connections, it connects with over 174,000 miles of rail connecting all 48 contiguous States, as well as Canada and Mexico); over 45,000 miles of interstate highway (supported by over 115,000 miles of other roadways); and over 460,000 miles of pipelines.

<sup>39</sup>The U.S. Maritime Domain encompasses all U.S. ports, inland waterways, harbors, navigable waters, Great Lakes, territorial seas, contiguous waters, customs waters, coastal seas, littoral areas, the U.S. Exclusive Economic Zone, and oceanic regions of U.S. national interest, as well as the sea-lanes to the United States, U.S. maritime approaches, and the high seas surrounding America.

<sup>40</sup>*Coast Guard Publication 1, U.S. Coast Guard: America's Maritime Guardian*, U.S. Coast Guard, Washington, D.C., January 2002

<sup>41</sup>*An Assessment of the U.S. Marine Transportation System: A Report to Congress*, U.S. Department of Transportation, Washington, D.C. September, 1999.

<sup>42</sup>107th Congress, Maritime Transportation Security Act of 2002, Sec 70103

<sup>43</sup>The President has strongly endorsed the Coast Guard's Maritime Domain Awareness concept. He has written: "Working with other port entities, the Coast Guard is developing tracking mechanisms for all vessels operating in the maritime domain: within or transiting to U.S. ports and transiting our coastal waters. The heart of this maritime domain awareness program is accurate information, intelligence, surveillance, and reconnaissance of all vessels, cargo, and people extending well beyond our traditional maritime boundaries." *Securing the Homeland Strengthening the Nation*, The White House, Washington, DC, January 20, 2002.

<sup>44</sup>*The National Security Strategy* places a premium on "identifying and destroying the threat before it reaches our borders." *National Security Strategy*, p. 6.

<sup>45</sup>*National Strategy for Homeland Security*, p. 42.

<sup>46</sup>*Securing the Homeland Strengthening the Nation*, The White House, January 20, 2002, p. 18. This document in the "Coastal Asset and Critical Infrastructure Protection" section states that the Coast Guard, "will provide enhanced defenses for critical high-risk vessels and coastal facilities, marine and otherwise (e.g. nuclear power plants, oil refineries)."

<sup>47</sup>The Integrated Deepwater System is a multi-year program to recapitalize, update, and improve the capabilities of the U.S. Coast Guard's current fleet of ships and aircraft, providing the best mix of aircraft, cutters, sensors, communications and logistics capabilities. Deepwater missions are performed close to shore or far out to sea and involve either extended on scene presence, long transit distances, or forward deployment, and exceed the operating capabilities of shore-based small boats. Deepwater forces significantly contribute to the homeland security by providing a capability to detect, intercept and interdict potential threats on the high seas, using a layered defense of major cutters, patrol boats, and MPA before the threat reaches the U.S. coastline.

<sup>48</sup>Maritime Safety and Security Teams are U.S. Coast Guard mobile units established for maritime homeland security missions in response to the terrorist attacks of September 11, 2001. These 100-person units are modeled after the Coast Guard's existing Port Security Units and Law Enforcement Detachments to provide a fast-deployment capability for homeland security.

<sup>49</sup>Sea Marshals are a U.S. Coast Guard capability to intercept and board incoming ships to the United States prior to the ships arrival in U.S. ports, principally to deter and prevent the ship itself from being used a means to conduct a terrorist attack in the port.

<sup>50</sup>The National Strike Force is a U.S. Coast Guard capability composed of three mobile units established for rapid response to oil discharges and hazardous substance releases. Since the NSF also has a CBRNE capability (that was used in the aftermath of the bio-terrorism attacks on the U.S. Capital), the NSF has a major role in homeland security preparedness and recovery operations in the U.S. Maritime Domain.

<sup>51</sup>See "Recapitalize the U.S. Coast Guard," *National Strategy for Homeland Security*, p. 23. "The Budget for Fiscal Year 2004 will continue to support the recapitalization of the U.S. Coast Guard's aging fleet, as well as targeted improvements in the areas of maritime domain awareness, command and control systems, and shore-side facilities."

<sup>52</sup>See "Create a National Incident Management System," *National Strategy for Homeland Security*, p. 42.

<sup>53</sup>*Ibid.* p. 29





The U.S. Coast Guard

# Maritime Strategy for Homeland Security

U.S. Coast Guard Headquarters  
Washington, D.C.

December 2002